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Date: 9 June 2022

Dear Member

#### JOINT INDEPENDENT AUDIT COMMITTEE

You are requested to attend the Joint Independent Audit Committee meeting on Friday 17 June 2022 at 1030hrs in the CCMT Meeting Room, HQ South or by way of MS Teams for those that are unable to attend.

#### Microsoft Teams meeting

Join on your computer or mobile app <u>Click here to join the meeting</u> Or call in (audio only) +44 20 3443 9031,,776868921# United Kingdom, London Phone Conference ID: 776 868 921#

Yours sincerely

Paul Hammond Chief Executive

To: Members of the Joint Independent Audit Committee

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Date of next meeting: Friday 29 July 2022 2022 at 1030hrs to be held in the CCMT Meeting Room, TVP HQ South/MS Teams





#### MINUTES OF JOINT INDEPENDENT AUDIT COMMITTEE MEETING HELD ON 18 MARCH 2022 COMMENCING AT 1030 HRS AND CONCLUDING AT 1230 HRS

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#### Committee Members Present via MS Teams:

M Day, S Page, A Rehman, M Strange, G A Woods

#### Present and via MS Teams:

M Barber (Police & Crime Commissioner) J Hogg (Deputy Chief Constable, TVP) I Thompson (Chief Finance Officer, OPCC) P Hammond (Chief Executive, OPCC) L Waters (Director of Finance TVP) A Brittain (Associate Partner, EY) A Kennett (Manager, EY) C Kirby (Assistant Director of People, TVP) S Godsave (Corporate Governance Officer, TVP) S Godsave (Corporate Governance Officer, TVP) S South (Senior Management Team, ICT, TVP) J Kidman (Chief Supt, Governance & Service Improvement, TVP) N Shovell (Chief Internal Auditor, TVP, & OPCC) A Shearn (Principal Auditor, TVP & OPCC) C Roberts (Executive Assistant to the PCC, OPCC)

#### Observers:

None

#### **Apologies:** C Widdison (Corporate Governance Officer, Strategic Governance Unit, TVP) M Lattanzio (Head of ICT TVP) C Paine (D/C/Supt, Professional Standards, TVP)

#### Meeting Management

#### 1. Apologies

The Chair, Gordon Woods (GW) welcomed all to the meeting and introductions were given by attendees. Apologies had been received from Claire Widdison (CW), Mike Lattanzio (ML) and D/C/Supt Colin Paine (CP).

#### 2. Minutes of the JIAC Meeting held on 17 December 2021

The minutes of the meeting held on 17 December 2021 were approved by the Committee and accepted as a true record.

#### 3. Outstanding Actions from the last JIAC Meeting held on 17 December 2021

Stephen Page (SP) referred to action 4.1 on the outstanding actions list where the Committee had asked for clarification of whether there was a material risk of harm from inaccurate or surplus information transmitted to/from the Probation Service. Attendees at the last JIAC meeting had been unclear on this point. Deputy Chief Inspector Hogg (JH) noted that a response had been provided for the outstanding action but would look at this again and provide a further update to the Committee in due course

Action: (JH) to provide an additional update to the Committee as to the inaccurate or surplus information being transmitted to/from the Probation Service and whether this mattered or not.

#### **Governance Matters**

#### 4. Draft Annual Governance Statement 2021/22

Ian Thompson (IT) summarized the key points in the draft Annual Governance Statement 2021/22 (AGS) confirming that the Governance Advisory Group had met regularly to produce the Statement.

(GW) referred to the organisational and operational considerations set out on page 18 as to what consideration the Force had carried out and whether any local action would be appropriate. (JH) confirmed there was flexibility on both Forensic Services and Healthcare. The Forensic Services market still remained constrained with supply being barely sufficient to meet demand from UK policing but was not a TVP governance or internal controlled issue. TVP is part of fourteen force consortium that who had chosen not to take part in the national scheme due to staffing issues, but this gives additional flexibility. TVP were looking at the Healthcare Framework again since this was also very constrained. (SP) noted from a governance perspective that there were matters that the Force could do and it would be worth thinking about any additional assistance but understood that this piece of this work was out of TVP's control and some parts were governance controlled.

(IT) referred to The Financial Management arrangements set out on page 16 noting there are currently 8 items in the self-assessment that are still graded amber but some of these would be updated this month following a review of VFM arrangements by CIPFA and the recommendations from that review will be taken forward. The Financial Resilience assessment on page 63-72 showed that TVP remains a going concern and this information will be shared with the external auditors.

On the AGS on page 35 regarding the paragraph relating to the Integrated PEEL methodology, the Committee required an update on this inspection. (JH) confirmed this was down to vetting of staff as some staff had not been fully vetted. This work had now been carried out and HMICFRS had now signed this off. TVP were now fully compliant and there was now no vetting backlog.

(GW) felt that on page 43, regarding the penultimate paragraph which referred to the PCC publicly supporting the Force in terms of its local operational policing response to Covid-19, the Committee would have liked to have seen more expansive wording put in this section describing the actions taken by the Force in order to deliver the PCC's Police and Criminal Justice Plan.

Amna Rehman (AR) picked up on the comments on page 51, number 4, and asked if there was anything in the background for managers across the authority to possess sufficient financial literacy in delivering service costs effectively and to be held accountable for doing so. (LW) referred to the information for stakeholders where TVP were in the process of transforming the work but this remained at an amber status and would change to green as soon as the work had been completed. (IT) noted this was the self-assessment for local government generally.

On page 63 (SP) asked (LW) to reflect on TVP's current thinking as to inflation and the energy price crisis. (LW) pointed out that In relation to pay awards this would be national, with pay inflation controlled across the public sector and therefore insulated from some of the affordability issues faced by the private sector. In relation to fuel and energy, TVP had a budget of £480 million of which £2.5 million had been set aside for fuel and £3 million for electricity and gas which was only a small part of the overall budget. In relation to energy costs, TVP were protected until next year but were seeing increases just like everyone else. TVP were carrying out

work with the NPCC as there would be risks on fuel however, this was being closely monitored. (JH) noted that vehicle issues were a risk but had seen significant savings due to less travelling during Covid-19 and these savings would be eaten up by the increase in fuel costs. There was a significant shortage of staff within the organisation and it has had to use increases and bonus payments in order to keep staff. A meeting was due to due to take place in the next week to discuss the standards of living costs and officers on the front line and (JH) could update the Committee in due course.

Action: (JH) to update the Committee on the outcome of the standards of living costs and officers on the front line in due course.

Christine Kirby (CK) noted that there were opportunities for staff to get discounts through staff benefits and this was being led by the Wellbeing Team.

(SP) noted that in his opinion, the sharp change in the economic climate, and its impact on the wider public, was more concerning at present than Covid-19.

#### 5. Joint Corporate Governance Framework 2022/23

(IT) explained that the Governance Advisory Group had reviewed the Joint Corporate Governance Framework but there were very few changes and no significant points to note.

The Committee had no further comments to make on the Joint Corporate Governance Framework for 2022/23.

#### Other Matters

## 6. Progress on 2021/22 Internal Audit Plan Delivery Summary on Matters Arising from Completed Audits

Neil Shovell summarised the progress on the 2021/22 Internal Audit Plan Delivery Summary on matters arising from completed audits, referring in particular to the changes made since the December 2021 meeting whereby the ICT Management of Microsoft 365 Security audit and the Contact Management Platform audit had both been replaced.

(NS) touched upon the 2021/22 Performance Indicators at section 2.12 on page 195 to ensure audits had been completed promptly and to an acceptable standard. The table on page 195 summarised the current performance against each indicator.

In relation to Fraud at 2.16 on page 197, the data matches from the 2020/21 National Fraud Initiative (NFI) exercise continued to be reviewed with no issues having been found that the Force or OPCC were not already aware of. Work was ongoing to review the data matches.

Other than that, there was nothing major to highlight to the Committee.

The Committee had several questions, one in particular from (AR) on page 195 for the 2021/22 Performance Indicators that asked for potential issues. (NS) confirmed that he had changed the reporting this year to show a graph where the red line showed 'historical performance' and the blue line was where the organisation current were. The organisation was currently in a good place and he gave the Committee assurance that the work would be completed on time for the Annual Report. There were no other issues to note.

In terms of progress, the only two in the depths of testing were the Telematics and the PCC Project Oversight audits that (NS) and the audit team were currently working through. (MD) asked to be provided with further details on the audit of the PCC's arrangements for oversight of Force major projects. (PH) indicated that the PCC wanted to sharpen up and be clear on respective responsibilities as to the project management process and oversight and scrutiny process. (PH) was in the process of marrying up a proposed oversight process with

the lessons learned in the report by Andrew Grimley (AG) that the Committee had received in December 2021. (PH) was keeping (NS) updated on the work that was going on. The initial concern was responsibility for the delivery of projects versus responsibility for the oversight and approval by the PCC for the scope and funding of a major project. Whilst the Force have a very good working relationship with the PCC, sometimes there were blurred lines of accountability which potentially were diluting the ability of the PCC to fulfil his obligation to hold the Chief Constable to account effectively for performance management and delivery of a major project. In governance terms, (PH) wanted clarity here but it would assist the PCC (and other PCCs in a collaborative project) to have clearer and firmer 'holding to account' roles. (JH) noted the PCC was very sensible and did not get involved in operational matters.

(MD) referred to the loss of electronic devices which this had been discussed over a number of years and asked whether the Force were now getting to grips with this issue. (JH) noted mistakes had been made but that the new platform now monitored any losses; but management still needed to think about processes when someone loses a device, and the dots were still to be joined. There was now a plan when a staff member/of-ficer is issued with a device and (JH) has asked Head of Vetting, Sue Murphy (SM) to set up a Task and Finish group to discuss this issue. There was a meeting scheduled to take place next Tuesday to report on the Terms of Reference and to also manage the issue of loss of a device.

Action: (JH) would update the Committee once TVP had got to grips with this process of loss of devices and would provide an update to the Committee in due course to provide assurance.

On page 203 (MS) asked for a little bit more content included in the audit review of Cyber Security. (NS) would refer back to the ICT auditors and update the JIAC.

Action: (NS) to update the JIAC with more context on the Cyber Security audit and the risk exposure to the Force.

(SP) asked whether there were any management process deficiencies identified in relation to the Protective Monitoring audit, as the Committee had not had sight of the details. (JH) confirmed he would be happy for further scrutiny to take place but knows that processes were working well using 'vigilance pro'. There had been 11 officers suspended already having used this system.

#### 7. Progress on Delivery of Agreed Actions in Internal Audit Report

Amy Shearn (AS) noted 13 actions in the Progress on Delivery of Agreed Actions in Internal Audit report, which was the same amount as set out in the last report. There was one Priority 1 action which was over 12 months old and details of this had been set out in the Appendix. (AS) noted to the Committee that under section 1.2 it showed 1 update that was awaited although, this had now been received.

(GW) noted there no overdue items for People Services. (NS) confirmed the management of contractors issue was being monitored via a new action with updates to be reported to the committee. (GW) thanked (CK) and her team for completing the outstanding actions for People Services.

The contractor time frame was due in June 2022 and there was a working group formed and the organization was now getting governance oversight which had not been in place prior to this group being set up.

Action: The Committee required an update from (CK) on the contractor timeframe for the next JIAC meeting in June 2022.

#### 8. Internal Audit Strategy and Joint Internal Audit Plan 2022/23

(NS) went through the plan which detailed the methodology for collating the plan and the audit areas included for 2022/23.

(SP) referred to page 221 in terms of 'pulling in extra resources' for the audit team. (NS) confirmed that the team taps into additional training and links in with the Police Audit Group or other guidance to ensure the team have the necessary knowledge.

On page 227 (SP) asked whether, in areas where responsibility lies between TVP, and CPS (e.g. rape had been used an illustration) (NS) and the team had thought about a joint audit with the CPS or other third parties to look across the boundaries? (NS) noted there were areas where conversations took place but the way it was approached as to identifying the risks, the team tried to reach out to other audit teams but were up against the more political side of things but in essence (NS) agreed with (SP). (NS) worked through the risks with officers and this was something that was on the radar but the audit team tended to focus on the risk to TVP.

(GW) had seen the PEEL results regarding quality of investigations. (JH) confirmed that using the audit team had given assurance and if improvements were required, these would be carried out with new processes in place.

(GW) reflected on the work in Thames Valley that had been carried out by (NS) and (AS) for a long time. (NS) indicated that the audit team attended the Police Audit Group twice a year to discuss current risks and issues within their own Forces from a police sector specific area but also, did not have a stagnant plan that they stuck to as plans changed all the time. New challenges and questions were discussed in order to keep TVP's audit team current and aware of any risks.

(CK) commented that she worked with (NS) and (AS) and the audit team were extremely transparent and improved what the organisation carried out and was quite refreshing to work with them.

#### 9. EY Outline Audit Plan

Andrew Brittain (AB) reflected on the EY outline plan for the benefit of the Committee. The publication date was now at the end of November 2022. The need to report on the whole of government accounts was still awaited. (AB) noted there are no new standards for 2021/22 with CIPFA recently deferring the implementation of IFRS16 (leases) for another year, until April 2023. This would not be removed from the plan until confirmation had been received. Risks remained open and EY would provide an update and liaise frequently with (IT) and (LW). In section 9 (audit fees), EY could not quantify any impacts to the organisation as yet.

In terms of materiality levels, (AB) indicated that the approach was consistent with risk assessments to the various cuts, secondly this was based on prior year accounts for 2021/22 and thirdly in terms of percentages used, there was a range for large organisations, i.e. TVP that were limited to 1.8% if used gross expenditure of measuring materiality.

MD asked whether the plan would happen and (AB) confirmed that he was confident this would happen. As to pensions, (AB) was in communication with Grant Thornton as to requirements but could not guarantee when a response would be received and has no control over this but as EY moved through the process, updates would be provided. In relation to property, which was slightly more in EY's control, (AB) confirmed EY would be able to deliver on the plan on property. (IT) noted that Bucks Council had not yet had their 2020/21 accounst signed off yet so it is very unlikely that Grant Thornton will be in a position to issue an assurance statement on the pension fund accounts for 2021/22 by July 2022, but TVP would press on with closing their own accounts by the end of May, as currently planned. EY indicated that the July 2022 Final Accounts meeting ought to be pushed back to September or October although the July meeting would still remain in place in the diaries. (GW) noted that the Committee were keen to make progress. (AB) was working on the time line and conscious of (IT) retiring shortly but would keep everyone updated as to any impact on the timeline.

(AB) expected the fees to be relatively stable and slightly less in relation to IFRS16 as previously discussed other than the main increase, the environment issues had increased more generally and would not going away anytime soon.

#### Regular Reporting

#### 10. TVP Strategic Risk & Business Continuity

(JK) provided a verbal update to the Committee as to Action 6.1 in relation to the airwave outage. Charlotte Roberts (CR) would update the action as 'complete'.

This outage impacted multiple police forces. The relationship with the supplier overall is managed nationally reporting into the Home Office. Investigations had been carried out by the supplier and two post-incident reports had been produced and shared with impacted stakeholders. These indicate improvements planned in a number of areas based on unpicking the series of compounded problems and failings that led to such prolonged outage and slow system recovery. While the root cause was a power failure and then the power backup not working, there were ongoing concerns about how switching to the back-up airwave system did not happen with sufficient alacrity and the capacity and capability of Airwave to alert all partners promptly in the event of such a failure and thereby coordinate the response.

While TVP had limited direct influence, the ICT lead for Airwave was Kat Greenwood (KG) who continued to push on these issues and would be having a meeting with Airwave and other Forces on 23 March 2022 where (KG) will do so again. As the lead customer, the Home Office and the Police Supt. for the national Operational Communications in Policing team were not yet satisfied with the responses and were still applying pressure for better resolutions to the issues raised. (KG) was in direct liaison with the OCiP Supt.

Simon Godsave (GS) went through the TVP Strategic Risk & Business Continuity Report and referred to the increased risk on retention and recruitment and it was not only TVP going through this issue but all Forces around the country. As to the contractor point, TVP had decided to add this as a 'strategic risk'. The main points of the risks were getting current procedures and controls correct and dealing with remedial work of employers contracted since 2017 and these were being focussed on.

(MD) commented on the acronyms set out in the report and had no idea what these meant so felt that it would be useful to have a guide for clarification purposes. (MD) went through the mitigating statuses and it would benefit the Committee if there was a review carried out as this seemed to have lapsed into a statement fact and the Committee needed to know additional details.

Action: (SG) to ensure that all acronyms are set out in full for clarification purposes for the Committee to note in future.

(MS) noted that there used to be a 'heat map' set out in the report seen in previous meetings but that it has now been removed and asked for clarification why this was. (SG) noted he was asked to remove this but (JK) preferred this to be included and this would be discussed as to whether it would remain off the report or include it.

### Action: (SG) to discuss with (JK) whether to include the 'heat maps' in the Risk Report for future JIAC meetings.

(SP) looked at the risk table as to the treatment of women and the perception of how people behave, which is a top priority reputational concern being addressed by senior management, and could not see where this would appear in the risk report. (SG) noted this report was relating to strategic risks and there was a way to deal with this in bringing in future risks to the report.

#### Action: (SG) to consider how material reputational risks can be reflected in the risk reporting.

On the people retention list, (SP) noted some recent press information of 9.1% attrition at probation stages and asked whether this information should be included in the Risk Register. (CK) chaired a Work Force Board that met on a monthly basis in getting people in but also trying to understand the routes of entries and were very much on top of this. Supt. Emma Baillie was leading on this for the Force in the planning. The other issues were linked to salaries attrition. Plans were in place with a deep dive process in progress to understand why people were leaving the organisation although, this was not just a TVP issue. Every Force in the country were in the same place. (SP) noted the two risks on retention and recruitment and appreciated the clarification from (CK) that these issues were being covered at the Work Force Board meetings. (JH) referred to the intakes as to the new entry routes which had come with some criticism. Most people who leave the Police Force are usually within the first three years. TVP were bringing in more people this year and the attrition for new entry routes was no different from previous years and exactly where other Forces currently were.

(GW) referred to the risks on page 285 and how these risks were being managed. (JK) noted rapid due diligence had been carried out by the supply chain and were not seeing any direct impact at present regarding the fuel price increase. There was a pretty good scanning process approach through monthly horizon scanning which happened within the Strategic Delivery Team. (JK) needed to see a bit more evidence of this risk in order to include it on the Risk Register. A table top exercise had been carried out as to 'recovery from a cyber-attack' and this was helpful and was supported by the ICT disaster recovery officer and put on by Strategic Governance team. This exercise enabled lessons to be learned and how to respond to this type of incident.

In terms of 'reputation risks' and 'criticality' within the organisation, this was inherent in the training within command courses, firearms or other local exercises which was a core component. (JK) was not sure that the Force would put on a 'reputational risk exercise' on to the Register but gave assurance to the Committee that this was embedded in the exercises already carried out.

There was a recent joint ICT cyber exercise with Hampshire where internal officer sent out 'phishing emails' and the results were astounding as to how quickly a criminal network could access the Force systems. (JH) would be looking at running this exercise at Thames Valley.

#### 11. OPCC Risk Register

(PH) summarized the seven risks set out in the OPCC Risk Register on page 320.

There was a new risk added to the register, OPCC 37, which highlighted the OPCC record keeping system for storing deeds for Property Services was not produced very well 10 years ago. The Governance team took on this project and concluded so far that the record keeping should be improved and were currently going through each deed and noting if the OPCC held these or that they were missing or sold. The work was still ongoing but the key concern at this time was whether there were any missing property deeds of properties that were not registered; on this issue, PH had been briefed this morning that this represented a minimal risk.

The Governance team were still currently undergoing this lengthy piece of work and putting in place an appropriate robust filing and reporting system for the location of deeds.

#### 12. Any Other Business

#### • ICO Audit Update March 2022

Marion Peuleve (MP) summarized an update to the Committee as to the number of recommendations the ICO had made and referred to key points to note. Good progress had been made to the plan on page 342 of the report. In the debrief meeting, the ICO were complimentary as to TVP's work and suggested other Forces contact TVP. (MS) noted the good work carried out and seen great progress.

#### Hampshire Constabulary & Thames Valley Police Protection Audit Report

#### (Jan 2022)

Nothing discussed during the meeting.

Part I of the meeting concluded at 1230 hrs.

Date of next meeting: Friday 17 June 2022 at 1030hrs to be held in the CCMT Meeting Room and MS Teams.





#### JOINT INDEPENDENT AUDIT COMMITTEE

#### Actions Arising from 18 March 2022 Meeting

Matters Arising from Minutes dated 18 March 2022	Lead	Action	Update/Action Complete
Action 3 (also referred to as agenda item 4.1 on o/s actions of 17 December 2021) Outstanding Actions from the last JIAC Meeting held on 17 December 2021		Action 3: (JH) to provide an additional update to the Committee as to the inaccurate or surplus information being transmitted to/from the Probation Service and whether this mattered or not.	Action 3: FISO have recognised there could be a risk around data sharing of probation data, consistency of the reply and duplication of work. Immediate actions have been taken in the FIHs (who are the main point of contact with probation) to improve how we record probation requests and how we store our replies. This will mitigate some of the immediate risks and will also help us to audit this moving forwards. Some longer term work around data sharing more generally is under consideration in FISO but will need to be looked at in conjunction with other projects and interdependencies. ACTION COMPLETED

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Action 4 Draft Annual Governance Statement 2020/21	Linda Waters	Action 4: (LW) to update the Committee on the outcome of the standards of living costs and officers on the front line after the meeting.	Action 4. The police staff pay award is in the process of being agreed by the PCC and CC for payment from 1 July. The award is fully budgeted for. The national settlement for police officers is expected to be announced in July. The People Directorate are actively looking at ways to support officers and staff and the PD Financial Wellbeing website provides an extremely useful reference site. ACTION COMPLETE
Action 6			
Progress on 2021/22 Internal Audit Plan Delivery Summary on Matters Arising from Completed Audits	DCC Jason Hogg	Action 6: (JH) would update the Committee once TVP had got to grips with this process of loss of devices and would provide an update to the Committee in due course to provide assurance.	<ul> <li>Action 6: TORS for task and finish group drawn up and signed off at first working group meeting on the 20<sup>th</sup> April. I've attached TORS for info.</li> <li>TORS for task and finish.docx</li> <li>All relevant stakeholders present who all gave in an depth explanation of their processes. Action list compiled which Sue Murphy (SM) is working her way through before holding another meeting. Comms plan to be formulated.</li> <li>Costings from individual stakeholders have been sent to (SM) for compiling. Training input useful and work being done to address the leavers process.</li> <li>Clear issue identified with how TVP report on service now and the need to have skilled individuals who can pull off useful and meaningful data. (SM) expects at least 2 more meetings to take place before final report can be complied.</li> <li>ACTION COMPLETE</li> </ul>

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	Neil Shovell	Action 6.1: (NS) to update the JIAC with more context on the Cyber Security audit and the risk exposure to the Force.	
			ACTION COMPLETE
Action 7			
Progress on Delivery of Agreed Actions in Internal Audit Report	Christine Kirby	Action 7: The Committee required an update from (CK) on the contractor time frame for the next JIAC meeting in June 2022.	Action 7. (CK) to present to the Panel on 17 June an update on the contractor time frame. ACTION COMPLETE
Action 10			
TVP Strategic Risk & Business Continuity	Simon Godsave/ Chief Supt. Joe Kidman	Action 10: (SG) to ensure that all acronyms are set out in full for clarification purposes for the Committee to note in future.	Action 10. CR forwarding all acronyms to the Committee by email 26/05/2022
		Action 10.1: (SG) to consider how material reputational risks can be reflected in the risk reporting	Action 10.1 (SG)/(CW) to provide a verbal update on
		Action 10.2: (SG) to discuss with (JK) whether to include the 'heat maps' in the Risk Report for future JIAC meetings.	Action 10.2 – The heat maps have now been included in the Risk Report for future JIAC meetings ACTION COMPLETE

Matters Arising from Minutes dated 1 October 2021	Lead	Action	Update/Action Complete
Agenda Item 4	Joe Kidman	Action 4. (JK) to bring updated sustainability strategy and associated metrics back to JIAC	Action 4. To be presented to JIAC on 17 June 2022.
TVP Wellbeing & Environmental Policy		when it had been agreed (c. April 2022).	ACTION COMPLETE
Statement & Annual Report 2020/21			ENVIRONMENTAL ANNUAL REPORT TO BE PRESENTED IN THE OCTOBER 2022 MEETING

Matters Arising from Minutes dated 18 June 2021	Lead	Action	Update / Action complete
Agenda Item 8 Annual Report of the SIRO	Mike Lattanzio/Jason Hogg		Action 15. BC exercises planned for HC 5 <sup>th</sup> October with TVP targeted end October-December 2021.
		attacks with a planned exercise taking place in	ACTION COMPLETE BUT TO REMAIN ON THIS LIST WITH UPDATES PROVIDED AFTER TVP EXERCISE HAS TAKEN PLACE BY (JH)

#### Thames Valley Police People Directorate Performance Report 2021-2022

#### 1. Introduction and context

- 1.1 This report, prepared for the Chief Constables Management Team (CCMT) and the Joint Independent Audit Committee (JIAC), provides an overview of performance within the People Directorate for the financial year 2021-2022. The report covers:
  - Governance and accountability arrangements.
  - Our strategic 'people' ambition and priorities.
  - Context and summary of performance 2021-2022.
  - Key areas of priority for 2022-2023.
  - Future risks and mitigations.
- 1.2 The report provides an overview of all activity across the People Directorate with a focus on Workforce Planning, Learning and Development, Organisational Design and People Change and Employment Relations.
- 1.3 The report is presented together with the individual separate reports for Health and Safety, Diversity Equality and Inclusion and Wellbeing, to provide an overall performance update.
- 1.4 This has been a transformational year for policing, Thames Valley Police and the People Directorate as depicted in the reports.

#### 2. Governance and accountability

- 2.1 The Director of People is a member of the CCMT. The People Directorate encompasses Learning and Development, Workforce Planning, Health and Safety, Wellbeing and Corporate Health, Organisational Design and People Change, Employment Relations and Strategic Integration.
- 2.2 Governance frameworks include but are not limited to:
  - 2.2.1 **Workforce Board**, chaired by Director of People, reviews all people work strands including business as usual structures such as the Wellbeing, Health, Safety and Environment (WHSE), Tier One Resourcing Board, Strategic Resourcing and Resilience Boards, alongside temporary programme structures, including the TVP People Project Board, Initial Entry Routes Project Board and Operation Uplift. A monthly Workforce Board report, on strategic resourcing and wellbeing is a standing agenda item at CCMT meetings.
  - 2.2.2 Wellbeing, Health, Safety and Environment Board, chaired by the Assistant Director of People, oversees the management of activities, reporting into the Workforce Board and Task and Finish Groups for wellbeing. People Directorate representatives from Health and Safety, Wellbeing and Learning and Development also provide advice to other boards, including the Personal Safety Board and the Clinical Governance Board, both chaired by ACC Operations.

- 2.2.3 **The Chief Officers' Diversity and Inclusion Board**, chaired by the Chief Constable, reviews diversity priorities and considers regional and national issues. Chief Officers lead on a protected characteristic strand, supported by a dedicated working group to drive activity and engagement. Whilst the Chief Constable retains overall leadership for Diversity, Equality and Inclusion (DEI), responsibility for external facing issues sits with the ACC Local Policing and responsibility for internal facing issues with the Director of People. A DEI programme, led at Superintendent level, reporting to the ACC Local Policing, leads on the operational portfolio, including working with the National Police Chief Constables (NPCC) DEI Strategy and Toolkit.
- 2.2.4 **The Legitimacy Board**, chaired by ACC Local Policing, has an overarching aim to understand and address any areas of disparity that affect our underrepresented communities. Addressing these issues will support us to build community cohesion and in turn build trust and confidence in TVP. The Legitimacy Board reports to the Force DEI Boards, and thereby, directly to the CCMT. The board is subject to independent scrutiny via the Strategic Independent Advisory Group (IAG).
- 2.2.5 **Risk Management and Internal Audit.** Risks are managed as part of business as usual, project and programme boards and the TVP Strategic Risk Register and associated reporting processes. CCMT and JIAC receive regular update reports on risk and internal audits.

#### 3. Our strategic ambitions and priorities

- 3.1 The People Strategy 2021-2025, published in April 2021 following extensive engagement, sets out TVP's strategic vision statements, the ambition (what success looks like), what will be done to achieve this, the role our people will play and the actions that will be taken each year.
- 3.2 The People Directorate provide professional advice and support to leaders and managers responsible for delivering this and lead on elements of the strategy.
- 3.3 Our People Strategy aligns with national strategies, including the NPCC and College of Policing, and is being delivered through detailed action plans, monitored and managed under existing Force governance frameworks.
- 3.4 This report provides an overview of performance by the People Directorate, against the year one actions set out in the People Strategy aligned to the four strategic vision statements. It encompasses associated activities and metrics in the TVP Strategic Plan - Priority Outcome Value our Workforce.

#### 4. Context and summary of performance 2021-2022

- 4.1 The TVP Annual Health and Safety Report for 2020-2021, provides a detailed account of our response to the unprecedented challenges presented by the **Covid-19 pandemic**, to keep our people and communities safe and to manage the impact on policing services.
- 4.2 In 2021-2022, TVP continued to focus on ensuring our people are safe, supported and equipped to carry out their roles and to minimise disruption to policing services. New agile ways of working and the increased use of digital technology to deliver on-line services has been a critical component of this. As the restrictions have eased, the frequency and number of places on training courses and recruitment intakes have increased.
- 4.3 In April 2022 the final step in the Government Guidance for Living with Covid-19, was set out and the Force will continue the transition from our temporary working practices to permanent smarter ways of working. TVP and the People Directorate will continue to maintain no more than 50% capacity in our workspaces, to help embed and inform decisions and new ways of working to ensure we make best use of the Force estate and support people to work in productive flexible ways.
- 4.4 The pandemic has changed the way organisations and individuals view work; expectations and opportunities have changed. The Working Smart Programme will deliver a number of benefits including:
  - Reducing travel, saving both time and carbon emissions
  - Increasing productivity
  - Improved work-life balance and focus on wellbeing
  - Providing both flexible working and diversity of opportunity that will see us recruit, develop and retain capable people whatever their background or circumstances.
- 4.5 **Economic factors** including rising costs, supply chain issues and changes in the labour market continue to impact on the Force particularly in terms of responding to recruitment and retention challenges.
- 4.6 This year <sup>1</sup>the UK unemployment rate has continued to fall to 3.8% and the employment rate to increase to 75.6%. Job vacancies continued to rise to a new record level of 1.29 million between January and March 2022; a rise of 492,400 roles compared with the pre-pandemic first three months of 2020, with half of the industry sectors showing record highs. The high demand for skilled workers across all sectors this year has slowed recruitment, increased competition, starting salaries, pay and costs.
- 4.7 The latest figures and report from Office for National Statistics show that public sector pay for jobs such as NHS workers, teachers and civil servants fell further behind price rises in the three months to February 2022. While

<sup>&</sup>lt;sup>1</sup> Latest ONS data release date 15 March 2022.

wages rose for public sector workers, price rises outpaced them meaning a 3% drop in spending power - the biggest fall in 20 years. In contrast, an average private sector employee's wage bought 0.5% less.

- 4.8 The cost of living is rising at its fastest pace for 30 years. Inflation reached 6.2% in February 2022 and 7% in March. It is now expected to reach a 40-year high of <sup>2</sup>10.25% at its peak in autumn.
- 4.9 The pandemic and associated economic impacts has made recruitment and retention across all staff groups (officers, PCSOs, Staff, Specials) more difficult and complex.
- 4.10 At the same time, the welcome national Police Uplift growth of 20,000 officers, across three years (2020-2023), has and continues to drive demand and competition across all forces to recruit police officers. TVP's three-year growth allocation is 609 officers: 183 in 2020-2021, 182 in 2021-2022 and 244 officers in 2022-2023. In addition, TVP needs to recruit to replace leavers each year: 358.5 FTE leavers in 2021-2022.
- 4.11 An overview of performance is set out below, under each of the four People Strategy vision statements and underpinning year one actions:

## 4.12 Vision Statement: 'We are committed to supporting the effective delivery of policing services, adapting to the changing demands on policing'.

- 4.13 This encompasses our ambition to create an agile and responsive organisation that embraces change, technology and digital ways of working. A transparent and well-governed Force, investing in priority areas and delivering outstanding policing services. This year our focus has been to:
- 4.15 **Implement national and Force strategies and our three-year EE Savings Plan.** The Organisational Design and People Change (ODPC) team work closely with leaders, managers and business change leads to provide advice and support on people change. They also lead on elements of change work within individual Force programmes. The TVP Working Smart Programme is one such example, with People Business Partners leading on the following underpinning project work strands:
  - Flexible Working Policy
  - Agile Working Policy and position on working overseas.
  - Wellbeing support
  - Manager training and support
  - Recruitment, induction and exit processes
  - Changes to terms and conditions of employment.
- 4.16 These are important elements of ensuring TVP provides an attractive employment offering in an increasingly competitive market, and to support staff to do their best in the service of our communities.

<sup>&</sup>lt;sup>2</sup> Bank of England 5 May 2022

- 4.17 The new People Directorate Operating model, designed to improve the delivery of services and deliver the agreed Effectiveness and Efficiency (EE) savings, has been implemented. Phase One delivered £1.02m savings achieved recognised over four financial years. There is an expectation to explore the remaining £226k savings in Phase 2 during 2022-2023.
- 4.18 The largest reduction was in People Operations that included a 40% reduction in HR advisory roles that drove innovation in the new service delivery model. A new online 24/7 People Portal and tiered service approach provision was developed to underpin the evolution to a remote advisory service – the People Portal delivered on time and in budget in August 2021. Since that time, there has been no drop in service levels or increase in serious cases due to the new working practices. There is a positive culture change to the new ways of working but it will continue to take time to embed. The reductions in Learning and Development and People Services were less but significant growth in demand coupled with non-delivery of Equip has led to these teams being stretched.

PD Service Delivery Area	£ Savings	As % of Total	Reduced FTE
People Operations	£521,697	51%	12.46
Learning and	£249,809	24%	5.83
Development			
People Services	£84,184	8%	2
Non- staff budgets	£167,553	16%	0
Total	£1,023,244		

Phase One Savings identified.

Savings year on year view	2020-21	2021-22	2022-23	2023-24
New in year savings recognised	£292,190	£561,177	£139,548	£30,328
Cumulative savings	£292,190	£853,368	£992,916	£1,023,244
Savings to be implemented in				£226,756
Phase 2				

- 4.19 **Improve change management people capabilities.** The ODPC team provide advice and professional support on strategic change programmes from initial proof of concept to implementing and learning from change outcomes. As well as providing specialist advice to project and programmes, they support managers to implement and manage change within their teams, helping to deliver the service required in line with TVP's strategy and objectives. This includes the tactical planning of bringing about change e.g. changes to terms and conditions of employment, restructuring of teams, location and shift pattern changes.
- 4.20 The new People Portal has a library of knowledge-based articles including a Managers Change Toolkit, Guidance on Shift Changes, Police Staff Pay Protection, Support for At Risk Staff Seeking Jobs and Organisational Change Frequently Asked Questions.

- 4.21 Roll out digital solutions, support smarter ways of working and improve access and service delivery. ICT have continued to roll out new digital capabilities and mobile devices to enable our staff to work smart and increase access to online services. Across the People Directorate, our staff have continued to work productively remotely, responding to the new challenges and increased demand. Our on-site roles are predominantly training and corporate health roles that need to be delivered in person such as driver training, personal safety training and medical appointments. Our attraction and recruitment activity is online including the national officer assessment centre and we have continued to move and deliver more training on-line.
- 4.22 In line with the introduction of the new People Operating Model, an on-line self-service People Portal was designed and implemented in August 2021, to provide a faster more efficient service to access knowledge base articles 24/7, and then if needed to log a service request. Where self-service is not appropriate or does not meet the customer's need, there is an online help service. People specialists triage requests for service using the THOR model (threat, harm, opportunity and risk) and support is provided with self-service, written or verbal advice or for the most complex or high-risk cases face-to-face support.
- 4.23 The new TVP Intranet went live on 29 March 2022 with a brand new People Hub. The platform is more engaging and user friendly than the previous KnowZone platform and has a much improved search hub so that users can locate the content they need quickly and easily. The People Hub signposts the People Portal, Knowledge Base, People Directorate Services, People Policies, People Strategy, TVP Working Smart. It also provides quick links to applications and tools including HSE Accident Reporting and Risk Assessments, Essential E-Learning, PDR, Peoplesoft and SSAMI. Individual pages under each service delivery area provide engaging user-friendly content, information and toolkits, to support people in their roles and development.
- 4.24 Improvements to Oleeo, our online recruitment application, has enabled a complete online approach to promotion applications, including electronic feedback, to provide a more accessible, efficient and effective service.
- 4.25 **Review and develop terms and conditions of employment.** A review of police staff on-call allowances, police staff double time overtime, police staff recall to service overtime, and police staff shift allowances, has been completed. Whilst cost savings were a driving consideration it also afforded the opportunity to review deficiencies in the existing allowance structure and issues of transparency and fairness for police staff on-call and double time overtime and explore options for addressing these. An options paper was considered by CCMT in December and a decision taken to bring this work back in April 2022 to consider alongside the shift allowance paper.

- 4.26 **Monitor and manage our reward and benefits packages. Take action on gender and ethnicity pay.** TVP published its fifth gender pay report in February 2022. Overall, the data shows very little change in the hourly combined (police officer and police staff) mean percentage over the 5-year period, which still shows around 10% of males earning more than females. If however, the two staff groups were split the difference would be police officer males being paid an average hourly rate of 4.9% higher than females and police staff males paid an average hourly rate of 9% higher than females.
- 4.27 The biggest change this year is demonstrated in bonus payments. The proportion of police officer and police staff males and females receiving a bonus payment has increased this year. The report includes two new bonus payments introduced in 2020. As a result of these new bonus payments, there has been an increase in the amount of females now receiving a bonus payment and therefore the combined mean gap has reduced by 23.9%.
- 4.28 TVP is committed to continuing to take action to understand and close the gender pay gap by supporting and encouraging flexible creative and innovative ways to attract, develop and retain women. We recognise that it will take time for these initiatives to significantly reduce the gap.
- 4.29 Unlike gender pay gap reporting, ethnicity gap reporting is completed on a voluntary basis, and there is therefore limited data to compare against other organisations. Of those organisations that have published ethnicity pay gap data, there is a trend towards a concentration of staff from ethnic minority backgrounds in junior roles and an absence or under-representation at senior levels. The Commission on Race and Ethnic Disparities, Independent Report, published March 2021, recommends that all employers that choose to publish their ethnicity pay figures should also publish a diagnosis and action plan to set out the reasons for and the strategy to improve any disparities. Reported ethnicity pay data should also be disaggregated by different ethnicities to provide the best possible information to facilitate change. To support employers the Department for Business Energy and Industrial Strategy (BEIS) has been tasked with producing a guidance for employers to draw on, it is expected to be available in summer 2022. In the interim TVP is encouraging staff to review and refresh their equality data through the Diversity Monitoring Questionnaire to ensure we have the most accurate and up to date diversity data to inform our first ethnicity pay gap report.
- 4.30 **Promote and establish good data management.** Targeted initiatives, by the Strategic Integration Business Partner, has improved the quality of personal data held on PeopleSoft this year. Working with the SSAMI team a Personal Details Checker App was designed to facilitate a quick and easy way to view and update key personal data. This now forms part of the annual PDR process. The Force wide launch, supported by corporate communications, promoted key messages around personal responsibility and the benefits of this to individuals and the Force. This has resulted in thousands of updates and increased the accuracy of data held and processed.

- 4.31 The Employee Contact Details App, also designed and implemented this year, provides improved access to personal staff contact details for auditable policing purposes e.g. concerns for welfare, change of duty and operational requirements. This has been well received, in particular by operational supervisors and Tasking and Resilience staff.
- 4.32 The implementation of the Diversity Monitoring Questionnaire has provided increased data on workforce representation across all of the protected characteristics.

#### 4.33 Vision Statement: 'We are committed to promoting and maintaining health, safety and wellbeing. Ensuring our people have access to the right resources, support and encouragement when they need them.'

4.34 This encompasses our ambition to promote a culture of commitment towards health, safety and wellbeing so that all our people feel supported and able to do their best in the service of our communities.

An outline of performance is provided below. Please read in combination with the separate and more detailed Annual Reports for Health & Safety, and for Wellbeing, presented at this time.

- 4.35 **Implement a comprehensive Health & Safety Wellbeing Plan.** The Wellbeing Plan 2020-2025, to support the People Strategy, is being finalised for publication.
- 4.35.1 **Strengthen our leadership capabilities and partnership working.** The 'Leading Wellbeing' work strand aims to support managers and senior leaders to increase their understanding of the role they play in creating and improving staff health, safety and wellbeing. The team are supporting and providing insight to the following work: Incident and Crime Response (ICR) Programme with links to Detectives/Investigators, the Overtime Gold Group and the Specials Silver. The Wellbeing Team are also working towards key actions highlighted through the Independent OPCC audit and HMIC Inspection carried out in 2021. TVP again took part in the National Annual Wellbeing Survey (2021), and will be reviewing the results to understand the national and Force findings, to help inform future initiatives.
- 4.36 Improve physical and mental health provisions. TVP has invested £410,321<sup>3</sup> of the Wellbeing Budget on a range of initiatives: 75% on Force initiatives, 17% on wellbeing rooms and spaces across the Force and 8% on local initiatives. Force initiatives include: recruitment of additional Health Nurses; Flu vaccination programme; refurbishment of gyms, training for Cancer Buddy Scheme; Welfare Bronze CPD; Suicide Prevention Day (a week of events to highlight support) and Cancer Care packages. Expenditure on wellbeing spaces includes; fixtures and fittings for indoor and outdoor spaces and a memorial plaque. Expenditure on local initiatives includes:

<sup>&</sup>lt;sup>3</sup> Data April 21 to 10 March 2022

freezers for meals to be stored; First Aid training, wellbeing conference, and reward and recognition thank you events where refreshments were provided.

#### 4.37 Further embed and devolve ownership and local risk-based

**management**. A new Health, Safety and Environment (HSE) Risk Register and Compliance Log has been develop. The risk register incorporates the fundamental risks to TVP, such as harm to people through accidents and incidents, as well as operational risks based around the causes such as compliance and performance against legislation and/or best practice, governance/decision making, clarity of roles and responsibilities, skills and culture. The Compliance Activity Log, captures all activity required to comply with legislation or best practice that is necessary to manage these risks within the risk appetite and tolerances of the Force. This insight has provided clearer management information to inform business change work and the prioritisation of HSE activities to improve Force performance and the effectiveness of risk management.

- 4.38 **Improve learning around Health, Safety and Wellbeing matters**. A comprehensive library of resources and toolkits, alongside training and awareness days, and peer support and coaching, is increasing awareness and learning around how to manage health, safety and wellbeing for individuals and teams.
- 4.39 Insight from research and surveys conducted, including by NPCC and London School of Economics, is being reviewed by the Wellbeing Team, the findings and learning will continue to be shared and used to target interventions.
- 4.40 **Communicate about our health and wellbeing resources**. Health and Wellbeing is a key component of TVP's People Strategy. The communication strategy uses a wide range of channels to promote the resources available including content in the: People Portal, Intranet KnowZone pages, Wellbeing Newsletter, Wellbeing Calendar of Events, Wellbeing Champion meetings, dedicated MS Teams Channel and ongoing updates to the Covid Response portal.
- 4.41 A monthly Wellbeing, HSE Dashboard is presented to CCMT and circulated via SMTs across the Force.
- 4.42 Fulfil the Disability Confident action plan. TVP is currently Disability Confident (DC) Level 2 Employer: a level to demonstrate we have selfassessed our compliance with the requirements to meet the standard. We are now working towards DC Level 3 Leader as required by the NPPC for all forces by January 2023. We expect to submit our initial response in April, and after receiving feedback from our external assessor (West Midlands Police), to submit our final report in May 2022. We are confident that we can provide evidence that exceeds rather than meets the minimum criteria, due to the

work already implemented across the Force to support our employees who have a disability or long-term health condition.

- 4.43 **Implement Emergency Services Trauma Intervention Program (ESTIP)**. The implementation and extension of roles covered by the ESTIP model of care, and the uplift of an additional 10 Welfare Bronzes, has provided increased support to our staff. In November 2021, TVP and Hampshire Constabulary delivered joint training days for new Bronzes; a refresher CPD day is scheduled for the established Welfare Bronzes.
- 4.44 **Deliver the agreed annual vaccination programme**. The annual flu vaccination programme provided staff with the option to attend one of 40 TVP flu vaccinations clinics across 15 locations, or to apply for a pre-paid Flu Voucher. The programme was promoted Force wide and through Wellbeing Champions at a local level. The number of staff that attended a TVP flu in 2021 was 2,190 a decrease of -583 on the 2020 attendance. In 2021, an additional 1,223 staff registered a NHS flu vaccination compared to 1,034 in the previous year.

## 4.46 Vision Statement: 'We are committed to building a diverse, inclusive and representative workforce to strengthen our ability to serve, increasing the trust and confidence our communities have in us'.

- 4.47 This encompasses our ambition to have an inclusive and supportive culture and for TVP to be seen as an attractive, fulfilling place to work, where our people can reach their potential in the service of our communities.
- 4.48 An outline of performance is provided below, please read in conjunction with the separate and more detailed Annual Reports for Diversity, Equality and Inclusion.
- 4.49 **Refine and utilise the NPCC DEI Toolkit**. TVP has implemented the NPCC Toolkit to implement national and local work strands and to provide a governance framework, via ACC Local Policing and TVP's Diversity Board, to manage, monitor and report performance.
- 4.50 **Continue to develop the work of the Positive Action and Engagement Team.** In 2021 the team increased by two substantive officer posts – taking the team to six PCs and one Sergeant. The new look team started to work together in January 2022, continuing to deliver engagement events and careers inputs to diverse communities across our Force area, supporting and encouraging our candidates identifying as ethnically diverse through delivery of a variety of inputs and masterclasses. They have established 'Meet the Family' events to welcome new student officers to the Force and have begun working with Foundation Training and LPA's to ensure continued support and coaching once people join.

- 4.51 **Continue to deliver recruitment activity to meet Uplift targets**. Despite the challenges, arising from Covid-19 and the competitive labour market, TVP has delivered the combined year one and two growth target (365 officers) exceeding this target by three.
- 4.52 TVP started the financial year in a positive position, having recruited an additional 61 officers above the Police Uplift Programme (PUP) despite the challenges of maintaining intakes and student numbers working within the parameters of Covid-19 restrictions in 2020-2021. The workforce plan was based on the additional PUP growth requirements (182 in 2021-2022 and 244 in 2022-2023) and the need to replace leavers. In the first three months of 2021-2022, the average monthly leaver rate, of 25 FTE, was in line with the projected numbers in our workforce plan. However, there was a steep rise in leavers between July and September: the monthly average for this period was 38.3 FTE. The workforce plan was changed to increase the number of intakes and student officers to be recruited and to increase the projected leaver rate, to deliver the growth required year-end.
- 4.53 Working with Bucks New University, the Force increased the number and mix of student officer intakes required, but demand exceeded their capacity to deliver. To address this gap, TVP developed a new IPLDP+ course, with 80 student officers joining in March on four intakes. The IPLDP+ course is open to applicants that do not have A-Levels or a Degree qualification and has provided an additional recruitment pool.
- 4.54 Alongside this, we have reviewed the police officer recruitment process, leading to a reduction in the overall length of the process and increased engagement activities throughout the process to seek to reduce attrition from the recruitment pipeline. Increased flexibility over the maximum Body Mass Index requirement for new recruits, transferee's and then extended to Detention Officers and PCSOs, has enabled a more inclusive and agile process.
- 4.55 In the financial year 2021-2022, the Force has recruited more officers than in the preceding three years and seen an increase in leavers. This year there has been a reduction in the overall number of transfers out (excepting 2020-2021, which had a part-year nationally agreed embargo on transfers).

Year End	March 19	March 20	March 21	March 22
Joiners	413.6	470.3	343.0	496.6
Leavers	322.2	299.7	216.0	358.4

Year End	March 19	March 20	March 21	March 22
Transfers Out	108.98	90.58	56.47	77.35

4.56 The end of year overall Force resourcing picture (below) reflects the recruitment challenges faced this year in respect of police staff roles. In particular, despite a targeted PCSO attraction and recruitment campaign we

have been unable to recruit the number of PCSOs required and subsequently have had to cancel intakes. In 2021-2022, we recruited 55 FTE but from a start position of -54 FTE establishment. The overall number of PCSO leavers has reduced this year to 91.6 FTE. This includes 49 FTE that resigned to join as police officers as part of their career development plan and TVPs priority to deliver the end-year PUP target. In March 2022, 32 PCSOs joined student intakes.

- 4.57 The same is true for Specials: 56 recruited and 84 leavers including 20 to join as police officers.
- 4.58 TVP has advertised 663 staff adverts and commissioned over 400 temporary roles through Reed. The Force has recruited 365 police staff, 390 agency staff, 148 volunteers and 34 cadets.

Force Establishment v Actual position 31 March 2022					
	Year End	Actual	Variance	Variance	
	Est	FTE	FTE	%	
Officer	4143.0	4167.76	24.76	0.6	
Contact Management *	558.2	556.97	-1.23	-0.2	
PCSO	410.88	323.38	-87.50	-21.3	
Staff *	2360.80	213.58	-230.22	-9.75	
Specials	300	281	-19	-6.3	

\* Variance Full Time Equivalent (FTE) is gross so the actual number of unfilled roles will be lower because we have temporary staff in some roles.

Data is FTE and excludes extern ally funded units such as CTPSE and SEROCU.

4.59 Although turnover has increased for all staff groups set against March 2021, this was an atypical year. Compared to March 2020, Contact Management, Specials and PCSO turnover has reduced.

Turnover Headcount % (Rolling 12 Month) position as at 31 March 2022								
	March 19	March 20	March 21	March 22				
Officer	8.4	7.2	5.4	8.4				
Contact Management	20.6	20.9	9.9	15.8				
PCSO	23.1	29.3	9.5	25.8				
Staff	12.9	14.3	9.6	12.7				
Specials	34.5	41.5	22.2	28.5				

TVP excludes externally funded units

Turnover Headcount % (Rolling 12 Month) position as at 31 March 2022							
	March 19	March 22					
Officer	12.9	7.8	7.7	9.1			
Staff	14.5	6.3	12.2	17.2			

Externally Funded Units Only

4.60 A deep dive of police staff recruitment commenced in March 2022, to make the recruitment process more efficient and streamlined, as well as identifying opportunities to support improved retention and progression of staff. Immediate actions including the review of the recruitment process and prioritisation of existing vacancies will be completed within 2 months, with identified short-term considerations within 6 months and longer-term considerations within 6 to 18 months.

4.61 This year the percentage representation for Black, Asian and Minority Ethnic officers and specials has increased. The percentage representation for Females has increased for officers, staff and PCSOs.

Representation	31 Marc	h 2021	31 March 2022			
Comparison %	B.A.M.E. %	Female %	B.A.M.E. %	Female %		
Police Officer	5.4	35.2	5.7	36.5		
Police Staff	6.1	60.1	5.5	60.7		
PCSO	6.1	50.3	5.7	51.9		
Special	8.1	24.3	10.3	23.5		

B.A.M.E. and Female representation. Data includes all externally funded depts., career breaks and secondments.

4.62 The representation for Black, Asian and Minority Ethnic and Female senior staff managers has increased alongside Black, Asian and Minority Ethnic officers with a -0.1% decrease for senior Female officers.

Police Officers	March 2021	March 2022	Variance
% B.A.M.E C/Insp and above	4.8	6.5	1.7
% Female	27.9	27.8	-0.1

Data excludes externally funded departments

Police Staff	March 2021	March 2022	Variance
% B.A.M.E BB5 and above	7.6	8.5	0.9
% Female	42.4	43.8	1.4

Data excludes externally funded departments and PCSOs.

- 4.63 **Implement a Legitimacy Board.** The Legitimacy Board is reviewing risks and challenges for the Force including the national recruitment process, attrition and retention rates.
- 4.64 **Embed new Police Officer Entry routes into policing**. The new Policing Education Qualifications Framework (PEQF) entry routes have been embedded into TVP as part of our workforce plans. Learning and Development have rewritten the training materials, engaging with subject matter experts from all front-line policing services, to ensure they remain upto-date and reflect TVPs values and priorities alongside national curriculum requirements. Mandated usage of Body Worn Video and laptops was introduced in 2021, feedback from LPAs is that this is having a positive effect on front line performance.

- 4.65 **Establish a Men's Health and Wellbeing Forum**. The Men's Forum, a staff support network, was introduced in response to requests for information, help and support around male specific health and wellbeing issues. Men's health is about improving every aspect of wellbeing and health and preventing future health problems through healthier lifestyles. The Men's Forum Committee consists of officers, staff and volunteers across the Force.
- 4.66 **Design and implement a DE&I Communication Plan**. Internal and external, targeted attraction, recruitment, development and engagement messages are coordinated by the Recruitment Marketing & Employer Brand Manager working with DE&I stakeholders. This provides for an agile and timely communication approach using a wide range of communication channels to extend our reach and impact.
- 4.67 **Create and implement a Positive Action Statement and Toolkit**. TVP embraced the National Uplift Campaign's 'All. Together. Better' Positive Action campaign principles and rolled this out across the Force. Encouraging everyone within our workforce to improve their understanding about what Positive Action is and why we utilise these initiatives to ensure everyone within the Force feels supported, valued and their development encouraged irrespective of background. Information about Positive Action is highlighted within the People Portal and People Intranet pages.

# 4.68 Vision Statement: 'We are committed to investing in people – building a flexible capable and engaged workforce, with the right skills, knowledge and qualifications to deliver outstanding policing services to our communities'.

- 4.69 This encompasses our ambition to invest in creating a positive employment relationship, a culture of continuous professional development, access to high quality learning resources and a supportive inclusive environment that allows everyone to perform at their best.
- 4.70 **Provide high quality learning programmes at all levels, with enhanced partnership working**. We have continued to work with internal and external partners to ensure we deliver high quality learning programmes that meet the need of national and local requirements.
- 4.71 We continue to upskill our training staff and ensure Continuing Professional Development (CPD) reflect operational and learning and development skills and experiences. In partnership with Bucks New University, we have created a training course to enable staff to teach at a higher education level, this has been expanded to include detective trainers.
- 4.72 The Training Prioritisation Board process was successfully reintroduced in June 2021. Since then 25 new training interventions have been approved and implemented. In additional to the post foundation business as usual offerings, first aid refresher training, vulnerability and risk training has been delivered in response to the National Vulnerability Action Plan and areas of learning

identified in the TVP Compendium of Learning and 'DA Matters' has continued in 2021-2022.

- 4.73 The police staff induction process has been evaluated and a new improved blended programme approved for implementation early in 2022.
- 4.74 We now use PCSO trainers to deliver PCSO training and the feedback is very positive. Part of this change was about reducing the abstraction from front line officers, having previously used officers to train PCSOs. It was also to ensure the training is pitched at the right level, to use the practical experiences, knowledge and skills of our PCSOs.
- 4.75 **Implement and deliver actions in line with Policing Education Qualifications Framework (PEQF)**. TVP has introduced and updated the PEQF programme content working with stakeholders and partners.
- 4.76 The surge demand created from significantly increasing student intakes has created additional demands for trainers and resources including additional training classrooms. Funding from Police Uplift Programme has been made available to increase the establishment of training roles and these have / will be recruited. Working with Property Services, additional internal training venues have been identified and created: one on Slough LPA and a new HQ Training Hub at HQ North.
- 4.77 Individual learning support and performance management is now part of business as usual, with issues being identified and managed early to support the student and ensure where appropriate links are made between training providers and LPAs to ensure students are effectively supported to achieve their best.
- 4.78 A review of a wide range of training courses, has been undertaken, to refresh and update content and the method of delivery, to ensure the best use of technology and blended learning approaches is used.
- 4.79 Investigative skills programmes have been redesigned to deliver the requirements of the Crime Academy and reflect the pace of change in this area. Learning and Development detective trainers undertake formal CPD on LPAs and OCUs to maintain operational competence and ensure high standards of training are delivered.
- 4.80 Develop a Talent Management Strategy that seeks to identify future leaders or those seeking to diversity their talents and skills laterally. Use Positive Action to respond to specific training and learning needs. Positive Action initiatives have been promoted and supported by Chief Officers, Senior Management Teams, and the Positive Action and Engagement Team – to encourage an awareness and increased engagement.
- 4.81 TVP has joined the national New Frontline Leaders Development Programme – a development programme for PC to SGT. Cohort 2 had 21 TVP officers on

the programme and applications for Cohort 3 closed on 21 March with another 14 officers successful in joining the programme in April 2022.

- 4.82 TVPs internal Women's Development Programme, for SGT to C/Inspector, continues with a programme of six action learning sets to support personal and career development. Another cohort of Positive Action Learning Sets (PALS) has also started.
- 4.83 Fast Track and Direct Entry Programmes are national and have a set curriculum. TVP officers on the Black, Asian and Minority Ethnic Sergeant to Chief Inspector Programme continue to be supported with development plans and action learning sets. TVP hosted a College of Policing briefing, on the Fast Track PC to Inspector, for candidates and will continue to provide support through the process.
- 4.84 A development day was delivered for the new Positive Action and Engagement Team in January 2022.
- 4.85 **Continue to enhance our tutoring provision**. Accreditation and Quality have continued to provide support to tutors and candidates on programmes across the Force. The overall number of candidates on programmes has remained constant compared to March 2021, with an increase in Policing Management and a reduction in General and Contact Management.

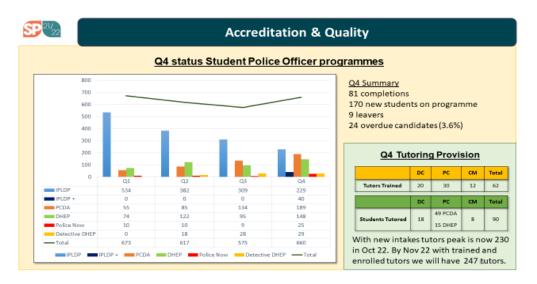
	2012	2013	2014	2015	2016	2017	2018	2019	2020	2021	2022
General & CM	66	77	55	69	48	36	34	32	235	212	126
PCSO & PIP	0	0	0	0	0	0	0	0	78	100	95
Learning & Quality	39	45	45	62	58	46	48	52	51	40	56
Policing Management	234	283	281	389	343	452	423	721	725	577	743
Initial Policing	281	256	339	357	336	233	249	407	758	702	620
A&Q Total	620	661	720	877	785	767	754	1212	1857	1631	1640

Candidates on Programmes across A&Q, 31 March annually for 2012-2022.

- 4.86 There have been 1078 new starts in the year and 851 completions. The overdue completions has increased this year from 17% to 28% and this will be a priority to reduce going forward to manage demands on tutors and Accreditation and Quality teams.
- 4.87 TVP was awarded 'Highly Commended' at the National Apprenticeship Awards 2021, in the Employer of the Year category, for the South East region.
- 4.88 The predicted 2021/2022 apprenticeship income to TVP is <sup>4</sup>£1.2 million.

<sup>&</sup>lt;sup>4</sup> To be confirmed by Finance at end April 2022.

#### 31 TVP People Directorate Performance Report 2021-2022



#### Deliver leadership programmes that improve line management capability

- 4.89 The new national Police Now Frontline Leadership Programme has been promoted and 22 officers are on the current Cohort, 12 are female (54.5%) and seven identify as Non-White British (32%). The one-year programme prepares constables with high leadership potential for promotion to leadership roles in frontline policing. The programme seeks to directly address the shortage of sergeants predicted by 2024, increase diversity and representation in senior ranks and will help produce sergeants with the highest standard of policing practice.
- 4.90 TVP continues to deliver positive action sets and targeted development programmes internally alongside the Core Leadership Development Courses for officers and staff. This years Personal Development Week attracted 2,500 attendees delivering a wide range of on-line development modules.
- 4.91 **Deliver on the Actions within the TVP People Project Plan**. The Recruitment and Retention Project was formally closed down as a project this year on completion of the actions, which now continue as business as usual. The Workforce Board will continue to provide governance and oversee workforce-planning activities including the Police Uplift Programme of work.
- 4.92 **Enhance our reward and recognition channels**. This year TVP has faced increased competition for staff and skills arising from the changes in the economy and the tight labour market.
- 4.93 The competition in the market place for staff, particularly in the lower grades and specialist roles is high. The Reward Team have had to make a number of 'spot' salaries across the year to attract and retain individuals in the organisation. We are currently reviewing our reward strategy to ensure we are as competitive as we can be, to attract and retain staff, and reduce the number of staff vacancies. This review includes making changes to the starting salary and total reward package including benefits.

- 4.94 Your Reward, the police staff bonus initiative, provides a simple, fair, transparent and flexible framework to be able to recognise and reward police staff who demonstrate extra effort over and above what is an expected level of achievement for their role. Quarterly audits throughout 2021 up to January 2022 has shown that this has not been used as much as expected. As a result, we have re-promoted the scheme on the KnowZone and sent out targeted communication and information messages to low usage LPAs/departments to encourage them to include this as a standing SMT agenda item. The Chief Constable also promoted and encouraged use of the scheme in his monthly Headline Call. Early indications are the actions are showing signs of improvement particularly towards the end of March 2022 in line with PDR assessments and closure. Regular monitoring, communication and engagement activities will continue to support individuals and SMTs to recognise, reward and help retain their staff.
- 4.95 A TVP Pay Progression Standard Board (PPSB) has been established to oversee the introduction of the Police Pay Progression Standard (PPS). The PPS is one of four elements of the NPCC pay reform programme initiated by the Home Office. The aim of the programme is to deliver a fair, flexible, affordable and deliverable pay framework underpinning the delivery of the Police Uplift Programme. The role of the board is to ensure that the TVP carries out its responsibilities to introduce and apply the process. Local systems and processes need to be in place by January 2023 latest.
- 4.96 **Improve our understanding of turnover drivers.** The exit interview and questionnaire process has been reviewed and refreshed. Work is ongoing to develop a new analysis toolkit, to be completed in May 2022, which will automatically update when completed questionnaires are submitted by leavers, to identify key trends.
- 4.97 Enhance our approach to blended learning, including more bite-size training resources. TVP has achieved Level 2, and is working towards Level 3, of the NPCC 'Police Learning Technology Recommendations' Maturity Matrix.
- 4.98 The TVP Training Design Team have aligned their training design software with Hampshire Constabulary, increasing collaborative opportunities and enabling the joint development of training for Pronto and the RMS 6.03 upgrade collaboratively and therefore more cost effectively.
- 4.99 We have broadened our methods to deploy learning e.g. creating short bite sized videos such as those for Endeavour, Crime Data Integrity and Statutory Case Reviews.
- 4.100 We delivered TVP's first large rollouts entirely virtually, via MS Teams, for key training packages. Examples include Vulnerability and Risk on officer team

training days and Rural Crime, Op Plato, Threat, Harm, Opportunity, Risk and the National Decision Making Model, and Heuristics on Contact Management team training days. This enabled us to continue to deliver significant training across the Force despite the Covid restrictions.

4.101 In addition to maintaining delivery of our usual IT Training business as usual, including Contact Management recruitment, training on Endeavour and Suicidal Contact has also been included in team training days.

#### 5. Key areas of priority for 2022-2023

- 5.1 Looking ahead into 2022-2023 TVP's key 'people priorities' will continue to be to deliver the People Strategy year two actions and those contained within the Strategic Plan Priority Value Our Workforce. Therefore, the focus will continue to be delivering on our workforce plans, the health, safety and wellbeing of our people, workforce representation, training and development.
- 5.2 The Police Uplift Programme growth, of 244 officers, is a challenging but achievable target and our workforce plans are in place to manage and monitor performance. Recruitment into additional enabling resources e.g. training roles continues to be a priority.
- 5.3 Implementing changes to the police officer and police staff recruitment processes as a result of findings of the deep dive of recruitment, currently in progress, and the internal audit into retention in 2022-2023 will form part of the above.
- 5.4 Investigative skills are working closely with the Crime Academy to create detective programmes and to fine-tune the Staff Investigator course.
- 5.5 Further work will continue to analyse the reasons underlying sickness trends, to focus on early interventions and to evaluate the impact of our health, safety and wellbeing activities.
- 5.6 Targeted activities to increase workforce representation, retention and development across the Force in all ranks and roles will continue to be a priority for us all.
- 5.7 The People Directorate will continue to evaluate and review the changes made to the operating model this year and continue to look for opportunities to support the Force through increased efficiencies and savings. A review of the Leadership Team structure is in progress, following the retirement of the Director of People in April 2022.

#### 6. Future risks and mitigation

6.1 The impact and legacy issues of the Covid-19 Pandemic, over the last two years, has provided an opportunity to reimage and shape how we work and deliver policing services. The Working Smart Programme will move us from

the temporary flexible working arrangements during the pandemic into more permanent agile working practices. This will improve the alignment between the needs of TVP and our people, and enable a more agile flexible workforce that is able to respond to future pandemic restrictions or changes as necessary.

- 6.2 The UK economy is likely to continue to impact on the labour market and financial wellbeing of our staff. People in the UK are facing increased pressure from living costs, with inflation rising at its fastest rate for 30 years, driven by surging fuel, energy and food process. With inflation at 7%, its highest level since the early 1990s the expectation and reality of rapidly rising prices may spark a wage-price spiral<sup>5</sup>. The rate at which prices rise, is forecast to reach 8.7% in the final three months of 2022. The Centre for Economic Research and Business Research (CEBR) has stated that British households with be on average £2,300 worse off this year as wages fail to keep pace with rising energy and fuel costs, representing the biggest fall in living standards since records began. A review of our salary and benefits strategy will be an important part of helping to reduce the impact of these pressures on our people and to help position TVP as a competitive employer.
- 6.3 Retention will continue to be a risk and challenge for TVP. There is a risk we will continue to see an increase in police officers considering or retiring from policing after the introduction of pension arrangements that will let them retire five years earlier. The McCloud Judgement, open to anyone who has 25 years' service and is over 50 years old, restores the rights lost in 2015 to take a more substantial part of the pension as a lump sum an option that most choose. Previously they would have had to serve for 30 years. An increase in the numbers of officers retiring will add to recruitment and training demands and impact on the overall skill and experience levels across the Force. At the same time, policing will continue to be under increased scrutiny, with increasing demand, new crime types and ongoing issues around trust and confidence in policing following recent national events.
- 6.4 Following the closure of the Equip Programme, the People Directorate requirements for short and long-term upgrades to PeopleSoft are being progressed under the Next Steps programme. The existing PeopleSoft application is an old legacy system and hinders the efficiency and effectiveness of our services.

Christine Kirby Acting Director of People 6 May 2022

Paper prepared by: Katrina Hancox Strategic Integration Business Partner

<sup>&</sup>lt;sup>5</sup> Bank of England March 2022.

#### JIAC Wellbeing Annual Report April 2021 – March 2022

#### 1. Introduction and context

- 1.1. Lucy Haynes is now established as the Business Partner for Wellbeing and Corporate Health and Support Services. Two Wellbeing Specialists are now working full time since January 2022 to drive, implement and influence our Force Wellbeing, Health, Safety and Environment (WHS&E) Framework, promoting and embedding health, safety and wellbeing in all that we do.
- 1.2. Thames Valley Police are committed to promoting and maintaining health, safety and wellbeing for all our officers, staff and volunteers, this is outlined in our People Strategy 2021-2025.
- 1.3. All the work carried out by the Wellbeing team contributes to the wellbeing of the workforce in relation to the following WHS&E Framework. There are five strands within the framework. It is important to note that the five strands interconnect and impact on each other:
  - Physical wellbeing
  - Mental wellbeing
  - Financial wellbeing
  - Health, safety and environmental wellbeing
  - Leadership (ensuring that leaders and managers understand the importance of wellbeing and that they are equipped to deliver on their responsibility towards the wellbeing of their teams).
- 1.4. During the last 12 months the WHS&E dashboard continues to be presented to CCMT every month, highlighting the key initiatives that are taking place in relation to all the wellbeing strands, hotspots/areas of focus and what is on the horizon. This is then disseminated to LPA Commanders and Heads of Departments so that their SMT are fully sighted on what is going on and how they can contribute to the wellbeing of their officers and staff. A latest copy of the dashboard is included at the end of the report.
- 1.5. The current welfare provision in place includes a multi-disciplinary Occupational Health Unit (OHU) of OH Physicians, Force Psychologist, OH Nurses, Mental Health Nurses and Welfare Officers. We also have welfare support from our staff associations; Federation and Unison and staff support networks. They provide support and advice to individuals and line managers, including access to trauma therapy. This financial year, Oscar Kilo has launched an OK9 Wellbeing dog provision and our own TVP Wellbeing Dog, Henley is part of this, and along with 3 other dogs (Dylan, Snoopy & Luis) recruited over the past 6 months. They provide comfort and support to officers and staff in times of stress and trauma. Officers and staff are referred by managers to OHU or can self-refer confidentially to our Welfare Department.
- 1.6. The OHU team is trained in trauma demobilising, defusing and debriefing and have recently adopted the College of Policing (COP) Emergency Services Trauma Intervention Programme (ESTIP). The programme is currently being rolled out to include training in trauma awareness, demobilising and defusing for supervisors and trauma trained peers.

- 1.7. There is a Gold, Silver and Bronze command structure for the management of serious incidents. As part of this, a Welfare Bronze role is in place to coordinate access to support for those officers and staff involved in any significant incident. The Welfare Bronze works closely with OHU to assist in the appropriate triage of support to be provided. The Welfare Bronze structure has been formalised over the past 12 months, with C/Supt Christian Bunt who has overall ownership and close links to the PIM (Post Incident Management) process. 29 Welfare Bronzes have been recruited (both Police Officers & Police Staff) providing an on call rota and CPD training provided in collaboration with Hampshire Police Service.
- 1.8. An Employee Assistance Programme (EAP) offers 24/7 confidential advice for life and mental health services including access to counselling and Cognitive Behavioural Therapy. Work is ongoing to install the EAP application (following an upgrade) on force mobile phones to allow staff quick access to the support facilities.
- 1.9. We also have a multi-faith Chaplaincy that officers and staff can access in confidence. If required, there is access to support via police charities such as Flint House Rehabilitation Centre, Police Care UK and the Police Mutual Foundation.
- 1.10. TVP signed the Time to Change Pledge in 2016 and developed the Blue Light Programme to promote mental health and reduce stigma. We are now looking to sign up to the Mental Health at Work Commitment supported by Oscar Kilo and Chief Constables across the UK. To date, there are approximately 200 Blue Light Champions providing information and signposting in relation to mental health. They support a mental health calendar of events. There are approximately 40 Blue Light Peer Supporters who have lived experience of mental health issues and are comfortable speaking openly. These are officers and staff of all grades and ranks. The service is currently reactive with colleagues choosing to contact a Blue Light Peer for support.
- 1.11. There are online training packages in place, which provides an electronic platform for officers and staff to access information on mental health, together with signposting for support and resources. There are dedicated notice boards in stations and offices promoting mental health services and resources. The Core Leadership & Development Programme for first and second line supervisors provides training in relation to mental health conditions, stress and trauma management.

## Summary of all the services available for all officers and staff

CORPORATE HEALTH & SUPPORT SERVICES Clinical Advice from: OHU Physicians, OHU Nurse Advisors, Health
Surveillance Nurses, Psychologist
Management referral consultations
Health screening & surveillance
Psychological assessment
Trauma therapy
Physiotherapy
Hep B vaccinations
Flu vaccinations
Health checks via Health Surveillance Nurse
Private treatment scheme
Non Clinical Advice from: Welfare Officers:
Self-referral service to support any non-clinical issues
<ul> <li>Death in service and death of retired officers &amp; staff</li> </ul>
<ul> <li>Proactive support and training in relation to stress and trauma</li> </ul>
Welfare loans
Benevolent Fund grants
<ul> <li>OK9 Wellbeing dogs – Henley, Dylan, Snoopy &amp; Luis</li> </ul>
Trauma Support:
Mandatory psychological screening for high risk roles
ESTIP
Multi Faith Chaplains
Blue Light Network (Champions & Peers)
EAP (24/7 access to life services & mental health support incl counselling)
OTHER SUPPORT SERVICES
Welfare Bronze: to co-ordinate the support provided to officers and staff as     a result of any significant insident
a result of any significant incident.

- **Oscar Kilo:** National Police Wellbeing Service. Offers best practice guidance, training, webinars, wellbeing van.
- Staff Support Networks: Offers support to individuals and the Organisation.
- **Staff Support Groups:** CEV & Long Covid, Menopause cafes, Cancer Buddy, Maternity Buddy etc.
- **Unison & Federation:** Welfare support programmes. Federation Operational Wellbeing Van.
- **PFOA:** Offers support and therapy to members.
- Flint House: Residential physical and mental health support programmes
- **Pilgrims Bandits:** Raises funds for expeditions and grants for injured emergency services personnel
- **Police Care UK:** Provides psychological support and funding for therapy officers, staff and their families. Also those IHR or injured on duty.
- **Gurney Fund:** Distributes money to children of police officers where a parent has died or been retired on ill health grounds.
- Police Mutual Foundation: Offer grants and respite breaks.
- **COPs:** Supporting families of police officers who have lost their lives on duty.

## 2. Outline of existing governance framework, reassurance and confidence

- 2.1. The WHS&E dashboard has been developed from the Oscar Kilo Blue Light framework taking into account the five stands of wellbeing (detailed above).
- 2.2. The WHS&E Board chaired by the Acting Director of People continues to take place every six weeks. The purpose of the WHS&E Board is to promote positive wellbeing outcomes for our people, success measures of the wellbeing offering and identify hot spots for appropriate proactive action to be undertaken. Additionally, to attract, develop and retain staff whose ability to deliver a quality service to the public is enhanced by a working environment, which maintains a positive approach towards ethical standards, staff wellbeing and a safe working environment. We also recognise that H&S has a major impact on wellbeing, so when issues are raised we can identify wellbeing areas as well as H&S areas to learn from, promote and improve. The governance of H&S is currently under review and more detail provided in the separate H&S JIAC report.
- 2.3. The WHS&E Board reports to the Workforce Board, and by exception, to CCMT. The Force management of health, safety and wellbeing system is based on setting a clear and effective policy and guidance, organising resources to implement the policy, setting standards to assess risk and to measure, monitor and review performance. Learning is identified from internal reviews, HMIC inspections, recognised industry good practice, College of Policing, NPCC, Oscar Kilo and Independent Office of Police Conduct.
- 2.4. The People Strategy 2021-2025 sets our ambition to ensure that our workforce feels safe, supported and able to do our best in the service of our communities, promoting a culture of commitment to health, safety and wellbeing at all levels. Within the People Strategy there is a specific priority dedicated to wellbeing which outlines our commitment to implement our Health, Safety & Wellbeing, promoting and embedding wellbeing in all that we do. We are also increasing awareness and access to toolkits and resources to promote and maintain physical, mental, financial, environmental and leadership wellbeing. This demands appropriate resources, governance and oversight to support our people and effectively manage threat, risk and harm, what we need to do to achieve this, and our individual and collective responsibilities. Keeping our people safe will in turn mean that we are able to keep our communities safe, deliver on our duty of care and commitment to provide outstanding policing services.
- 2.5. There is now a new <sup>Wellbeing Page</sup> (click icon) within the Intranet, launched in March 2022. There is a comprehensive content which will be easily accessible for everybody wanting to access wellbeing related information and support resources. Each strand of wellbeing has a section on the page.
- 2.6. Our response to the Covid-19 pandemic has ensured that key stakeholders from the People Operations teams have been involved at Gold, Silver and Bronze levels to give their expertise, guidance and advice to ensure that the wellbeing of officers and staff have been at the forefront throughout. As Op Restore has now come to a conclusion and any legacy processes have been embedded as business as usual.
- 2.7. A wellbeing fund has been approved by CCMT (£500,000 per year) and the wellbeing team supports the LPAs, Departments and OCUs with their requests to access the fund to benefit the wellbeing of staff and officers in their respective areas. This financial year £410,321.38 was spent. Bigger projects include flu vaccination programme, equipment

for Force gyms, training for peer supporters for Cancer support group, stocking of the operational wellbeing van. Local initiatives include team activities, sustainable picnic tables, sheltered bike rack, tables, chairs, pictures for wellbeing rooms and mugs, plates, glasses & cutlery for rest areas. This is part of the refurbishment of wellbeing rooms/rest areas currently being undertaken.

- 2.8. Refreshed wellbeing fund guidance has been implemented to ensure that there is an evidenced based approach to access the funds either locally or Force-wide. Work took place with Finance to eliminate bureaucratic blockages to ensure that the business are able to access services in a streamlined way. This has been positively received by senior leaders. All requests are approved and monitored by the Wellbeing team and regular meetings take place to review expenditure with Finance. Work is underway with ICT, Finance & Procure & Pay to implement an electronic request form to streamline the process further.
- 2.9. The Wellbeing team is engaging with the workforce in a number of ways and becoming a recognised supportive resource through various meetings, Task and Finish (T&F) or Working Groups and Boards. This is enabling the Wellbeing team to get a better understanding of the key issues and hotspots affecting wellbeing across the Force and offering support and adding value in whichever way possible.
- 2.10. The Wellbeing Specialist chairs a Wellbeing Champions forum (every 2 months). This is to ensure there is better understanding of what is affecting the wellbeing of staff and officers across the Force. This will also give the opportunity for the sharing of best practice and achieving a more joined up approach in respect of wellbeing for the Force.

# 3. Performance Year to Date (YTD) and management of key issues and risks impacting on this

## 3.1. Sickness data

From the period of April 21 to Feb 22, the total number of hours lost due to sick leave for all staff and officers is 555,017 hours. This is a 43% increase compared to the total hours lost in 2020 (387,315).

• The top three reasons for sick leave this year to date (Apr 21 – Feb 22) include psychological disorders (192,041 hours), respiratory (75,029 hours), and musculoskeletal (82,666 hours).

• Quarter 2 – quarter 3 shows the highest number of hours lost due to psychological sick leave in 2021.

Quarter 4 currently shows a decline in the number of hours lost, however, this data is currently showing hours lost up until 1st March. Therefore, the rest of this quarter needs to be accounted for when data is available.

Total Hours 2021		Total Hours 2019	Total Hours 2020	Total Hours 2021/22
250,000	Quarter 1	177,816	107,027	152,878
200,000	Quarter 2	186,701	134,259	199,935
150,000	Quarter 3	202,278	145,354	206,037
100,000	Quarter 4	174,153	170,667	140,478
50,000	Year Total	567,869	387,315	555,017
0 Quarter 1 Quarter 2 Quarter 3 Quarter 4	% change between years		-31.80%	43.30%

Data Source: (SIPo) Strategic Attendance Toolkit. No March data currently available.

### Breakdown of Psychological Sick Leave

Quarter 2 remains the time throughout the year where psychological reasons for sick leave peaked. Despite quarter 3 and 4 showing decline, psychological sick leave is still higher than what was reported in quarter 1.

**Chiltern and South Bucks LPA** presents as the highest yearly increase in psychological reasons for sick leave in quarter 4 (605%). This is a concern as this LPA was also the top LPA to show significant increase in psychological sick leave for quarter 3 comparisons. The top three LPAs that have shown the highest number of lost hours due to psychological sickness include **Milton Keynes** (4,975), **Slough** (3,859) and **Cherwell and West Oxon** (3,095), although the latter has decreased by 1% from last year. 9 out of the 12 LPAs saw an increase of over 20% in sickness.

Psychological sick leave		Hours Lost Q4 2019	Hours Lost Q4 2020	Hours Lost Q4 2021	Hours Lost Q4 2022	% change 21/22
ACC Crime & Criminal Justice	Criminal Justice	4,086	3,800	2,645	4,245	60%
	Force Crime	7,609	7,417	3,419	5,260	54%
	Force Intelligence & Spec Ops	3,153	4,006	650	1,886	190%
ACC NHP & Partnerships	Bracknell & Wokingham LPA	2,803	2,446	593	1,480	150%
	Reading LPA	3,221	1,601	1,315	1,922	46%
	Slough LPA	537	2,678	1,264	3,859	205%
	West Berkshire LPA	518	2,342	1,572	1,183	25%
	Windsor & Maidenhead LPA	2.887	1,693	973	623	-36%
	Aylesbury Vale LPA	1,320	2,724	956	2,425	154%
	Chiltern & South Bucks LPA	703	3,266	216	1,523	605%
	Milton Keynes LPA	3,198	4,831	2,965	4,975	68%
	Wycombe LPA	1,480	1,091	1,302	1,834	41%
	Cherwell & West Oxon LPA	3,490	3,105	3,136	3,095	-1%
	Oxford LPA	835	844	1,598	1,284	-20%
	South Oxon & the Vale LPA	2,044	1.828	1,536	1,955	27%
	Local Policing				16	N/A
	Tasking & Resilience		747	231	110	-52%
ACC Operations	Contact Management	5,267	5,603	5,828	4,832	-17%
	Information Management	317		69		N/A
	JOU Operations	1,143	625	394	378	-4%
	Operations	1,063	2,652	91	628	590%
Deputy Chief Constable	Change Management					
	Chiltern Transport Consortium	719				
	Corporate Communications					
	Corporate Support					
	Legal Services		275	37		N/A
	Governance & Service			516	1,504	191%
	Improvement		45			
	Professional Standards		7	280	224	-20%
	Property Services	174				
Director of Finance	Contracts & Procurement					
	Finance	311	551	196	751	283%
Director of Information	ICT Department	185	1,964	389	333	-14%
Director of People	Learning & Development	779	1,474	418	459	10%
	People	1,774	897	201	1,634	713%
Office of the PCC	Office of the PCC	30	962			
SE ROCU & CTU	CTU Special Branch					
	SE ROCU	1,087	614	868	317	-63%
	SECTU	729	682	971	2,046	111%

Department / LPA breakdown of hours lost due to psychological sickness - all staff / officers.

## **Breakdown of Respiratory Sick Leave**

Respiratory issues remain as the second most common reason for officers taking sick leave. Despite a sharp increase in respiratory reasons for sick leave between August 2021 and September 2021, respiratory reasons for sick leave have started to decline. This could be reflective of seasonal trends, however, as more staff and officers move back into office or hybrid working, it will be important to monitor any spikes in this type of sick leave to inform best working practices. Both **Criminal Justice** (411%) and **Force Intelligence and Spec Ops** (241%) have had the largest percentage increase in

number of hours lost for quarter 4 this year, compared to quarter 4 2021. The three LPAs with the highest number of hours lost so far in quarter 4 include **Slough** (1,289), **Oxford** (1,031) and **Cherwell and West Oxon** (1,106). Oxford has the highest percentage change of all the LPAs (583%).



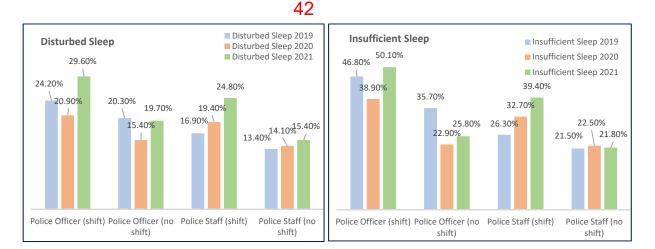
		Hours Lost Q4 2019	Hours Lost Q4 2020	Hours Lost Q4 2021	Hours Lost Q4 2022	% change 21/22
ACC Crime & Criminal	Criminal Justice	1,844	2,516	621	1,522	145%
Justice	Force Crime	4,980	3,606	910	1,390	53%
	Force Intelligence & Spec Ops	2,391	1,346	299	871	191%
ACC NHP & Partnerships	Bracknell & Wokingham LPA	1,210	651	195	501	157%
	Reading LPA	1,177	1,248	396	917	132%
	Slough LPA	841	1,054	411	1,289	214%
	West Berkshire LPA	2,090	899	352	711	102%
	Windsor & Maidenhead LPA	705	877	164	852	420%
	Aylesbury Vale LPA	1,045	939	822	692	-16%
	Chiltern & South Bucks LPA	766	987	194	862	344%
	Milton Keynes LPA	1,803	1,604	341	944	177%
	Wycombe LPA	450	901	192	415	116%
	Cherwell & West Oxon LPA	1,517	939	318	1,106	248%
	Oxford LPA	780	989	151	1,031	583%
	South Oxon & the Vale LPA	948	826	265	656	148%
	Local Policing					
	Tasking & Resilience	204	83	40	35	-13%

Department / LPA breakdown of hours lost due to respiratory sickness - all staff

Detailed analysis is being undertaken by Governance & Service Improvement to identify any patterns, hotspots and future trends across the organisation. It is important to take into account the monitoring taking place at Tier 1 meetings and the link to wellbeing. Increased workloads, capacity and resilience have been identified and the officer uplift targeted to help in most affected areas – ICR and Contact Management.

### 3.2. National Wellbeing Survey results 2021

The Force Wellbeing team are working with Durham University to look at a deep dive into the results on an LPA & Department level. This is to support the ICR Programme of work.



#### Wellbeing Survey 2019, 2020, 2021: More detailed findings for each set of demographic groups will be provided. This will enable conclusions to be drawn, linking the findings with the evidence and feedback being gathered through the ICR Programme.

1 - strongly disagree 2 - disagree 3 slightly disagree 4 - neither agree nor disagree 5 slightly agree 6 - agree 7 - strongly agree	2019 (all respondents average)	2020 (all respondents average)	2021 (all respondents average)	Learning to take away
Emotional energy (scale 1 – 7)	3.61 (moderately low)	3.84 (moderate)	3.59 (moderately low)	After an improvement from 2019 to 2020 in how individuals felt about their level of emotional energy, the 2021 findings show that they feel their level of emotional energy has reduced and that they are now moderately low.
Anxiety symptoms (past 3 months; scale 1-10)	6.05 (moderately high)	6.05 (moderately high)	6.14 (moderately high)	The responses over the last 3 years show moderately high levels of anxiety symptoms with an upward trend in 2021.
Depression Symptoms (past 3 months; scale 1-10)	5.48 (moderate)	5.52 (moderate)	5.43 (moderate)	The responses over the last 3 years show moderate levels of depression with a downward trend in 2021 and the lowest level in 3 years.
Physical Wellbeing (past 3 months, scale 1-5)	3.34 (moderately high)	3.26 (moderately high)	3.26 (moderately high)	After a downward trend between from 2019 to 2020, levels of physical wellbeing reported in 2021 are the same as in 2020, and remain moderately high.
Job satisfaction (scale 1 – 7)	5.14 (high)	5.29 (high)	4.97 (moderately high)	Levels of job satisfaction have reduced from high in 2019 and 2020 to only moderately high in 2021.
Intention to quit (scale 1 – 7)	3.52 (moderately low)	3.12 (moderately low)	3.64 (moderately low)	With job satisfaction levels having reduced, intention to quit levels have increased though still remain moderately low.

EAP usage continues to be monitored to target the wellbeing response. Due to the 3.3. ongoing ICR programme key findings of the EAP usage in ICR & Neighbourhood in 2021 were measured to identify any areas of concern as below.

#### **Buckinghamshire**

Mental Health: highest reason for contacting EAP (50% of contact, over the benchmark of 41%); anxiety is the main factor. Work: 22% of contact for that reason (over the benchmark of 8%) Work related reason contact

split:

- WR Stress 58.6%
- WR Demands 20.7%
- WR Role 13.8% WR Relationships 6.9%.

#### Outcome of therapy:

- 25% of those out of work at the start were back at work at the end.
- Presenteism has educed
- Work engagement has improved Life satisfaction response has
- remained the same (neutral) Workplace distress has
- decreased

#### Berkshire

Mental Health: highest reason for contacting EAP (39% of contact, just under the benchmark of 41%); anxiety is the main factor. Work: 11% of contact for that reason (higher than benchmark of 8%)

Work related reason contact split:

- WR Stress 52.4%
- WR Change 23.8% WR Role 23.8%
- **Outcome of therapy:**
- 35.7% of those out of work at the start were back at work at the end.
- Presenteism has reduced Work engagement & life satisfaction
- have improved
- Workplace distress has decreased

#### Oxfordshire

Mental Health: highest reason for contacting EAP (48% of contact, over the benchmark of 41%); anxiety is the main factor.

Work: 8% of contact for that reason (same as the benchmark of 8%)

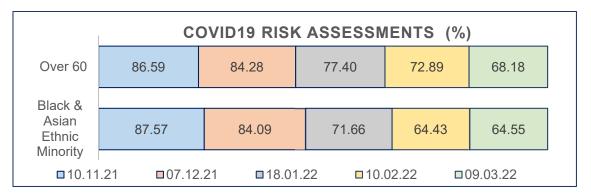
- Work related reason contact split:
- WR Support 45.5%
- WR Bullying/harassment 36.4% WR Stress 18.2%

#### Outcome of therapy:

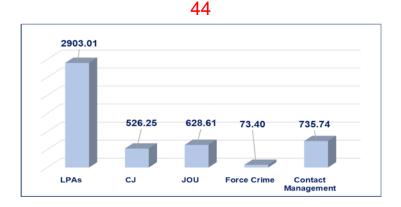
- 100% of those out of work at the start were back at work at the end.
- Presenteism has reduced
- Work engagement & life satisfaction have improved
- Workplace distress response has remained the same (neutral)



The arrangements put in place to identify, manage and monitor the risks associated 3.4. with Covid-19 have provided increased insight and understanding of the health and wellbeing of our people in these uncertain times. The Covid-19 dashboard and reporting process has provided data on the health and resilience of our people and enabled the Force to target actions and resources to support health and wellbeing and to manage resilience and resourcing issues to continue to deliver policing services. The dashboards include data on PeopleSoft sickness absence, time off for dependents, selfisolations, medical exclusions, clinically extremely vulnerable, Covid-19 tests and diagnosis, vaccinations and risk assessments. Risk assessments for those over 60 and from a Black, Asian & Minority Ethnic background continued to be monitored at Silver and Gold level (RAG status) over the past 12 months. If the RAG status went to Amber intervention from the People T&G group was implemented. Risk assessments were reviewed by line managers every 6 months in line with Government guidance. As of April 2022, risk assessments are only in place if meets current guidance and goes into business as usual for risk assessment process.



- 3.5. The new operational wellbeing van, purchased jointly by the Police Federation and the Force, with Federation purchasing the van and the Force meeting on going costs. This was purchased after feedback from officers and staff, especially those on long scene watches with no access to food, hot drinks or toilets. This been continued to be well utilised in force, including being deployed to the G7 in Cornwall to assist officers deployed on that operation. We have also been able to deploy with OHU staff, Welfare officers and other supporting staff following large scale incidents so there is a private place to chat, offload and be listened to. This has been greatly appreciated.
- 3.6. Officers & Staff on duty on Christmas Day and/or Boxing day were offered up to £10pp for food and drinks. Nearly 600 Officers & Staff benefited from the initiative across both days. Total cost was £4,867 and positive & constructive feedback given for considering this initiative for Christmas 2022.

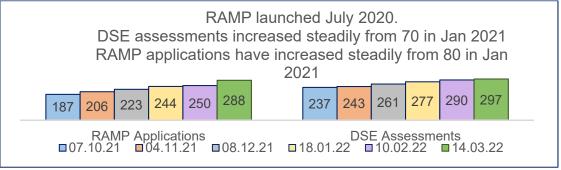


This is a great initiative, and gave a massive morale boost to the shift today. Often, staff feel like they are forgotten over the festive period. It is little things like this that make them feel appreciated

We really do appreciate the initiative and our officers have received the gesture very positively.

Have a very Merry Christmas and a Happy New Year....I am in the Control Room today and all of the staff are very appreciative!!!!

- 3.7. The following is an outline of some of the key wellbeing initiatives that have been implemented during the last financial year within each wellbeing strand:
  - Physical wellbeing:
    - Flu jab initiative 2021: a total of 2,190 vaccines administered over 40 flu clinics which represents 32% of the Force (£47,500), 54 individuals used the voucher system (£1,219.70) and 138 individuals have claimed a refund for the flu jab they paid for (£1,997.43). £50,717.13 in total. It was noted that 1,223 individuals had their flu jab via the NHS which offered it at the same time as the Covid-19 booster so the cost per person increased to £21.28 from £20.31 (2020 campaign) due to the slightly lower uptake.
    - The Reasonable Adjustments Management Process (RAMP), which was implemented in July 2020 has generated 288 RAMP applications, 73 of them have resulted in referral to access to work. RAMP enables TVP to improve how we monitor and manage providing reasonable adjustments to employees with disabilities. RAMP has provided support for a number of police officers and staff with disabilities, including cancer, musculoskeletal, mental health, menopause, specific learning difficulties and sensory impairments, including sight and hearing. The process is now part of the journey from recruitment, performance, sickness absence, adjusted duties, SRP to exit from the Force if that proves necessary. We will look to collect and re-use any specialist equipment where possible.



Page 10 of 29

- Re-opening of Force gyms (Covid-secure) as approved by the Gold Commander (Operation Restore/Renew) with 50 inductions on the first day of opening. New equipment provided for each gym to ensure H&S standards are met. Extremely positive feedback on this, it was one of the things officers and staff were asking for especially during lockdown. A lot of work was invested into this project, to create Risk Assessment's, SOP's and maintenance programmes for equipment.
- Cancer buddy support scheme launched with a group of peer support identified and training to the peer support groups (33 in total). There is a holistic approach with the peer support being for those directly affected by cancer, for those supporting people who have cancer and for managers who are managing those affected directly by cancer and also those supporting someone who has cancer. 16 individuals have been supported since the scheme was launched with 9 individuals currently being supported. Specific care packages are given to those who are being supported by a buddy. At the most recent Quarterly Wellbeing day £690 was raised following a raffle for MacMillan.

## • Mental wellbeing:

- Wellbeing days have been delivered across the force by Welfare Officers, Registered Mental Health Nurses, Blue Light Champions and Peers, together with other stakeholders such as Police Federation and Unison. The OHU Team have also provided numerous inputs at officers and staff training days in respect of mental health resilience, stress and trauma. Through contacts within the Federation we have been able to also bring outside charities and agencies along to these wellbeing days such as Tough Enough to Care.
- There are regular Force communications in relation to mental health in line with the mental health calendar, together with monthly briefing slides and the monthly Blue on the Loo publicity campaign. Positive feedback with Blue on the loo from officers and staff as this is another way of promoting the support available.
- Due to the evidence of psychological sickness being the top reason for absence, the growth of one post for a Registered Mental Health Nurse (RHMN) was agreed with recruitment currently taking place. This will enhance the OHU provision currently in place to 3 RHMN's. The aim is to have a proactive RHMN, showing commitment to our commitment to provide better services for staff.
- Implementation of Emergency Services Trauma Intervention Programme (ESTIP) with Thames Valley Police being a pilot Force working with the College of Policing and Oscar Kilo. ESTIP is a programme specifically designed to address the trauma needs of the Emergency Services. ESTIP is a tiered programme of peer-led escalating support and can involve trained OHU support as necessary. It is designed to be an early intervention programme following trauma. This process was used following a fatal collision involving the death of mother and her 3 children within TVP and also following a fatal police shooting where all officers involved commented on how this process helped them. Mental Health First training given to those who are being trained to deliver the ESTIP training. ESTIP awareness is now included in the Core Leadership Programme.

The rollout continues to take place with 490 supervisors have been trained and 36 trauma aware peers.

- Growth of one post for a Health Surveillance Nurse to be a proactive resource to contribute to the wellbeing of the workforce. This post has been dedicated to Covid in the last 12 months and has also contributed to the wellbeing of the workforce (physical and mental wellbeing).
- 19 high-risk trauma roles are currently psychological screened. Work is being undertaken to explore the expansion to a further 6 groups of roles with the need to consider the impact on OHU resources before rolling out. The wellbeing team is carrying out some horizon scanning with other police forces to identify their trauma welfare provision.
- With the step down of Op Restore for the Covid-19 pandemic response and processes going into business as usual, Long Covid is a key area for the Force to focus on. An informal support group for Long Covid-19 had been set up as well as those joining the DSN support group. This has been well received. Oscar Kilo has launched a 12 week programme which is available to all officers, staff and families.

## • Financial wellbeing:

- Pre-retirement courses in person and on line for police staff have been launched and well received across the Force. 5 in person courses have taken place (80 attendees, 33 feedback forms returned and 96.97% would recommend the course, 93.94% rated the course either good or excellent).
- Shared AVC: Initiatives in last 2 years has led to an increase in members from 32 (Oct 2019) to 122 in March 2022. Webinars taking place in April: How to retire early and with more money, and Understanding LGPS and Shared Cost AVCs.
- Layout of the Financial Wellbeing resources on the Wellbeing Page being improved to support the needs of the Workforce in relation to 3 key topics: 'Savings', 'Debt Management', 'Benefits/Discounts'
- Working with Police Money Matters (who provides the in person Pre-retirement course) to provide financial wellbeing workshops for Staff & Officers covering topics specific to life stage at key points of the employee journey.

## • Health, Safety & Environment wellbeing:

> This section will be covered in the H&S report.

## • Leading wellbeing:

Regular support and guidance for line managers during the Covid-19 response including Q&A sessions to ensure that managers support their staff during the pandemic.

- A new Mens' Forum was launched with a Mens' Health Week in June 2021 to focus specially on mens' health and wellbeing. This was taken positively by staff and line managers and continues to embed, attending events and raising awareness.
- The Menopause Action Group (MAG) was established in 2021 to address the need to improve menopause awareness and support across the Force. Menopause buddies have been launched as well as training for all staff, line managers and SMT about the impact on menopause and how it affects both those directly and around them. The MAG is currently undergoing Menopause accreditation for TVP to become a Friendly Employer – hopefully the first Police Service to receive this accreditation.
- Core Leadership programme in place and a steady increase of mentors, mentees and coach, coaches over the past 12 months.

## 4. Identification of key areas of priority for 2022-2023

- 4.1. Suicide prevention T&F group is currently underway. The Officer and Staff Safety Review (OSSR) proposal is to improve the way data is recorded on police officer and staff death, serious injury, and suicide has been agreed and will be progressed. The National Police Wellbeing Service (NPWS) has funded and commissioned a toolkit working closely with the Samaritans. The toolkit will be made available in Spring 2022 to all forces and will also be accessible via the Oscar Kilo website. Reference to this toolkit will be included in the NPWS Blue Light Wellbeing Framework (BLWF). Force Wellbeing Team working with key stakeholders to submit a suicide prevention proposal to the Wellbeing, Health, Safety & Environment Board.
- 4.2. The Force Wellbeing team and key stakeholders continue to discuss impact of the increase in energy and fuel prices on Officers and Staff. Concerns highlighted that individuals are very worried about how they will be able to cope with higher bills and potential increase in financial difficulties. Looking at the Welfare loan/Grants and if higher amounts could be approved and paid back (if a loan) over a longer period of time.
- 4.3. To continue to equip and educate our managers to support officers and staff on all strands of wellbeing.
- 4.4. Continue to consider options to enhance the psychological screening programme. This includes working with the ICR Programme to scope and develop individual resilience Perma (positive emotion, engagement, relationships, meaning and accomplishments) training and the introduction of the Back Up Buddy and Health Assured apps on Force smartphones.
- 4.5. T&F group set up with key stake holders to ensure operational scenes wellbeing is in place and enhanced as appropriate taking feedback from both Senior Leaders and those involved in scenes.
- 4.6. SIX MHS Addiction, Self-Harm and Eating Disorder and due to start on 1st May 2022. Annual Education and awareness programme (online and face to face), 24/7 addiction helpline, specified addiction consultancy, specified workforce training and online

addiction plan fellowship meetings. Police Station / On site visits by members of the triage team and also a family therapist is available.

4.7. Working with The Breath Connection, a free taster breathwork sessions will be offered and open to everyone (Officers, Staff, Specials and Volunteers). The session leaders will coach a breathwork technique called Dynamic Breathing. Dynamic Breathwork combines several specific breathing practices that are known to have a direct & positive impact on both mental and physical health. Some of the benefits include:

Reduce stress Improve mood Relieve anxiety and depression Calm the nervous system & aid relaxation Recover from burnout Improve sleep Increase energy levels Boost immunity

- 4.8. Force Wellbeing Team working with Leadership & Career Development, Comms Officer, and Chair of SAME who are working on a programme to predominantly help with promotion which includes selling the benefits of coaching and mentoring towards individual wellbeing.
- 4.8. Force Wellbeing Team discussing findings of the 2021 National Wellbeing Survey. This will help inform initiatives to support the Wellbeing of the Workforce across all strands.
- 4.9. Force Wellbeing Team working towards key actions highlighted through the Independent OPCC audit and HMIC Inspection carried out in 2021. This will support all strands of the Wellbeing Framework and help us to demonstrate and evidence how our wellbeing initiatives are making a positive difference to our workforce. Through effective evaluation we will ensure that we are investing in the most effective initiatives.
- 4.10. Force Wellbeing Team supporting the ICR Programme with link to Detectives/Investigators, the Overtime Gold Group and the Specials Silver to add value and support the Wellbeing of the ICR Officers and the Workforce. This will benefit all strands of the Wellbeing Framework.
- 4.11. Wellbeing Day for New Recruits through PCDA, DHEP, DC-DHEP and IPLDP. 40 intakes between April 2022 and August 2023. The first one was on Monday 25<sup>th</sup> April 2022. Force Wellbeing Team have designed the Wellbeing Day and they will be facilitating the day. The Wellbeing Day will cover mental wellbeing, physical wellbeing and financial wellbeing with a combination of internal and external providers delivering inputs. Recruits will be shown a new video ('The Reality of Being a Police Officer'). The success of the day will be measured and findings shared.
- 4.12. Review of current wellbeing content is underway including:
  - Content of the Core Leadership Training Programme in line with the NPCC Leadership, Inclusion & Wellbeing pilot.
  - Re-vamp of the Blue Light and Wellbeing Moodle packages.

4.13. Scoping as part of the Working Smart Programme for those working remotely, including the impact on wellbeing especially when viewing traumatic material, above what is currently in place for roles that have psychological screening in place.

## 5. Future risks and mitigation for 2022-2023

- 5.1. As previously stated we need to manage the impact of Covid-19 pandemic and mitigate any risks in a proactive manner.
- 5.2. Due to the current financial climate the Force are looking at ways to educate and support those with financial difficulties which is key to retain our skilled workforce.
- 5.3. Engagement is taking place with other Forces, Councils and Emergency Services to identify key topics/events, share good practice and ideas i.e. utilising the Fire Service wellbeing van, suicide prevention. With Hampshire Constabulary we are exploring how we can collaborate more in relation to what we do towards wellbeing in light of joint units supporting both Forces.
- 5.4. Clearly there has been significant emphasis on the wellbeing agenda with considerable investment and dedicated resource. However, more work has to be undertaken to ensure that these initiatives are effective and resonate well with the workforce. Some activity has already started, including the National Wellbeing survey, feedback from initiatives and evaluation processes.

Christine Kirby Acting Director of People

April 2022

Paper Prepared by:

Lucy Haynes Wellbeing & Corporate Health & Support Services Business Partner People Directorate

## Wellbeing, Health, Safety & Environment Dashboard



#### Key highlights across all Strands of Wellbeing

- Wellbeing Page on new Intranet
- Flu Vaccination Programme overview 2019 2021
- Final overview of how the wellbeing budget was used by LPAs, Depts and OCUs.
- Breath Connection Free Taster Breathwork Sessions on 17<sup>th</sup> May 2022
- Welbeing Days for New Recruits designed and facilitated by the Force Welbeing Team
- SIX MHS; addiction, self-harm and eating disorder support starting on 1<sup>st</sup> May 2022.

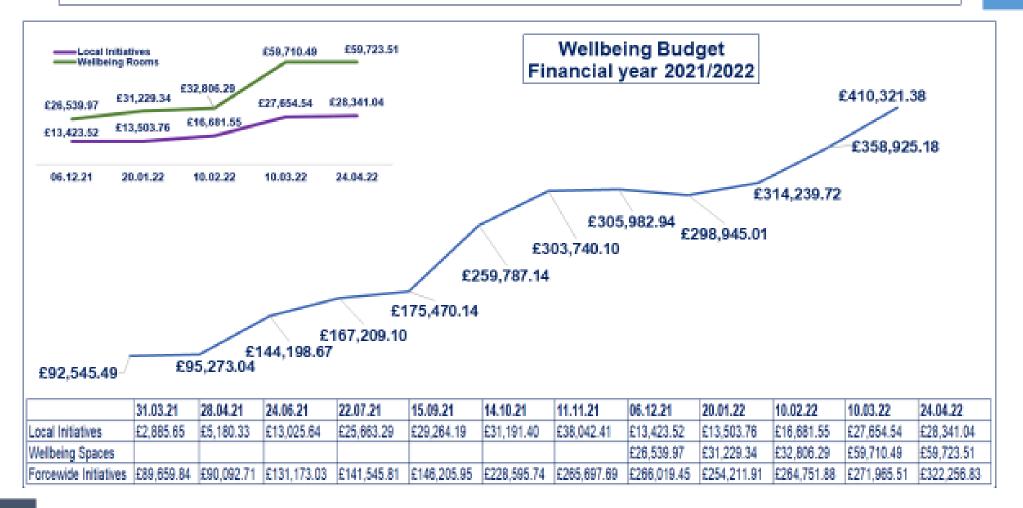
Wellbeing Budget 2021/2022: £500,000							
Actual + Forecasted expenditures: Final	data for 21/22 Financial Year						
Force Initiatives	£322,256.83						
Wellbeing Rooms & Other Wellbeing Spaces	£59,723.51						
Local Initiatives (Wellbeing Fund)	£28,341.04						
Total	£410,321.38						
Variance (overspent or underspent)	Underspent of £89,678.62						

Wellbeing Budget 2022/2023; £500,000							
Actual + Forecasted expenditures as at 24.04.22							
Force Initiatives	£32,957.80						
Wellbeing Rooms & Other Wellbeing Spaces	£370.73						
Local Initiatives (Welbeing Fund)	£3,517.19						
Total	£36,845.72						
Variance (overspent or underspent)	Underspent of £463,154.28						

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25/04/2022

## Wellbeing, Health, Safety & Environment Dashboard



25/04/2022

Wellbeing Budget - Financial year 2021/2022

	Wellbeing Spaces	Local Initiatives (Wellbeing Fund)	Total Cost LPA, Dept, OCU
Oxford LPA	£4,434.82	£450.00	£4,884.82
Cherwell & West Oxon LPA	£6,184.07	£500.00	£6,684.07
South & Vale LPA	£4,135.74	£754.21	£4,889.95
Slough LPA	£4,787.66	£609.97	£5,397.63
Windsor & Maidenhead LPA	£414.72		£414.72
Bracknell & Wokingham LPA		£30.00	£30.00
Reading LPA	£329.36	£2,151.65	£2,481.01
West Berks LPA	£4,329,11	£350.00	£4,679.11
Aylesbury LPA	£904.51	£465.00	£1,369.51
Wycomber & Chiltern/South Bucks LPA	£2,124.70	£2,647.34	£4,772.04
Milton Keynes LPA	£3,125.51	£717.93	£3,843,44
Governance & Service Improvement		£659.91	£659.91
JOU	£805.92	£1,610.00	£2,415.92
Criminal Justice	£11,330,21	£3,596.53	£14,926.74
Contact Management	£808.55	£1,296.45	£2,105.00
JIMU		£644.41	£644.41
Corporate Comms			
Corporate Support	£1,600.00		£1,600.00
Legal Services		£338.34	£338.34
PSD	£1,683.35		£1,683.35
Chiltern Transport Consoritum			£0.00
Force Crime	£660.79	£6,650.45	£7,311.24
FISO	£84.99	£1,120.09	£1,205.08
Tasking & Resilience			
Finance		£566.36	£566.36
Contracts & Procurement			
Property Services			
People		£1,878.40	£1,878.40
L&D	£11,979.50		£11,979.50
ICT		£1,304.00	£1,304.00
	£59,723.51	£28,341.04	

## Wellbeing, Health, Safety & Environment Dashboard

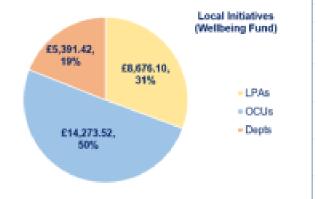
#### Forcewide initiatives

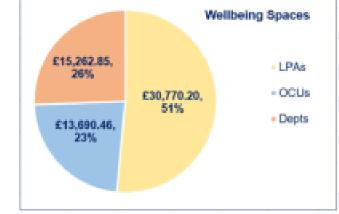
- Food/drinks & battery charge for the Operational Wellbeing Van
- New equipment, annual servicing and fob access installation system the Force Gyms
- Recruitment: Health Surveillance Nurse, RHMN Nurse, Wellbeing Resource (Wellbeing Page), Property Services Surveyor
- Training for the Cancer Buddy Scheme
- Flu Vaccination programme
- Memorial Garden Event with families of 22 families of officers who have been killed in service
- Suicide Prevention day week of event with the Operational Welbeing Van
- NPCC Pilot Project Enhancing Leadership, Wellbeing and Inclusion
- · Coffee Machine for Sulhamstead
- Welfare Bronze CPD joint event with Hampshire
- CEV Baxes
- Cancer care packages
- Pre/Post Natal yoga for Bumps & Beyond
- Menopause training
- Xmas Food Initiative

- Team Activities: Escape Room, Bowling, Axe throwing, Picnic/BBQ with outdoor games, Giant Jenga, Dart Board, Bingo books, knitting needles, chalk mug
- Reward, recognition, thank you events where food and drinks were provided
- Input from John Sutherland at a TIA (Reading).
- Freezers for frozen meals to be stored.
- · Exercise bands and printing of exercise bands
- First aid training
- Welbeing Conference

#### Wellbeing Rooms & Other Wellbeing Spaces:

- Sofas, cushions, throws, sofa covers, bean bags, comfy chairs, rugs.
- · Frames and prints
- Memorial plaque
- Plants
- Books, stress balls, colouring books, pencils, Sudoku and cross words
- Coffee Tables, shelves, bookcase, kitchen table & chairs
- TVs and radios
- · Coffee machine, toaster, mugs, plates, cutlery, glasses
- Paint
- Moving costs for wellbeing rooms to be relocated to a better space (IT equipment, clearing furniture etc.)
- Outside spaces: Bike rack, Picnic tables, Benches, Plants, Arbour Seat







## Wellbeing, Health, Safety & Environment – Comms Plan

- Development of a Wellbeing, Health, Safety & Environment page on new Intranet site comprehensive content which is easy to find, user friendly and engaging. Dedicated resource recruited and undertaking this work to meet 31.03.22 deadline.
- People Portal for People Directorate launched at the end of August 2021.
- Comms about upcoming events through Corp Comms and MS Teams Channels as appropriate.
- Articles in Newsletters and Bulletins across the Depts and LPAs (e.g. Crime Academy Bulletin)
- Being innovative and creative about different types of communication (e.g. use of videos, webinars etc)
- People Strategy
- Wellbeing Plan for 2022 to 2025 to support the People Strategy and Force Strategic Plan being finalised and will be published.
- Wellbeing Newsletter will be published in February 2021 to mark the first year anniversary since the Wellbeing Team was implemented. It will showcase and reflect on key achievements to support the wellbeing of the workforce in the first 12 months.
- Wellbeing Events Calendar for 2022.
- Wellbeing Champions meetings & dedicated MS Teams Chanel used for key messages.
- Ongoing comms in relation to Covid Response as appropriate but part of the BAU comms response.

25/04/2022

	Physical Wellbeing	Mental Wellbeing	Financial Wellbeing	Health, Safety & Environmental Wellbeing	Leading Welbeing
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Wellbeing

#### Wellbeing Page launched as part of new Intranet on 29th March 2022; includes:

- Resources laid out within the 5 strands of our Wellbeing Framework
- Meet your Force Wellbeing Team
- Local Wellbeing Champions
- CHSS (OHU, Welfare & Chaplaincy)
- Staff Support Networks
- Buddy Schemes
- Wellbeing Blogs (written by anyone in the Force who has something to share to benefit wellbeing

#### Analytics show:

- 2108 views as at 23<sup>rd</sup> April 2022.
- Page views higher between Monday & Friday
- Page views higher from 0900 to 1100 and 1300 to 1500
- Cursory look at page views through Local Policing, Departments, OCUs, Staff Support Networks, Buddy Schemes and People Directorate shows that the Wellbeing Page has been viewed significantly more times

#### Our commitment:

- Actively encourage Staff and Officers to view our Wellbeing Page
- Continually try to identify new ways to encourage Staff & Officers to view the page so they can find the resources they need.
- Our Wellbeing Page will continuously evolve to meet the needs of the Workforce; we will keep it fresh, up to date and accurate.

Wellbeing Team (GS) 6

I also wanted to say how brilliant the wellbeing pages look. All the blogs are excellent and I think it is a positive move to pivot towards this friendly narrative which can

be such a help in times of need.



Physical Mental Financial Health, Safety & Leading Wellbeing Wellbeing Wellbeing	
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#### To increase awareness of the benefits of maintaining physical health, sleep hygiene and nutrition; particularly the positive impact they can have on shift working

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Wellbeing initiative organised by A/Sgt David Vermeulen from Oxford LPA with the transport there and back funded by the wellbeing budget. Future initiatives will be similarly funded by the wellbeing budget.

We did our Wellbeing Walk yesterday in the Brecon Beacons, and it went down very well. The weather conditions were perfect, with clear skies all around and very low winds. The hike took around 6 hours in total, and despite being physically exhausted everyone had a smile on their face from start to finish

The feedback I received from the group was all positive, and all were keen to do something like it again. It was really nice to see people from different dept/teams mixing together outside of work and enjoying the surroundings. We also had 3 dogs along with us which gave a good morale boost.



	Physical Wellbeing	Mental Wellbeing	Financial Wellbeing	Health, Safety & Environmental Wellbeing	Leading Wellbeing	
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To increase awareness of the benefits of maintaining physical health, sleep hygiene and nutrition; particularly the positive impact they can have on shift working

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	Flu Vaccination Programme Overview 2019/2021									
	Pre-Paid Vouchers	Flu Clinics	Private Jabs refunds	Total Vaccinations	Overall Cost	Overall Cost Per Person	Comments			
2019	<ul> <li>£10.60</li> <li>762 used</li> <li>£8,001</li> </ul>	N/A	N/A	762	£8,001	£10.50				
2020	N/A	<ul> <li>3,756 available</li> <li>2,773 used</li> <li>983 unused</li> <li>Cost £57,825</li> </ul>	<ul> <li>Up to £15</li> <li>197 claims</li> <li>£2,513.71</li> </ul>	2,970	£60,338.71	£20.31	1,034 free vaccines through the NHS			
2021	<ul> <li>£299 (Set-up)</li> <li>£17.05</li> <li>54 used</li> <li>£1,219.70</li> </ul>	<ul> <li>40 flu clinics</li> <li>15 sites</li> <li>3,142 available</li> <li>2,190 used</li> <li>952 unused</li> <li>Cost: £47,500</li> </ul>	<ul> <li>Up to £15</li> <li>138 claims</li> <li>£1,997.43</li> </ul>	2,382	£50,717.13	£21.29	1,223 free vaccines through the NHS			

2019: Using only one option with the pre-paid vouchers resulted in very low number of vaccinations.

2020: Much more significant number of vaccinations through TVP + vaccinations through the NHS. Data on flu clinic attendance and number of vaccines administered were taken into consideration to plan flu clinic option in 2021.

#### 2021:

- > NHS were providing free flu jab as part of covid vaccine and booster; this likely impacted on lower number of vaccinations through TVP.
- > Cost of pre-paid voucher is higher than the cost of private jab refunds, and this option was largely under used.
- > This raises the question as to whether pre-paid vouchers is a viable option for the 2022. Flu Vaccination Programme.
- We are exploring the best possible options for the 2022 Flu Vaccination Programme; pre-paid vouchers option may not be used if the expected increase in private jabs refunds is manageable for Finance. The 2020 data shows there were 197 private refunds when we didn't provide the pre-paid voucher option, and total of pre-paid vouchers + refunds in 2021 was 192.

Increase awareness of the benefits of maintaining physical health, sleep hygiene and nutrition, particularly the positive impact they can have on shift we reasonable increased sleedly from 20 in Jan 2021. DEE assessments increased sleedly from 20 in Jan 2021. Bay paperations have increased sleedly from 20 in Jan 2021. Bay paperations have increased sleedly from 20 in Jan 2021. Bay paperations have increased sleedly from 20 in Jan 2021. Bay paperations have increased sleedly from 20 in Jan 2021. Bay paperations have increased sleedly from 20 in Jan 2021. Bay paperations have increased sleedly from 20 in Jan 2021. Bay paperations have increased sleedly from 20 in Jan 2021. Bay paperations have increased sleedly from 20 in Jan 2021. Bay paperations have increased sleedly from 20 in Jan 2021. Bay paperations have increased sleedly from 20 in Jan 2021. Bay paperations have increased sleedly from 20 in Jan 2021. Bay paperations have increased sleedly from 20 in Jan 2021. Bay paperations have increased sleedly from 20 in Jan 2021. Bay paperations have increased sleedly from 20 in Jan 2021. Bay paperations from the bay paperations from 20 in Jan 2022. Bay paperations from 20 in Jan 2022. Bay paperations from 20 in Jan 2021. Bay paperations from 20 in Jan 2021. Bay paperations from 20 in Jan 2022. Bay paperations from 20 in Jan 2021. Bay paperations from 20 in Jan 2021. Bay paperations from 20 in Jan 2022. Bay paperatio	Wellbeing Wellbeing		
There will be 40 intakes between April 2022 and August 2023 Family therapist.	RAMP launched July 2020         DSE assessments increased steadily from 70 in Jan 2021         RAMP applications have increased steadily from 70 in Jan 2021         107 200 223 244 250 288         AMP Applications         DSE Assessments         OF 10.21 204 11 21 008 12.21 018 01 22 01002 22 014 03 22         Ongoing: Wellbeing Day for New Recruits through PCDA, DHEP, DC-DHEP and IPLDP.         Force Welbeing Team have designed the Welbeing Day and they will be facilitating the day.         The Welbeing Day will cover mental welbeing, physical welbeing and financial welbeing with a combination of internal and external providers delivering inputs. A couple will be delivered by the Force Welbeing Team.         Recruits will be shown a new video (The Reality of Being a Police Officer) commissioned to an L&D Training Designer by the Force Welbeing Team who were significantly involved in its creation.         The Force Welbeing Team will be shown a new video (The Reality of Being a Police Officer) commissioned to an L&D Training Designer by the Force Welbeing Team who were significantly involved in its creation.	On the horizon     Free Taster Breathwork Sessions will be delivered by Connection. Initiative opened to everyone (Officers, State and Volunteers). Forcewide comms about to come out.     The session Leaders will coach a breathwork technique of Dynamic Breathing. Dynamic Breathwork combines sew breathing practices that are known to have a direct & postboth mental and physical health. Some of the benefits inclusion mental and physical health. Some of the benefits inclusion mental and physical health. Some of the benefits inclusion mental and physical health. Some of the benefits inclusion mental and physical health. Some of the benefits inclusion mental and physical health. Some of the benefits inclusion in Recover from burnout.     Relieve anxiety and depression.     Calm the nervous system & aid relaxation.     Recover from burnout.     Improve sleep.     Increase energy levels.     Boost immunity     SIX MHS – Addiction, Self-Harm and Eating Disorder Starting on 1 <sup>st</sup> May 2022.     Annual Education and awareness programme (online and 24/7 addiction helpine.     Specified addiction consutancy.     Specified workforce training.     Online addiction pan fellowship meetings.	The Breath off, Specials called eral specific alive impact clude: d face to fac

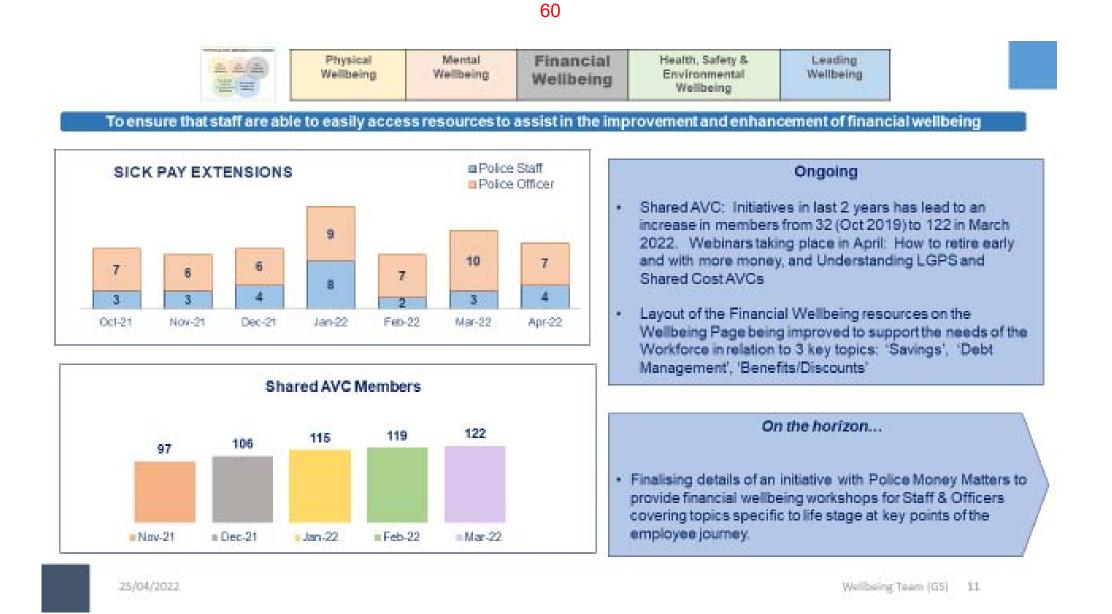
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#### To ensure that positive steps are taken to identify ways to support staff to maintain or improve their mental wellbeing

#### On the horizon.....

- Force Welbeing Team working with L&D to create the Welbeing content for the new Staff Induction Programme.
- Force Welbeing Team working towards key actions highlighted through the Independent OPCC audit carried out in 2021 and HMIC inspection findings. This will support all strands of the Welbeing Framework.
- Force Welbeing Team supporting the ICR Programme with link to Detectives/Investigators, the Overtime Gold Group and the Specials Silver to add value and support the Welbeing of the ICR Officers and the Workforce. This will benefit all strands of the Welbeing Framework.
- Planning taking place to extend the Demobilising and Diffusing training to support LPAInvestigators and DCs.
- Suicide Prevention:
- The Officer and Staff Safety Review (OSSR) proposal to improve the way data is recorded on police officer and staff death, serious injury, and suicide has been agreed and will be progressed.
- > The NPWS has funded and commissioned a toolkit working closely with the Samaritans.
- > The toolkit will be made available in Spring 2022 to all forces and will also be accessible via the Oscar Kilo website.
- Reference to this toolkit will be included in the NPWS Blue Light Wellbeing Framework (BLWF).
- Force Wellbeing Team working with key stakeholders to submit a suicide prevention proposal to the Wellbeing, Health, Safety & Environment Board.

25/04/2022



Physical Mental Wellbeing Wellbeing	Financial Wellbeing	Health, Safety & Environmental Wellbeing	Leading Wellbeing	
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To promote and encourage our staff to care for our environment - at work and more widely - in the interest of our social responsibility and the attractiveness of TVP as a place to work

## Ongoing: Custody Support of HCP process

- Review and risk assessment for implementation of Smart booths into Custody.
- Meeting held with suppliers plus Custody leads to establish installation and process for use.
- May be used to facilitate HCP assessments.

## On the Horizon.....

- HSE Re-structure approved by CCMT
- HSE Department work moving over to Governance and Service Improvement
- New H&S structure to be consulted and established.



To support line managers and senior leaders to increase their understanding of the role they play in creating and improving staff health, safety & wellbeing





### Force Wellbeing Team meeting late May 2022 with Leadership & career Development, Comms Officer, and Chair of SAME who is working on a programme to predominantly help with promotion to agree on a promotion plan selling the benefits of coaching and mentoring towards wellbeing.

On the horizon....

- Force Wellbeing Team discussing findings of the 2021 National Wellbeing Survey. This will help inform initiatives to support the Wellbeing of the Workforce across all strands.
- Force Wellbeing Team working towards key actions highlighted through the Independent OPCC audit and HMIC Inspection carried out in 2021. This will support all strands of the Wellbeing Framework.
- Force Wellbeing Team supporting the ICR Programme with link to Detectives/Investigators, the Overtime Gold Group and the Specials Silver to add value and support the Wellbeing of the ICR Officers and the Workforce. This will benefit all strands of the Wellbeing Framework.

## Thames Valley Police Annual Health and Safety Report 2021-2022

## 1. Introduction and context

- 1.1 We are pleased to present this Annual Health and Safety Report for Thames Valley Police for the period 2021-2022 as part of the governance arrangements, for the Chief Constable's Management Team (CCMT) and Joint Independent Audit Committee (JIAC) to review and satisfy itself that an adequate and effective policy and practice framework is in place to discharge our legal duties in relation to health and safety.
- 1.2 The report sets out:
  - Governance and accountability arrangements for health and safety. Our strategic ambition and priorities.
  - Summary of performance over 2021-2022.
  - Key areas of priority for 2022-2023.
  - Future risks and mitigations.
- 1.3 This year we have continued to deliver policing services in the context of the Covid-19 pandemic and the challenges influencing the economy and policing.
- 1.4 This report outlines these challenges and how we managed the risks, to help keep our people safe and well, and to maintain the delivery of policing services.

## 2. Governance and accountability for health and safety

- 2.1 TVP's Chief Constable and the Police and Crime Commissioner (PCC) have signed the Policy Statement for Health and Safety, committing themselves to comply with the requirements of the Health and Safety at Work Act 1974, Police Health and Safety Act 1997, and all relevant statutory provisions.
- 2.2 The framework for managing health and safety in TVP is aligned to the principles issued by the Health and Safety Executive (HSG65) and the National Police Chiefs' Council (NPCC) Guidance, Police Health and Safety: A Guide for Chief Officers (2019).
- 2.3 TVP has taken a holistic approach to integrate health, safety, environment and wellbeing, overseen by the Wellbeing, Health and Safety and Environment (WHSE) Board chaired by the Assistant Director of People. The WHSE reports to the Workforce Board, chaired by the Director of People, and by exception to CCMT. Going forward changes are proposed which are outlined in this report.
- 2.4 The Personal Safety Board, chaired by ACC Operations, drives forward strategic work on the use of force and management of assaults on our officers and staff.
- 2.5 A combined Thames Valley Police and Hampshire Constabulary Clinical Governance Board is chaired by ACC Operations and is supported by a consulting panel of doctors to manage processes used within the collaborating organisations, involving medical training, equipment and its use by officers and staff.

- 2.6 Local Health, Safety and Environment (HSE) Meetings review and take forward actions to reduce risk and manage health and safety.
- 2.7 The management of health and safety is based on setting a clear and effective policy, organising resources to implement the policy, assessing risks, to monitor and review performance.
- 2.8 TVP's Health and Safety Policy, Manual, guidance documents and People Strategy set out clear accountabilities for health and safety at every level in the organisation. CCMT will ensure our health and safety legal obligations are met or exceeded, ensuring that health, safety and wellbeing is a priority for the Force, and that initiatives are provided with sufficient support to enable their success. Senior Management Teams and Line Managers will be alert to, and prioritise the wellbeing and safety needs of our people, help them access the resources they need and to make informed decisions to effectively manage risk. Every individual is responsible for promoting health and safety in the ways that they work and the decisions that they take, to look after themselves and others.
- 2.9 The People Directorate provide professional advice and support services to enable our leaders to create a culture of safety, effective governance and risk management. Our dedicated Health and Safety, and Wellbeing, Business Partners and Specialist Advisors, provide advice and information on health and safety matters and monitor and review the performance of the Force in health and safety matters.
- 2.10 Learning is identified from internal reviews, recognised industry good practice and external reviews such as those conducted by the Independent Office of Police Conduct.

## 3. Our strategic ambition and priorities

- 3.1 The annual TVP Strategic Delivery Plan sets out our operational and organisational priorities for the Force.
- 3.2 In 2021-22, the Value Our Workforce priorities focused on implementing and embedding new entry routes to policing, increasing representation and diversity, delivering wellbeing initiatives and reducing sickness levels.
- 3.3 The Value Our Workforce Organisational Priority Outcome for 2022-23 will focus on health and safety, wellbeing, reducing overall sickness levels, maintaining diversity, reducing attrition, and developing our people - to support the effective delivery of policing services. Improvement activities linked to health and safety include:
  - ensure resourcing to the correct establishment levels
  - ensure proportionate distribution of deployable vs non-deployable officers across LPAs and effective use of adjusted duties officers
  - develop a more detailed understanding of sickness levels and reasons
  - develop a focus on early identification and reduction of psychological sickness
  - develop an understanding of the impact of long Covid on the Force

- develop a focus on operational health, safety and wellbeing and embed the plan to trigger welfare provisions and facilities at scene watches or major incidents.
- develop a more accurate understanding of workloads across departments and teams.
- 3.4 In April 2021, TVP published its five year people strategy. This was developed by engaging with our staff, Federation, UNISON, staff associations and stakeholders. To coincide with the launch, the Senior Leaders Forum day in March 2021 focused on the strategy, sharing learning and ideas on taking this forward locally within their respective areas of responsibility. The targeted engagement plan included individual Chief Officer videos outlining the importance of and their personal commitment to the strategy and expectations of others. The People Strategy is promoted and published on the People Hub, accessible by all our staff, and provides details on our actions and expectations <u>TVP People Strategy 2021-2025</u> (sharepoint.com).
- 3.5 The People Strategy 2021 2025 sets out TVP's health and safety ambition as a strategic vision statement 'We are committed to promoting and maintaining health, safety and wellbeing. Ensuring our people have access to the right resources, support and encouragement when they need them'. The Force aims to implement this vision through creating a culture that promotes individual and collective commitment to health, safety and wellbeing in the ways that we work and the decisions that we make. In the development of proportionate, risk-based, strategy and policy, supporting the implementation of these through advice, training, risk assessment and compliance reviews.

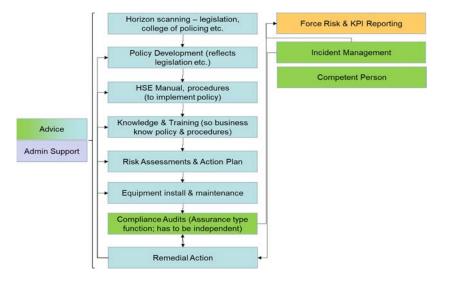
## 4. Context and summary of performance over 2021-2022

- 4.1 **Responding to the Covid-19 pandemic** to support our people and the public has continued to be a priority in 2021-2022. The detailed plans and arrangements put in place at the outset of the pandemic (outlined in the Health and Safety Report 2020-21); have provided a solid foundation for our continued response this year to manage the ongoing risks.
- 4.2 TVP's command structure, Operation Restore, has continued to work with Local Resilience Forums and partners, to ensure a stable provision of appropriate Personal Protective Equipment (PPE), access to Covid tests and vaccinations. The Covid-19 dashboard has continued to provide clear timely guidance and information on operational, health and safety, working safely and risk assessment. Force wide communication messages from Operation Restore Gold, Silver and Bronze Commanders have provided ongoing timely important updates on guidance and changes, with signposts to the library of resources on the KnowZone.
- 4.3 In line with the current Government Guidance for Living with Covid-19, TVP stood down Operation Restore on 31 March 2022, and our Covid-19 measures are being incorporated into our existing business as usual processes. The changes include: Covid-19 related sickness will be recorded on Peoplesoft, instead of SSAMI, in line with all other illness. In line with government guidance, the Force will no longer require anyone with symptoms to self-isolate. As with all types of infectious

diseases, TVP supports people to take personal responsibility for safe behaviours that will reduce the impact on others, and continues to support managers to use their discretion to temporarily facilitate home working or change the types of duties, to prevent the spread of sickness within teams. Separate departmental risk assessments are no longer required for Covid-19, instead control measures are incorporated into general force risk assessment under infectious diseases. Line managers are reviewing the individual risk assessments for their staff who were considered more vulnerable to Covid-19 including those over 60 years and Black Asian minority ethic staff, to determine if a risk assessment is still required.

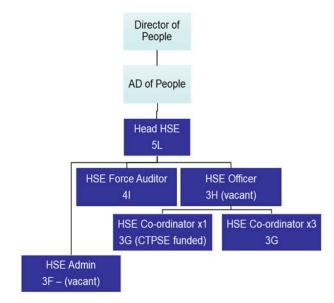
- 4.4 TVP's PPE risk grading has reduced from 'Standard' to 'Minimal' to reflect our position pre-pandemic. There is flexibility to use PPE locally based on the risks identified within the departmental assessment.
- 4.5 TVP will continue to maintain local capacity restrictions within office spaces and buildings in line with the Working Smart Programme, to ensure that tasks are completed in the best location and to embed the temporary working arrangements into a more permanent approach.
- 4.6 **Risk management** is an integral part of delivering operational and enabling policing services and good governance. It is a key component in the National Decision Making Model widely used across the Force. Our risk management policy and framework involves proactively identifying risks that threaten the achievement of objectives and putting in place actions to reduce these to an acceptable level. Risk management is a corporate and individual responsibility and is embedded in the training we deliver, our assessment processes and ways of working. Risk registers are in place at key levels in the organisation including Force, Departmental, Programme and Project Boards. Governance Service Improvement monitor the Strategic Risk Register to monitor the completion of additional actions and with the risk owner to re-evaluate the risk, and provide quarterly update reports to CCMT.
- 4.7 The Joint Internal Audit Team (JIAT) undertook an audit of health and safety in 2021-2022. The audit covered strategic governance, monitoring and visibility, legal compliance and future design arrangements. The main testing was completed during quarter one and two, with the audit observations shared in July, with subsequent meetings to gain an overview of the future developments and changes planned to mitigate the risks within the health and safety arrangements. The audit assurance rating (limited) is based on the arrangements in place for 2021-22, although the design of the new arrangements and governance has received a substantial assurance rating. The key issues from the audit are set out in a separate report 'Health and Safety Audit Report' presented to JIAC.
- 4.8 **Proposed new future design arrangements**. A detailed review of the existing TVP health and safety operating model has been undertaken, as part of the People Directorate review, to identify areas for improvement. The review, supported by stakeholder engagement, looked in detail at the HSE requirements and how the current operating model, including governance, risk management and health and safety activities are undertaken across the Force.

- 4.9 The review identified that the existing model provides strengths in the accessibility of specialist tactical HSE advice, the quality of that tactical advice and the contribution and impact of advice provided at a national level e.g. Covid-19. Identified areas for improvement are:
  - in the senior level oversight
  - governance arrangements
  - clarity around the purpose of Local Health and Safety Committees
  - concerns that committees were duplicating HSE being covered in business as usual in senior management team meetings
  - need for clearer evidence of a strong rolling programme of assurance and compliance monitoring across some HSE activities.
- 4.10 The review work included the development of a HSE Risk Register and accompanying operational mitigation activity log. This lists all required HSE activities, who undertakes these activities and an assessment of current performance using a simple RAG rating. The activities are clustered into activity groups to identify at a high level what HSE work needs to be undertaken in Force. The green and blue colours depict activities that should be 'air gapped' from each other, such as audit and incident work (that may find lessons learned), and are slightly removed from the day-to-day workload. Orange and light purple reflects business management aspects of HSE that could reside elsewhere in the Force, for instance with Governance and Service Improvement who govern all other risks. Advice is provided by all roles aligned to the activity undertaken.



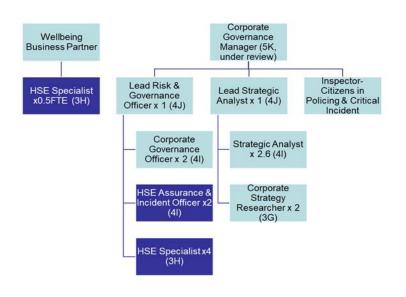
4.11 In November 2021, CCMT approved a proposal to transfer the HSE Team from the People Directorate to Corporate Governance and to create a new standalone HSE Committee. The draft model proposed, subject to formal consultation, increases the capacity of HSE advisory, assurance and competent person roles, and aligns to how the Force operates – with senior leaders owning the risk, supported by quality advice and with performance and risk oversight by the Corporate Governance Team.

- 4.12 The principles of the new model are:
  - the overall business risk arising from HSE related matters and the Force performance of HSE will be embedded within the Force's established risk and performance management governance, owned by the Corporate Governance Team within Governance and Service Improvement.
  - senior leaders are accountable for HSE risks in their area of business
  - supported by HSE specialist tactical advice, from the HSE Team, who will also be responsible for maintaining policies, force-wide knowledge / self-help resources, standard tools and templates such as generic risk assessments
  - HSE specialist competent persons will undertake incident support and audit reviews, to review the quality of tactical activity and support the Force in times of need
  - HSE will undertake certain risk-control activities where it is cost-effective to do so in-house, e.g. fire risk assessments.
- 4.13 The current and proposed new operating models are shown below. In the proposed model:
  - HSE Assurance and Incident Officer: provide management reports to show the status of TVP's policies, procedures and activities against compliance and performance goals. Through advisory, assurance, and incident investigation work, improve Force-wide compliance with policies, and reduce HSE risks, accidents and incidents.
  - HSE Specialist: provide support to business and operational leads to ensure TVP's portfolio and activities comply with HSE legislation and national guidance. Working with colleagues to ensure a safe and healthy environment.
  - HSE Specialist (Wellbeing): provide support to building managers, line managers and individuals to ensure TVP's workplaces and first aid is fit for purpose and complies with HSE legislation and national guidance. Working with colleagues to ensure a safe and healthy environment.

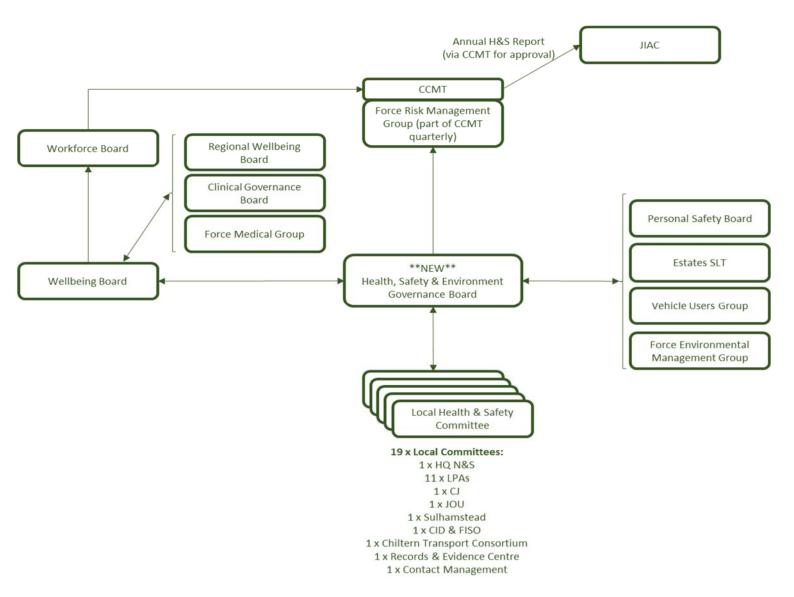


## The current operating model 2021-2022

## The proposed new operating model 2022-2023



4.14 A new dedicated HSE Governance Committee Board will strengthen the strategic governance, monitoring, visibility and legal compliance of HSE and align to the existing Force governance framework.



- 4.15 The draft Terms of Reference for the Health, Safety and Environment (HSE) Governance Board set out the purpose to improve the working environment and fulfil TVP's statutory health and safety requirements and responsibilities. The key responsibilities include:
  - Oversee delivery of a new HSE Performance Dashboard.
  - Review local HSE Committees' scope and consistency.
  - Develop and implement the People Strategy HSE actions.
  - Implement a post implementation review of the restructure of HSE.
  - Maintain the performance dashboard.
  - Ensure delivery of the Seven Point Plan for assaults on our people.
  - Ensure on-going compliance with statutory requirements.

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- Ensure communication and awareness of health and safety at a corporate level and the provision of relevant timely data and insight.
- Ensure local Health and Safety Committees are able to effectively operate and contribute to the HSE elements of the People Strategy.
- Ratify impact assessments of legislative and good practice developments against existing Force policies, plans and procedures.
- Sign off the Annual HSE Report for the JIAC as ready for ratification by CCMT.
- Maintain alignment of HSE components of the People Strategy, Safety and Wellbeing Plan with the Annual JAIC Report and respond to any feedback from JAIC.
- 4.16 Overall, the changes should ensure strengthened HSE performance, risk management and culture within TVP, continued compliance with relevant legislation and regulation and is consistent with NPCC guidelines.

NPCC Top-level Guidance	Proposed Model	
Provide strong, active leadership from the top with visible commitment	Enhances visibility	
Integrate HSE into the general management system of the Force	Enhances – embed into risk	
Embed positive HSE culture	Maintains - Enhances	
Ensure a written statement of policy and the organisation is in place for managing HSE	Maintains	
Identifying and allocating accountability and responsibilities to all managers and staff	Enhances governance model	
Ensure foreseeable significant hazards are identified through risk assessments and eliminated	Maintains	
Provision of adequate resources, including appointment of competent professional staff	Enhances capacity and resilience	
Provide information, instruction and training and staff consultation	Maintains - Enhances	
Encourage the appointment of Trade Union and Staff Association safety representatives	Maintains	
Ensure the establishment of safety committees	Enhances – new HSE Committee	
Establish systems so the implementation of HSE policies can be monitored, evaluated and reviewed	Enhances – Corporate Governance processes	
Carry out an annual Force review of HSE policy & performance with results incorporated in the annual report	Maintains – enhances quality	
Consider the annual report in light of the Local Policing Plan and the setting of Force objectives and performance indicators	Maintains- enhances informed decision-making	

## Summary of Performance 2021-2022

4.17 An overview of performance is set out below, under the People Strategy HSE year one and the Force Delivery Plan actions. This update should be read in conjunction with the wider Annual People Directorate Report and the Wellbeing Report, also submitted at this time.

'We are committed to promoting and maintaining health, safety and wellbeing. Ensuring our people have access to the right resources, support and encouragement when they need them.'

- 4.18 This encompasses our ambition to promote a culture of commitment towards health, safety and wellbeing so that all our people feel supported and able to do their best in the service of our communities. To achieve this, we have identified that we need to:
  - Implement a Health, Safety and Wellbeing Plan.
  - Develop the capabilities of managers and supervisors to provide proactive safety leadership.
  - Ensure our people are skilled and feel confident to make informed decisions to manage threat, harm and risk and increase awareness of toolkits and resources for wellbeing.
  - 4.19 **Implement a Health and Safety Wellbeing Plan.** The Wellbeing Plan 2020-2025, to support the People Strategy, is being finalised for publication. Going forward, as part of the proposed HSE changes, there will be increased focus on health and safety and a performance dashboard to provide strategic governance, monitoring and visibility of arrangements in place and performance delivered.
- 4.20 **Strengthen our leadership capabilities and partnership working.** The HSE review and identified changes (outlined in this paper) will strengthen the health and safety governance, management and capabilities at all levels across the Force. This encompasses the arrangements for working across regional units, our partners and contractors.
- 4.21 **Further embed and devolve ownership and local risk-based management.** A new HSE Risk Register and Compliance Log has been developed. The Risk Register incorporates the fundamental risks to TVP, such as harm to people through accidents and incidents, as well as operational risks based around the causes such as compliance and performance against legislation and/or best practice, governance/decision making, clarity of roles and responsibilities, skills and culture. The Compliance Activity Log captures all activity required to comply with legislation or best practice that is necessary to manage these risks within the risk appetite and tolerances of the Force. This insight has provided clearer management information to inform business change work and the prioritisation of HSE activities to improve Force performance and the effectiveness of risk management. Health and Safety continue to provide strategic and tactical advice to manage significant risks around police operations ( for example Operation

Infinity and the major fire incident in Reading) and delivering Livelinks in custody, new custody consultation booths and knife arches, as well as specific risks in custody including cell doors and ligature points.

- 4.22 **Communicate about our health and wellbeing resources.** Corporate communications on health and safety was identified, in the internal audit, as an area for improvement. This will be strengthened by the proposed changes, which will empower and make senior management teams across the Force more accountable for HSE within their area of business. In March 2022, the new TVP Intranet KnowZone site went live. HSE is signposted in the People Hub, one of the main gateways on the site, and the bespoke dedicated HSE pages now contain improved resources, providing increased access and information to manage health and safety. <u>Health & Safety (sharepoint.com)</u>
- 4.23 **Improve physical and mental health provisions.** TVP has invested £410,321 of the Wellbeing Budget on a range of initiatives in 2021-22 as set out in the People Directorate and Wellbeing Annual Reports.
- 4.24 Fulfil the Disability Confident action plan. TVP is currently a Disability Confident (DC) Level 2 Employer: our DC Level 3 Lead Employer application is ready for submission and TVP are confident we can demonstrate we exceed this standard. The National Police Chiefs Council (NPCC) require all forces to obtain Level 3 by January 2023.
- 4.25 **Implement Emergency Services Trauma Intervention Program (ESTIP).** The ESTIP model of care has been implemented and scope increased as outlined in the People Directorate and Wellbeing Annual Reports.
- 4.26 **Deliver the agreed annual vaccination programme.** The annual flu vaccination programme has been delivered as outlined in the People Directorate and Wellbeing Annual Reports.
- 4.27 **Improve learning around health, safety and wellbeing matters.** A comprehensive library of resources and toolkits, alongside training and awareness days and peer support and coaching is increasing awareness and learning around how to manage health, safety and wellbeing for individuals and teams.
- 4.28 This year, mandatory and specialist training has focused on recovery from the Covid-19 pandemic and the challenges of managing backlogs of students requiring training alongside the increased demand resulting from Operation Uplift growth in establishment.
  - 4.29 Over the past year, the landscape for Personal Safety Training (PST) has changed, with greater public scrutiny and debate on the use of force. In 2020-21, Covid-19 forced the reduction of PST to 6 hours: this year TVP reinstated a second day of training for over 2,000 front line staff. Focusing on key safety issues such as road safety, the principles of GOWISELY (to identify and respond to the risks of prone restraint), revision of edge weapon attacks, safe lift and carry of non-compliant subjects, safe cell placement and the operational risks relating to PPE and medical issues, to keep our communities safer. Work by the Physical

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Development Services and Learning & Development Administration Teams to steadily improve compliance rates for PST, as part of Covid recovery, have gone well, with the rate for front line officers at over 90% in most LPAs by the end of the year.

PST - Police (Excl. Specials & Non-Deployable Officers)												
LPA / Dept SSAMI Data	PST Mod 1	PST Mod 1	PST Mod 2									
	21/04/2021	16/06/2021	26/07/2021	25/10/2021	08/12/2021	30/03/2022	LPST002					
FORCETARGET	85%	85%	85%	85%	85%	85%	85%					
Target Audience (Deployable)					3598 (4170)	3654 (4213)	1957 (2278)					
Aylesbury Vale LPA	88%	92%	80%	79%	78%	90%						
Bracknell & Wokingham LPA	93%	98%	97%	92%	87%	89%	Previously suspended					
Cherwell & West Oxon LPA	90%	97%	94%	89%	85%	95%	due to					
Chiltern & South Bucks LPA	89%	94%	91%	83%	85%	89%	Covid-19.					
Milton Keynes LPA	81%	90%	91%	76%	79%	87%	Re-started in					
Oxford LPA	90%	90%	84%	86%	84%	90%	Oct 2021.					
Reading LPA	93%	95%	94%	85%	86%	89%						
Slough LPA	94%	91%	89%	91%	87%	93%	Currently 995 Officers					
South Oxon & Vale LPA	90%	95%	88%	89%	91%	94%	Accredited					
West Berkshire LPA	90%	94%	95%	89%	84%	87%						
Windsor & Maidenhead LPA	87%	92%	93%	84%	85%	87%	L&D Resources					
Wycombe LPA	84%	94%	91%	67%	82%	90%	too limited to					
Criminal Justice	82%	89%	88%	77%	82%	90%	deliver PST					
Force Crime	49%	53%	64%	54%	55%	76%	MOD 2 in 2022-23					
Force Intelligence & Spec Ops	58%	83%	88%	78%	79%	83%						
** PST MOD 1 - 332 Enrolled												

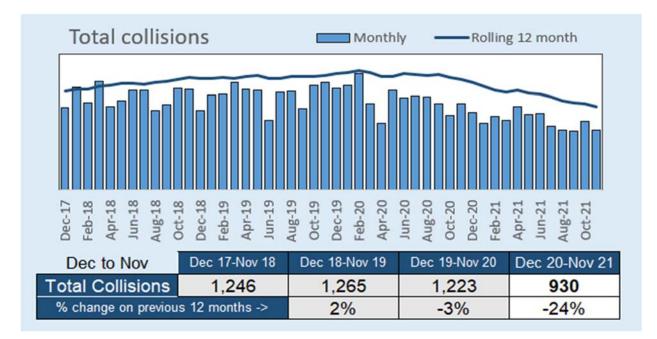
4.30 New national guidance has been introduced for Job Related Fitness Tests (JRT), for the use of the alternative Chester Treadmill Test as a default for individuals who failed the main shuttle run test. TVP has a number of sites where this can be undertaken and 166 tests have been conducted, with a 79.5% pass rate. Overall, the pass rate for fitness testing in TVP remains high at 97.35%.

1 April 2021 – 11 March 2022	Completed	Failed	% Pass	% Fail
PST100 - JRF	3,250	75	97.7	2.3
PST102 - Chester	166	34	79.5	20.5
PST101 – Specials	723	1	99.9	0.1
Total	4,139	110	97.35	2.65

4.31 There has been issues with some venues this year, with repairs required to the PST Centre at Sulhamstead. Due to the criticality of maintaining delivery, Holdsworth Hall was re-commissioned as a DoJo, and Property Services responded with agility to re-purpose the old Maidenhead Magistrates Court as an additional PST venue, converting Courtroom 1 and 2 into functional DoJo spaces. These arrangements are likely to continue until the end of May 2022.

- 4.32 The wellbeing fund has been used to purchase new equipment for Force gyms and to bring them under the central management of Physical Development Services, to support our people improve their health and wellbeing.
- 4.33 The focus for first aid and medics training has been to increase compliance rates, impacted by Covid restrictions, for mandatory training. Compliance rates for mandatory first aid training, have now reached around 85% for LPAs. Compliance rates have been harder to achieve in some areas (e.g. Force Crime and Roads Policing) due to issues around abstraction, but work is underway to address this. The retention of the blended learning approach has worked well with its mix of online and classroom assessment (as required by the HSE).
- 4.34 The training of enhanced first aid and medics remains on track, with complex scenario training reinstated and developments in pre-hospital care continuing to be submitted through the Clinical Governance Board. There have been many examples this year of outstanding emergency first aid provided to our communities from TVP officers and staff.
- 4.35 In 2021-22 driver training faced significant challenges, with a spike in demand from Operation Uplift growth and the Covid backlog, increasing an already difficult situation. Additional resources had been approved but recruitment has proved difficult in a competitive market. A market supplement for driver trainers was agreed, to aid retention, and this has been successful allowing driver training to increase its output and intake projections. A backlog of officers awaiting a threeweek standard response course remains, with a wait time varying in line with local area prioritisation. This is a similar picture nationally.
- 4.36 As Covid restrictions have reduced, licence re-accreditations, pursuit reaccreditation and tactical pursuit courses have resumed to pre-Covid levels.
- 4.37 The Driver Risk Unit has seen key changes this year, with the planned and managed removal of the 20+mph cap in three LPAs, and the introduction of a coordinated Police Vehicle Incident Reduction Strategy aligned with the new Telematics System. TVP has seen a reduction in collisions of 24% in 2021-2022. Data from the telematics system is analysed to identify higher risk driver behaviour. Identified individuals, are supported by a Driver Risk Management Assessments (DRMAs) and personal action plans, to promote safety and reduce accidents.

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- 4.38 In 2022, a national risk was raised around the numbers of surveillance-trained staff, because of a near stoppage of training, due to the Covid Pandemic. Consequently, this year TVP has seen a record delivery, to reduce backlogs and mitigate the risk. This has resulted in cost recovery income of the year in excess of £400,000.
- 4.39 A new Optic Course was introduced in 2021-22, to replace the previous OP and camera competency courses. The Optic Course is contextualised into an operational focussed product, makes better use of technology, in a more realistic environment. It has been well received by students as a more rounded and fit-forpurpose product.
- 4.40 Ensure resourcing to correct establishment levels and reduce avoidable attrition. Workforce planning has continued to be a priority for the Force to ensure that we have the right number of people in place with the right skills at the right time. An important part of creating a safe and healthy working environment. We have continued to balance and maximise opportunities to deliver more blended attraction, recruitment and on boarding activities, on-line.
- 4.41 Despite the challenges, arising from Covid-19 and the competitive labour market, TVP has delivered the combined year one and year two Police Officer Uplift Programme growth: exceeding the target of 365 additional police officers by three, as at 31 March 2022.

			Mar-21	
Actuals - FTE by Month	3824.55	3972.93	4092.72	4167.76
Vacancy Rate - %	-0.70%	3.10%	2.21%	0.60%
Vacancy Rate - FTE	-27.70	118.33	88.42	24.76
Appointed YTD - Student Officer	325.00	376.00	282.00	424.00
Appointed YTD - Transfers In	37.00	31.00	10.00	28.00
Appointed YTD - all other Joiners	51.65	63.3	51.00	44.66
Leavers YTD	322.22	299.70	216.05	358.40
Total Leavers Projec	tion to e	nd of Ma	rch 2022	250 40

RECRUIT POLICE OFFICERS (Est for 21/22 is 4143) - FTE

Total Leavers Projection to end of March 2022 358.40

4.42 The end of year overall Force resourcing picture reflects the recruitment challenges faced this year in respect of police staff roles, in particular PCSOs. This continues to be a priority for 2022-2023.

Force Establishment v Actual position 31 March 2022										
	Year End Est	Actual FTE	Variance FTE	Variance %						
Officer	4143.0	4167.76	24.76	0.6						
Contact Management *	558.2	556.97	-1.23	-0.2						
PCSO	410.88	323.38	-87.50	-21.3						
Staff *	2360.80	213.58	-230.22	-9.75						
Specials	300	281	-19	-6.3						

\* Variance Full Time Equivalent (FTE) is gross so the actual number of unfilled roles will be lower because we have temporary staff in some roles.

Data is FTE and excludes extern ally funded units such as CTPSE and SEROCU.

Improve our understanding of reasons for sickness absence. During 4.43 the 2020 Covid-19 pandemic, the total hours lost due to sick leave was 429,583 for all staff and officers. This was a significant drop from 557,997 hours that were lost due to sick leave in 2019. However, the Force witnessed a rise in sick leave again throughout 2021 which totalled <sup>1</sup>520,684 hours lost. The three common causes of sick leave across both staff and officers are psychological wellbeing, respiratory issues and musculoskeletal issues.

4.44 Analysing 2021 reasons for psychological sick leave, stress was the most common category, which accounted for a total of 74,585 hours lost across staff, police officers and PCSOs during the period of January to December 2021. Stress accounts for 57% of the total hours lost due to psychological reasons for sick leave in 2021. Anxiety was the second most common reason for psychological sick leave, with a total of 29,585 hours lost due to this reason in 2021 (22% of total psychological sick leave). Due to the sharp increase in psychological reasons for sick leave, this is a priority area to understand what/if any organisational or occupational stressors are contributing to this. Research, by Governance Service and Improvement, has been carried out to understand the common workplace triggers of stress and anxiety in the workplace. These findings are being shared with the Wellbeing Team, along with other relevant departments, in order to improve on current support strategies to try to mitigate the risk of this type of sick leave increasing further.

4.45 Musculoskeletal reasons are the second most common cause of taking sick leave. In 2019, musculoskeletal reasons for sick leave accounted for 114,048 hours lost. In 2020, this reduced to a total of 77,524 hours lost. In 2021, there was a further reduction - 77,268 hours lost. Comparing guarter 1 of 2021, to guarter 4 of 2021,

<sup>&</sup>lt;sup>1</sup> Data Strategic Attendance Toolkit April 2022.

there is still evidence of a downward trend as there is a -2% change. Factors influencing this trend will include the transition to more hybrid ways of working particularly in staff roles. However, there is no guarantee that this downward trend will continue with more people returning back into office working but this may offer insight on the benefits of a more flexible hybrid-working model.

4.46 Also of note, respiratory issues are rising sharply. The three LPAs with the highest number of hours lost so far in guarter 4 include Slough (1,289), Oxford (1,031) and Cherwell and West Oxon (1,106). Oxford LPA has the highest percentage change of all the LPAs (583% increase between quarter 4 in 2021 and quarter 4 in 2022). These statistics could easily be reflective of seasonal trends; however, as more staff and officers move back into the office or hybrid working, it will be important to monitor any spikes in this type of sick leave to inform best working practices.

The number of adjusted and recuperative officers and staff increased in 2021-2022.

	Mar 2019	March 2020	March 2021	March 2022
Officer Adjusted	172	221	255	282
Officer Recuperative	174	116	95	138
Staff Recuperative	32	39	33	47
PCSO Recuperative	15	5	8	18

Data excludes externally funded CTPSE, SEROCU, RSF & CTC

4.47 The number of officer and staff ill health applications increased in 2021 compared to 2020 (the first year of the Covid-19 pandemic), but the overall number of officer III Health Retirement (IHR) applications continues to be lower than in 2018 and 2019.

Officers	2018	2019	2020	2021	2022
IHR Applications	21	11	3	7	2
Retired	6	1	4	3	

Staff	2018	2019	2020	2021	2022
IHR Applications	0	5	2	4	1
Retired	2	0	2	3	
Officers Deferred	2018	2019	2020	2021	2022
IHR Applications	4	3	3	0	0
Pension Released	3	1	3	0	
Staff Deferred	2018	2019	2020	2021	2022
IHR Applications	2	0	0	3	0
Pension Retired	0	0	0	0	

4.48 The Police Benefit Injury Regulations provides officers injured on duty access to an Injury on Duty (IOD) Award. This is given where an officer is permanently disabled due to (or substantially caused by) an injury received in the execution of duty without their default. There are four levels of award: Level 1 a 0-25% payment, Level 2 a 25-50% payment, Level 3 a 50-75% payment and Level 4 a 75-100% payment. TVP has a pyramid of level payments with the highest

number in Level 1, unlike other forces such as Essex and Kent that have more Level 4

than Level 1 awards. TVP also has a high percentage of historic awards with 258 (67%) awarded more than 20 years ago, where other forces such as Hampshire have more recent than historic awards. The demographic of pensioners and levels differs significantly between forces.

TVP IOD Awards	Unknown	Level 1	Level 2	Level 3	Level 4	Total
Total Awarded	7	207	86	46	35	381

4.49 Most IOD applications follow immediately after an IHR.

IOD Awards		20	018		20	19		202	20		202	21		20	22	
Levels of Award 1-4	1	1		1	1	1				1						
Total Awarded in Year			2		4	3		1			5				2	

4.50 **Mutual aid support to other forces.** We have seen a five-fold increase in mutual aid requests from 4,000 in 2017-2018 to 20,000 in 2020-21. This has increased internal demand on planning teams and operational officers/staff, and driven an increase in duty changes, rest day working, overtime and resilience issues within teams particularly across ICR.

Force	2016 to 2017	2017 to 2018	2018 to 2019	2019 to 2020	2021
North West	2609	13304	5191	5856	5579
North East	5440	7942	7521	6629	5189
Central	2554	1996	5688	3187	5254
East Midlands	2226	2331	3166	2938	4332
Wales	894	6514	2016	2227	2157
Eastern	3144	2401	9985	6092	4699
London (incl BTP)	2502	4890	6586	16258	6923
South West	5274	7233	19016	4267	43799
South East	4247	3765	20927	12673	20146

Data from SERICC Annual Report 2021

- 4.51 Data for 2022 is not available yet, but will reflect TVP's support to Forth Bridge and CoP26.
- 4.52 Internally protected learning time for the new Policing Education Qualifications Framework (PEQF) - university learning inputs of the course - has and will continue to cause resourcing challenges in Incident and Crime Response (ICRs). CCMT have agreed a range of resourcing and resilience interventions, to seek to mitigate the impact. These include:
  - A review of secondments from ICR with a view to return officers to ICR duties.
  - A Force vacancy factor for all departments/functions.
  - Temporary hold on local policing uplift into non ICR functions.
  - Embargo on ICR staff applying for roles on in LPAs with critical resilience issues.

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- Reduced Force Annual Leave abstraction rate to 25%.
- Advance rostering of local policing functions to known periods of shortfalls.
- 4.53 TVP has specifically noted overtime management as an activity to support the priority outcome of 'using our resources wisely'. An Overtime Gold Group was established in October 2021 with ACC Tim Metcalfe as Gold Lead and Chief Superintendent Mike Loebenberg as Silver Lead. The Gold Group has already implemented changes to start improving the quality of overtime data and the processes that govern the use of overtime. A series of measures have been identified through the wellbeing representative on the Gold Group and are being collated into a baseline against which to monitor both the positive and potentially negative impact of better overtime management on individual's health and financial wellbeing. Over the course of 2022-2023, the Overtime Gold Group aims to design and implement further process improvements, reporting capability and data analysis so that leaders throughout the organisation can understand and feel accountable for their overtime spend. The overtime dashboard will continue to evolve to assist in this process alongside other systems, and does now include data for both police and staff.
- 4.54 **Officer Safety Review** and 7 Point plan. The National Officer and Safety Review Survey, commissioned by the College of Policing, in response to concerns about rising assaults and increased violence against officers identified a package of agreed measures including:
  - The College of Policing overhauling current safety training and replacing it with a new national curriculum, including recommended contact time with trainers.
  - Introducing an improved process for decision-making about deployment, equipment and other operational issues.
  - Chief Constables reviewing whether their frontline officers and staff have the equipment they need and increasing the availability of Taser, body armour, spit and bite guards, protective gloves and high-visibility clothing to proportionate levels if supported by their strategic threat and risk assessments.
  - Research to examine racial disparities in the police use of Taser.
  - A hard-line approach to investigations into officer assaults with arrest of an offender the default position.
- 4.55 In TVP, the responsibility for implementing the agreed national and Force initiatives on the use of force and assaults, sits with the Personal Safety Board, chaired by ACC Operations, reporting into the Deputy Chief Constable. The Force has set up an Officer and Staff Safety Group with representatives from Criminal Justice, Learning and Development, Health and Safety, Local Police Areas, Federation and Unison. The aim is 'to make the Thames Valley working environment as safe as possible for all officers, staff and volunteers'. The objectives are to:
  - Review and where appropriate implement the 28 recommendations from the national survey on officer wellbeing.

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- Identify and share good practice/organisational learning force wide in relation to officer and staff safety issues.
- To exceed the Force priority outcome of 80% for assaults against officers and staff.
- Identify repeat victims, offenders and locations to take a comprehensive problem solving approach to reducing instances of violence against our staff.
- Comply with the Victims Code for all investigations including routes of escalation and appeal including the Victims Right to Review.
- Ensure that officers and staff maintain their levels of training, commensurate to their role, in line with College of Policing guidance to improve their confidence and competence.
- 4.56 The Officer and Safety Group and the Use of Force Group are making good progress on the local police force recommendations.
- 4.57 An analysis of the use of force and assault data is presented to the Personal Safety Board to provide insight and inform strategic management interventions. TVP uses a 7 Point Investigation Plan to: ensure that assaults on our people are investigated with the same care and diligence as an assault on a member of the public, to achieve a successful prosecution the best evidence is presented, the Victims Code applies, the right welfare and support is provided, and that safety incident reports are completed. Federation representatives are nominated assault Single Points of Contacts (SPOCs) for an area/LPA, they receive all the assault police data every day for the previous 24 hours and ensure the 7 Point Plan has been commenced, is recorded in Niche and if not engage with SMTs to progress. Feedback from Federation post incident.
- 4.58 At a national level, Oscar Kilo (Blue Light Wellbeing) is developing and implementing a National Assault Reporting System. In TVP, the overall number of assaults on police officers and PCSOs (combined) increased by 20% in 2020/2021 compared to the previous year. This year it has decreased by 1.2% compared to 2020-2021. The number of assaults designed as Covid related has also reduced in 2021-2022 compared to the previous year.

LPA	2019/20	2020/21	2021/22	% Change 2021/22	% Force Total in 2022
Aylesbury Vale	41	92	98	6.5%	8%
Bracknell & Wokingham	76	89	144	61.8%	11%
Cherwell & West Oxfordshire	72	84	99	17.9%	8%
Chiltern & South Bucks	63	62	36	-41.9%	3%
Milton Keynes	187	185	197	6.5%	15%
Oxford	90	138	132	-4.3%	10%
Reading	117	125	124	-0.8%	10%

Slough	134	130	94	-27.7%	7%
South & Vale	98	124	123	-0.8%	10%
West Berkshire	49	58	21	-63.8%	2%
Windsor & Maidenhead	96	134	145	8.2%	11%
Wycombe	64	78	71	-9.0%	6%
Not assigned to LPA	1	5	4	-20.0%	0%
Thames Valley	1088	1304	1288	-1.2%	100%

4.59 The number of Covid-19<sup>2</sup> related assaults (included in the overall figures above) have also reduced in 2021-22 compared to the previous year.

LPA	2020/21	2021/22	% in 2020/21	% in 2021/22
Aylesbury Vale	24	14	26.1%	14.3%
Bracknell & Wokingham	21	30	23.6%	20.8%
Cherwell & West Oxfordshire	9	15	10.7%	15.2%
Chiltern & South Bucks	14	3	22.6%	8.3%
Milton Keynes	27	33	14.6%	16.8%
Oxford	36	25	26.1%	18.9%
Reading	32	31	25.6%	25.0%
Slough	26	17	20.0%	18.1%
South & Vale	43	22	34.7%	17.9%
West Berkshire	6	3	10.3%	14.3%
Windsor & Maidenhead	31	22	23.1%	15.2%
Wycombe	17	15	21.8%	21.1%
Not Assigned to LPA	0	0	0.0%	0.0%
Thames Valley	286	230	21.9%	17.9%

4.60 The Officer and Staff Safety Group also review data to understand: repeat victims, repeat offenders, top five locations, the challenges and opportunities for improvement. Of the total number of officers assaulted 57% have three years' service or less, 190 have been assaulted twice, 61 three times and 17 four times. Work is ongoing with Learning and Development to identify opportunities to improve training to give newer officers more confidence in using the skills they have been taught. Work is also being progressed to implement a structured supportive meeting for officers and staff who have been assaulted three times in a

<sup>&</sup>lt;sup>2</sup> Records have been reviewed and those where assaults include coughing and spitting at officers have been designated as Covid related

rolling twelve-month period. This would be a supportive meeting led by Learning and Development and the LPA reviewing the assaults using Body Worn Video (BWV) and statements to identify learning and other tactics/contingencies available. Work is also ongoing with Criminal Justice supported by Health and Safety to reduce the number of assaults in repeat locations, which are predominantly custody suites.

- 4.61 A review found that the evidence available to charge is available in 90% of cases when offenders arrive in custody. This evidence is predominately officer statements and BWV data. The move to a 'must' use BWV for initial response should assist with more outcomes. A learning event is planned for Supervisors around good practice for investigation, wellbeing and prevention.
- 4.62 The WHSE Board and LPA HSE meetings also review accident and assault data. There is a discrepancy between assaults recorded on Niche and Health and Safety Incident Reports submitted. Governance & Service Improvement, Health and Safety and Chief Superintendent Sarah Grahame are working together to align and improve health and safety reports submitted.
- 4.63 The Service Improvement Team provide a daily report of assaults on our people to Senior Management Teams, HSE and Federation Advisors. Personal Safety Instructors review repeat cases and identify patterns in the data to identify training needs or areas for improvement. A case example was the inclusion of ground defence tactics. Following the fatal stabbing of an officer in the Metropolitan Police, local Health and Safety Boards have identified and implemented improvements to the searching of detained persons in Custody and the installation of knife arches.
- 4.64 Serious incident investigations take place to identify the causes and underlying factors, to reduce future risks to our people by implementing improvements and shared learning. An example relates to an officer who sustained serious injuries when hit by a car. Following a review, the Clinical Governance Board determined, that vehicle response and patrol trauma kits should not only include tourniquets (to save lives by controlling catastrophic blood loss from limbs) but other equipment such as chest seals, trauma bandages and Haemostats (blood clotting agents) for other serious life threatening injuries. The enhanced trauma packs have been implemented along with associated changes in first aid training.
- 4.65 In the calendar year 2020 eight RIDDOR<sup>3</sup> assaults were reported, compared to three in 2019 and ten in 2018. RIDDOR reports are required where there has been a significant level of injury and/or the assault resulted in seven of more days absence from work.
- 4.66 The overall number of reported accidents (reported via TVPs internal PER10 process (and excludes assaults see above)) reduced across all staff groups in 2020 compared to the previous two years. Although the total number of officer

<sup>&</sup>lt;sup>3</sup> RIDDOR: Reporting of Injuries, Diseases and Dangerous Occurrences Regulations, this is the mandatory reporting to the Health and Safety Executive of certain serious workplace accidents, occupational diseases and specified dangerous occurrences (near misses).

accidents reported reduced, the percentage of these that were reported under RIDDOR increased to 8.7% in 2020 compared to 4.6% in 2019. In 2021 the overall number of officer accidents reported has continued to reduce along with the percentage reported under RIDDOR 8.7% in 2020 to 4.8% in 2021. Overall staff accidents have continued to reduce each year over the four-year period.

	Total Accidents (excludes assaults)	Number of RIDDOR reported
Officers		
Jan – Dec 2018	354	11
Jan – Dec 2019	323	15
Jan – Dec 2020	274	24
Jan – Dec 2021	249	12
Specials		
Jan – Dec 2018	12	
Jan – Dec 2019	9	
Jan – Dec 2020	4	
Jan – Dec 2021	9	
Staff		
Jan – Dec 2018	136	6
Jan – Dec 2019	176	5
Jan – Dec 2020	105	1
Jan – Dec 2021	95	5

Source: TVP annual data return to Association of Police Health and Safety Advisors (APHSA). Data source: PER 10s and sickness absences.

- 4.67 HSE and Property Services work together to ensure the safety of the estate. Along with safety tours of buildings there is specific focus on the risk areas of Fire, Asbestos and Legionella Water management.
- 4.68 The pandemic restrictions disrupted the planned pattern of ongoing Fire and Asbestos meetings over this time, but as restrictions ease meetings are reestablished to monitor the completion of assessments and progress actions.
- 4.69 Property Services monitor weekly fire checks, recorded on the Computer Aided Facilities Management system (CAFM). HSE Coordinators and Facilities Managers review fire risk assessments of all buildings on an annual basis. A Property Services appointed consultant reviews high-risk buildings, and medium and low risk building fire assessments are completed by Facilities Managers and HSE Coordinators. A Fire Management Strategy has been developed to support the revised simplified Fire Policy Statement.
- 4.70 TVP has a full suite of asbestos management surveys, for all our sites, and the data has been reviewed. The reports are stored as PDF documents and loaded into CAFM system to provide access by all relevant parties. In due course, all asbestos data will be fully integrated into the CAFM system. All medium and high-risk surveys have been reviewed, and where necessary appropriate remedial action undertaken by an appropriately certified and qualified contractor. These were very limited in number, with the large majority of the asbestos containing materials inspected being identified as low risk. These will continue to be monitored and managed. Asbestos is not subject to continual monitoring, due to

the nature of the risk, however reviews, additional surveys and remedial work is undertaken where changes to the estate are planned and remedial work is required. Re-establishment of periodic meetings will ensure coordination of activities between maintenance of estate and projects. A revised and simplified Asbestos Policy Statement has been developed and circulated along with an Asbestos Management Strategy.

4.71 Legionella and Water Management is subject to monthly review meetings, attended by TVP's Head of HSE and Senior Building Services Engineer and the appointed external principal contractor. A document management system OPUZ provides a repository of relevant documents and a dashboard to monitor contract performance. A Water Management Strategy has been developed to support the revised simplified Water Policy Statement. The wet cooling towers at Reading Police Station have been fully decommissioned, which has reduced the operational cost and risk.

# 5 Key areas of priority for 2021-2022

- 5.1 To continue to deliver the strategic health and safety ambition set out in the People Strategy 2021-2005 to promote a culture of commitment towards health, safety and wellbeing at all levels. To ensure we have appropriate governance and oversight to manage risk and to enable our people to feel safe, supported and able to do their best.
- 5.2 To implement the agreed new HSE governance and operating model.
- 5.3 To take forward and deliver the management actions contained in the Joint Internal Audit Health and Safety Report 2022.
- 5.4 To continue to take forward and implement the recommendations from the Officer and Staff Safety Review recommendations.
- 5.5 To implement the new College of Policing mandatory 2-day scenario-based Personal Safety Training curriculum from April 2023.
- 5.6 To maintain agreed Force establishment levels and provide our people with the skills and to be equipped to promote and maintain a safe working environment.
- 5.7 To continue the work with the Force appointed external consultant to review fire risks and undertake fire compartmentation audits. To undertake appropriate remedial work identified in the surveys to ensure compartmentation is maintained to the correct standard. To evaluate the pilot 'fire grab card system', to replace the existing system of designated fire wardens, as the Force moves to permanent smarter ways of working, to create a simplified approach to fire evacuation.

# 6 Future risks and mitigation for 2022–2023

6.1 The past two years has highlighted the importance of fast decisive action based on risk assessments to mitigate and manage risk to our staff, partners and communities. With the support of the government, NPCC, partners and our people, TVP has demonstrated the ability to effectively command and manage

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operational and organisational risks to keep our people and communities safe during the pandemic.

- 6.2 Although day-to-day activities were disrupted, new ways of working and delivering services have been implemented successfully to maintain core-policing services whilst keeping people safe. Going forward TVP needs to maintain and embed learning and new ways of working to mitigate against new unforeseen risks such as pandemics. The continued investment in digital technology, skills and smart ways of working will enable us to mitigate the risks.
- 6.3 The increased use of software, apps and smart tools provides opportunities to collect better data and to track safety metrics. There are gaps in the health and safety data we are able to collect and analyse due to the legacy software systems currently in use in TVP. The Force is not alone and there are gaps in data across policing. With more advanced tools we will be able to collate and crunch more numbers and understand the data better than ever before whilst spending less and less time on administration activities. A culture of safety and a conscious safety effort will still be incredibly important but safety metrics will begin to tell a more accurate and comprehensive position. We would be able to rely on the data and make quicker and better decisions about safety every day.
- 6.4 Delivering the 2022-23 Police Uplift Programme growth allocation (244 offices) will continue to increase the pressure on Learning and Development. All areas of Learning and Development have seen increased demand and had difficulties recruiting and retaining skilled training roles. There is a risk that demand will exceed TVP's ability to supply courses and some courses will have increased backlog waits.
- 6.5 Backlogs in Driver Training, particularly Standard Response Courses will continue as Operation Uplift demand exceeds current capacity. Additional challenges will present as the 20+mph cap is removed across a wider force area, together with intrusive telematics monitoring. The Driver Policy, Police Vehicle Incident Management Policy, and Operational Standard Operating Procedures for Telematics will be combined into a single overarching document
- 6.6 The new College of Policing Personal Safety Training course will increase demand for PST by around 2,500 student days as all officers will be required to undertake 2 days of PST training, including detectives (who currently do one day per year). This will result in additional abstraction, particularly for Force CID and Major Crime. During 2022-2023, preparatory work will be undertaken for the implementation, including fitment of venues with new equipment, upskilling of existing trainers and recruitment and training of new additional trainers.
- 6.7 The PEQF protected learning time abstractions will continue to be a challenge to Force resourcing and resilience levels.

Christine Kirby Acting Director of People 6 May 2022

Paper prepared by: Katrina Hancox, Strategic Integration Business Partner.

# JIAC Diversity, Equality and Inclusion Report April 2021 – March 2022

# 1. Introduction

The enclosed annual report reaffirms Thames Valley Police's commitment to Diversity, Equality and Inclusion (DE&I), accounting for the period April 2021 - March 2022, and planned activity for 2022-2023.

## 2. Equality, Diversity and Inclusion strategic governance

The Chief Constable has set out his vision and commitment to building a diverse and inclusive workforce within the Force Strategic Plan. Activities are structured around the NPCC DEI Strategy and Toolkit. DE&I features as a key pillar in the force's People Strategy.

Governance frameworks include, but are not limited to the following:

The Chief Officers' Diversity and Inclusion (D&I) Board, chaired by the Chief Constable, reviews diversity priorities and considers regional and national issues. Each chief officer leads on strands of diversity (comprising one or more protected characteristics), supported by a dedicated working group to drive activity and engagement, including the relevant Staff Support Associations (SSAs) that care for the interests of staff within each strand of diversity. Whilst the Chief Constable retains overall leadership for DE&I, responsibility for external facing issues sits with the ACC Local Policing, and responsibility for internal facing issues with the Director of People. A DE&I programme lead at Superintendent level, reporting to the Local Policing department, leads on the operational portfolio and the Diversity and Inclusion Business Partner leads on the internal portfolio. The Diversity and Inclusion Business Partner has recently been seconded to the College of Policing for a two-year period, and cover arrangements are being applied in their place.

DE&I leads report to key governance boards (Diversity and Inclusion Board, Legitimacy Board, Workforce Planning Board, Promotions Steering Group) to drive DE&I through the force. <u>The 2018-2025 DEI Strategy</u> and <u>the Workforce Representation and Diversity</u> <u>Toolkit</u> provide with a comprehensive format to steer and support the delivery of DE&I. The toolkit is divided into four areas entitled: Our Communities, Our Organisation, Our Partners and Attraction, Recruitment, Progression and Retention. Each area has a number of workstreams and specific activities. In total, there are 235 actions that need to be considered across the nine protected characteristics at strategic, tactical, operational or Force, LPA or OCU and individual levels, resulting in approximately 4,230 potential questions, and the force utilised this toolkit as a blueprint for continued activity and improvement through 2020/1 to 2021/2.

The Legitimacy Board, chaired by ACC Local Policing, has an overarching aim to understand and address any areas of disparity, which affect our under represented communities, concentrating on critical risk areas of race disproportionality including stop and search, use of force, arrest and custody, non-arrest disposals, crime management, and community engagement. It continues to work through its programme of reviews, with the collection and management of intelligence due for arising in May/June 2022. Addressing these issues supports the force's drive to build community cohesion and in turn build trust and confidence in TVP.

More recently, with the development of the operational data we have been able to identify LPAs with emerging disparity trends and have started to invite these LPAs to the Legitimacy Board to talk through the local context and provide assurance on local work to understand any potential disparity trends. This will continue also through the strategic working group too. This is providing further scrutiny and accountability on key areas of operational focus like stop and search.

The legitimacy board is subject to independent scrutiny via the Strategic Independent Advisory Group (SIAG), and has a direct relationship with a specific Stop & Search IAG (SSIAG) in which members of the SIAG review of Body Worn Video footage of police stop & search encounters. In turn, the SIAG governs a structure of local IAGs which mirrors the aforementioned BWV review process on Local Police Areas, together with bespoke Community Scrutiny Panels. The Legitimacy Board reports to the DE&I Board, and thereby, directly to the Chief Constable and his management team. Further detail is provided in section 7.

As we continue to develop the activities outlined in the NPCC DE&I Toolkit, we are creating a culture of belonging and inclusivity, governed by the Force D&I Board and an internal governance structure spearheaded by the Workforce Planning Board and specialist forums (e.g. Training Prioritisation Board, the Network Chairs meeting of SSA chairs), maintaining and developing a range of developmental workstreams and innovations. In addition to products described in section 5, initiatives include Positive Action Promotion Coaching, a process by which the Support Association for Minority Ethnic staff (SAME) to review police applicants and the commissioning of a pilot series of staff engagement workshops entitled The Power of Belonging that will commence imminently. Arising initiatives include a Change of Role Interview pilot, and Positive Steps police staff workshops. The force has continued to support awareness days and high profile thematic conferences to support SSAs including SAME and the Thames Valley Women's Network. Diversity and Inclusion resources have been made available on the new force Intranet that has recently been launched.

The chief officers' diversity strand working groups have their own strategies and action plans, a few examples (among many) being an arising neurodiversity training product scheduled for August, the management, outreach and engagement of LGBT+ liaison officers throughout the organisation, and the presence and maintenance of religious prayer spaces.

The Chief Constable meets regularly with the SSA Chairs to ensure direct engagement with critical staff interests. The aforementioned 'Network Connect' SSA chairs' meeting engages our Buddy Schemes, which have been developed to engage specific interest groups within our community, including endometriosis and cancer. The entirety of the above described structure is linked to the force's wellbeing programmes, a critical visible branch of the force's People Strategy, ensuring that initiatives and resources are joined-up in the progression and delivery of organisational goals.

## 3. Attraction, Recruitment and Representation Positive Action and Engagement Team (PAET)

In 2021 the team (comprising four PCs and one sergeant) were able to supplement their online engagement activities and re-introduced in-person events within our underrepresented communities. During July and August they delivered two intensification events in Milton Keynes and Slough, both of which drew good levels of engagement from the local communities and contributed towards good levels of applications from ethnically diverse candidates for our Police Officer recruitment. The close working relationship between the PAET, Corporate Communications and Police Officer Recruitment has been pivotal to the ongoing success of our recruitment marketing strategy.

Our Summer 2021 campaign, to which the PAET engagement activity contributed, saw the force receive 1,221 applications across our 3 PEQF Police Officer entry routes of which 15% were from Black, Asian or Mixed ethnicity applicants and a further 7.6% from Any Other White Background (including White European), totalling a 22.6% ethnically diverse application rate. We have maintained our diversity levels around this level consistently since then.

The team continue to deliver online workshops and presentations to maintain contact with applicants identifying as ethnically diverse, including information sessions about policing careers and 'Masterclasses' to support candidates ahead of the Online Assessment Process and interviews.

The team introduced a 'Meet the Family' event, initially delivered online due to pandemic restrictions, the team were able to make this an 'in-person' event early in 2022 – the event encourages applicants (who have completed vetting and have a joining date) to a familiarisation event to meet the PAET, along with senior officers, representatives from Foundation Training, Wellbeing and staff support networks – they are invited to bring one or two members of their own family and this has proved very popular with great feedback received.

The team support our ethnically diverse student officers whilst in training, offering regular opportunities for catch up and interventions when specifics concerns or issues or highlighted, to aide retention for those early in their policing career. They also provide tactical advice to internal departments looking to improve their own levels of representation and have delivered inputs to departments including for example Armed Response.

In January 2022 (owing to the success of the PAET during 2020/2021) the team were made substantive, with further investment of two additional officers; which means that the team now comprises of six PCs led by one Sergeant. The new look team were relaunched in February 2022. The priorities of the team going forward in 2022/23 remain community engagement, attraction, retention and progression.

In the recently published HMICFRS PEEL inspection of TVP, the PAET were commended for their good work to recruit and retain more officers from minority ethnic backgrounds.

The work of PAET continues to be a priority for TVP and the following monitoring activity has been included in this year's annual strategic plan: *Continue targeted activities using the PAET for both recruitment & retention.* 

## **Employer Branding and Recruitment Marketing (Corporate Communications)**

The team continue to work closely with the PAET and Recruitment in order to deliver recruitment marketing strategies and communications which reinforce our employer brand

internally and externally. During 2021/22 we continued to use our strapline encouraging people to '*be the difference you want to see*' across all marketing activity, ensuring we use a variety of officers and staff to tell our stories, demonstrating diversity in age, gender, ethnicity and sexual orientation. Our collective activity has been lauded as good practice within policing and has been shared at the national APComm (Association of Police Communicators) training week and also at a Gold Uplift meeting, attended by DCC Hogg at the Home Office.

**Externally** all our activity aims to drive potential applicants to our careers website <u>www.tvpcareers.co.uk</u>, which we have continued to enhance with additional content, blogs and information. We have sought to demonstrate inclusion within the force by marking appropriate awareness days, sharing relevant stories online. We have developed relationships with targeted media, which has resulted in coverage in publications including Eastern Eye (No.1 Asian publication in the UK), Fyne Times (LGBT publication) and military resettlement publications. We have sought out new audiences by trialling advertising on new platforms like Spotify, which saw us reach a diverse new audience of 42,500 people last Summer and have gained interviews for both the PAET and other serving officers on shows like the Bridgitte Tetteh Show, BBC Radio Berkshire aimed at the Thames Valley's Black Communities and on Asian Star radio in Slough. We have also invested in targeted, paid-for campaigns across social media aiming to reach as diverse an audience as possible. As a result, the number of users of our careers website is up 22% Apr-March 2022 compared to the previous year.

**Internally**, we helped communicate and embed the force's new People Strategy. As part of this, we have consistently celebrated awareness days and months including Romany Awareness Month, Black History Month, Pride Month and National Inclusion Week. We work closely with Wellbeing and our Staff Support Networks, helping launch new initiatives including our Men's Forum and Menopause Action Group, all of which serves to reinforce our aim to be an inclusive, supportive employer.

In order to further promote understanding around Positive Action, we communicated the National Uplift's 'All. **Together**. Better' campaign to a positive response. We have worked hard internally, to ensure various departments have supported promotion of their opportunities as broadly as possible, including Armed Response, Protection Group and our Investigative teams. We have also worked with partners like Police Now, to encourage applications for their Frontline Leadership Programme; open to all, but aiming to encourage higher levels of participation from those from ethnically diverse groups and women to aide progression and retention in under-represented groups – we saw great success here; of the 34 TVP participants 62% are female and 17.6% identifying as ethnically diverse.

## Representation

We successfully recruited the force's 2021-2022 uplift component meeting our Uplift target for 21/22. Working with the college we have introduced IPLDP+ as a route of entry for student officers, with the aim of widening our pool of potential applicants further by increasing our attraction to those communities traditionally suffering the impacts of societal prejudice, economic deprivation and therefore lower academic attainment. We are closely monitoring representation across the pipelines for all our routes of entry.

National Uplift monitoring data demonstrates that in 2021/22 47% of our new police officer recruits were female and the percentage attrition of female officers was 7.6% putting TVP

within the highest group for both indicators nationally. 10.7% of our joiners in 2021/22 were from B.A.M.E backgrounds however our percentage attrition of B.A.M.E officers was 13.6% as opposed to 7.9% from white backgrounds. Whilst the percentage of B.A.M.E joiners in 21/22 puts us in the 3<sup>rd</sup> group nationally, the improvement in representation in 21/22 compared with the rolling 3 year figure (6.0%) puts TVP within the highest group nationally for this indicator.

We have also updated the force's exit processes and interview models to improve the quality and enable effective analysis of exit data to enable us to better understand and address the reasons for officer and staff attrition. Through our ICR Programme we have focussed in particular on ICR officers and officers within their first 3 years of service as attrition in this cohort is nationally recognised to be a risk not just the successful delivery of the Uplift Programme but also to maintaining the gains in representation that it has enabled.

The force continues to develop and apply strategies to improve its understanding of protective characteristics with its staff, in particularly through increasing the accessibility of its Diversity Monitoring Questionnaire (DMQ) to new recruits (see section 5).

# 4. Gender Pay Gap

Thames Valley Police published its 5<sup>th</sup> gender pay report in February 2022. Overall the data shows very little change in the hourly combined (police officer and police staff) mean percentage over the 5 year period which still shows around 10% of males earning more than females. If, however, the two staff groups were split, the difference would be police officers males being paid an average hourly rate of 4.9% higher than females, and police staff males paid an average hourly rate of 9% higher than females.

The biggest change this year is demonstrated in bonus payments. The proportion of police officer and police staff males and females receiving a bonus payment has increased this year. The report includes two new bonus payments introduced in 2020. A result of these new bonus payments has seen an increase in the amount of females now receiving a bonus payment and therefore the combined mean gap has reduced by 23.9%.

Thames Valley Police continue to be committed to work towards taking action to understand and close the gender pay gap by supporting and encouraging flexible, creative and innovative ways to attract, develop and retain women.

# 5. Disability

The Reasonable Adjustments Management Process (RAMP) was officially launched in September 2020 during National Inclusion Week. RAMP enables TVP to improve how we monitor and manage providing reasonable adjustments to employees with disabilities. RAMP has provided support for a number of police officers and staff with disabilities, including cancer, musculoskeletal, mental health, specific learning difficulties and sensory impairments, including sight and hearing. The process is now part of the journey from recruitment, performance, sickness absence, adjusted duties, supported recovery plan (SRP) to exit from the force if that proves necessary. We will look to collect and re-use any specialist equipment where possible.

We have received over 270 requests since July 2020, plus over 300 Display Screen Equipment (DSE) assessments. The Health, Safety and Environment (HS&E) Department to RAMP workflow is working well. The transfer onto SAMMI continues to be very slow, but we are working on this. We have an agreed process with recruitment and Bucks New University that identifies applicants requiring reasonable adjustments before they start with TVP.

We have gained level 2 Disability Confident Accreditation and are working towards Level 3 which we hope to achieve by July 2022. We have completed the ICT reasonable adjustments strategy with Hampshire Police which now provides quicker timescales for delivery of accessible IT equipment The Visually Impaired Protocol (VIP), in partnership with Hampshire Police, has now been implemented via the contact centres. Work is ongoing with Contact management (TVP and Hampshire Police) to deliver the Video Relay Service (VRS) to enable British Sign Language (BSL) users to contact us directly via a video BSL interpreter service. Agreement has been reached and budget identified, we are now waiting on implementation.

The Disability Matters Board continues to be well attended by employees who represent a range of disabilities across the force. The Board aims to improve the support TVP provides for both our disabled employees and community members with disabilities. The D&I team continue to analyse the recent Diversity Monitoring Questionnaire (DMQ) data in respect of disability and create a development plan with the Disabled Staff Network. An outcome of the DMQ was an additional 1,000 staff agreeing to identify themselves as disabled on PeopleSoft.

We have implemented the first phase of the D/Deaf Strategy; using a local provider (Total Communication) for F2F BSL interpreting services, this is going very well and have received positive feedback from staff and the D/deaf community. Work continues on developing our own PLOD scheme, better communications and awareness training.

We have increased out number of employees who have are now accredited 'in house Dyslexia Assessors to 24 who are supported by the Workplace Needs Team with over 150 Dyslexia assessments carried out in the last year.

We have introduced a new Adjusted Duties Officer Redeployment and Posting Panel with the aim of matching Adjusted Duties officers without suitable substantive posts to roles which are suitable for them within their adjustments. Work continues to refine and improve processes around this but in the 10 months the panel has been active, it has already posted over 50 adjusted officers without posts into suitable roles.

Within TVP's new annual strategic plan we have included the following monitoring activities: *Continue to embed disability awareness across the force* and *Continue to ensure the RAMP process is implemented & maintained effectively.* 

## 6. Personal Development & Leadership – Positive Action

All of our positive action and talent programmes were started and completed using different delivery formats due to COVID-19. We used online and MS Teams to facilitate our discussions in a different way. Our Positive Action development programmes continue to be very popular. Programmes include, **Professional Action Learning Sets (PALS)**. We delivered the first of four combined police staff and officer PALS cohorts in February

2021 totalling 39 participants. These four programmes will run throughout 2021 and 2022 and are being facilitated in partnership with SAME.

Our **Women's Development Programme**, began a new cohort of 12 participants – 3 inspectors and 9 Sergeants. The programme features psychometrics, coaching and MBTI consultations to aid self - development. This programme is very successful and enjoyed by participants.

In January 2021, we launched the **Sergeant to Chief Inspector Ethnic Minority Progression Programme** aiming to give the candidates wrap around support to allow them to compete in the force's promotion process to chief inspector. Four candidates are on the initial cohort. The Personal Development Team have offered coaching and 121 support for the candidate upcoming promotion boards.

Once again TVP participated in the **Fast Track PC – Inspector Programme**. We sent 3 female officers to the national assessment centre and one was successful. She will begin her development in December 2022 after the inspectors' exam results. The two unsuccessful candidates will continue their development with the Personal Development & Leadership Team.

**Police Now Front Line Leaders Development Programme** – this is a new programme run by the Police Now organisation. In the first year TVP have had 35 places on 2 cohorts designed to prepare candidates for promotion to sergeant. Although a national programme, TVP have been very successful in getting female candidates onto the two 2022 programmes to start their development trajectory to sergeant. From the two intakes 63% are female, 17% are Ethnic Minority and 6% 'Prefer not to say'. The results from the first few taught days are encouraging, and our candidates are being well supported.

TVP is participating in an NPCC pilot relating to DE&I training which will be developed in 2022/3 – this is referenced in section eight, below.

## Evaluation of positive action development programme(s)

The personal development & leadership team recently evaluated the delivery of two of our positive action programmes, Professional Action Learning Sets (PALS) for people from ethnic minority backgrounds and our Women's Development Programme (WDP) for female police supervisors aspiring to senior ranks.

An electronic questionnaire was sent out to 104 serving officers and staff, those who had attended either programme during the preceding five years, a total of 54 responses were received. Questions were grouped into four broad themes that directly related to the aims of each development programme, data from a selection of the (agree/disagree) questions is presented below:

#### <u>Challenges</u>

75% of respondents agreed that their immediate supervisor was supportive of their attendance on the programme(s)

83% of respondents agreed that the programme(s) helped them overcome obstacles to their development

# Development

81% of respondents agreed that their leadership skills improved as a result of attending the programme(s)

98% of respondents agreed that participating on the programme(s) enabled them to gain a better understanding of their strengths and areas for development

90% of respondents agreed that participating on the programme(s) increased their awareness of opportunities for continuing professional development

## Progression

87% of respondents agreed that they had taken a more pro-active approach to their personal development since attending the programme(s)

75% of respondents disagreed that the benefits of participating on the programme(s) were lost after the final workshop

87% of respondents agreed that they felt better able to deal with challenges they might face at work in the future

#### <u>Retention</u>

77% of respondents agreed that attending the programme(s) helped them to feel positive about Thames Valley Police

88% of respondents agreed that the programme(s) had a positive impact on their wellbeing

The officers and staff were also asked two open questions. Answers to the first question around the extent to which the programmes(s) supported respondents' career aspirations within Thames Valley Police had two clearly identifiable themes, these being increased confidence and opportunities for networking. The second question around the extent to which attending the programmes(s) influenced how respondents felt about continuing to work for Thames Valley Police contained many positive comments, there were no clear themes however there was evidence that attending the programme(s) had changed attitudes.

The personal development and leadership team are currently facilitating the delivery of another PALS cohort in partnership with several people who have previously participated on the programme, updates to the course material have been made after reflecting on best practice observed on the College of Policing, Aspire Programme. We are also currently facilitating a WDP cohort in partnership with an external facilitator, having adapted our approach as result of lessons learned during COVID i.e. utilising a mix of face-to-face and online activity.

## 7. Providing a policing service to diverse communities

#### Legitimacy Board

The Legitimacy Board has been outlined in section 1. In furtherance of its objectives, the Legitimacy Board oversees a structure of forums and processes that manage and challenge the fair, proportionate and transparent application of police powers in Thames Valley Police. The force has reconstituted its management forums for stop & search and use of force, both of which have met during the spring of 2022, scrutinising disproportionality data and commissioning reviews within Local Police Areas where patterns of disproportionality are evident.

Following a recent HMICFRS PEEL inspection the force has received two relevant 'Areas for Improvement' (AFIs), with regard to data quality across protected characteristics, and, specifically, data quality and analysis regarding use of force. Both of these topics are subject to delivery workstreams under the Legitimacy Board and its aforementioned delivery forums, and, in the case of the data quality AFI, subject to the force's Crime Data Integrity Gold Meeting. Actions plans are in place to address both AFIs and progress of the improvement activities are reported directly into the Deputy Chief Constable's Improvement and Innovation Board.

The force is pleased to note that HMICFRS has no issued further AFIs regarding the use of police powers in TVP and in fact also noted that from their review of body worn video footage, TVP do treat the public politely, fairly and respectfully including with the use of stop and search powers. Our understanding of public treatment has been further enhanced by data to show the grip applied to BWV recording regarding stop and search.

TVP have conducted some comprehensive analysis on many areas of operational disproportionality including stop search, use of force, arrests, custody and the victim's journey. This analysis is extremely detailed and it is reviewed at the legitimacy board with stop and search, use of force and arrests data being monitored at each board. Where LPAs are showing higher level of disproportionality the LPA Commanders have been held to account. Additional analysis has also been provided to LPAs which had high levels of disparity in their data to support their local work and scrutiny of disparity.

TVP also recognised that we have more work to do on publishing contextualised data on disproportionality and will soon be publishing a data pack on stop and search. This will further enhance our transparency and accountability. Work has also been progressed to develop a Legitimacy survey too, this will again provide us with further information to assess how we treat the public.

With data recording for stop and search now going through Pronto, we will soon see further improvements on data quality moving forwards. The disproportionality analysis continues to develop into new workstreams with further work on intelligence being progressed and regular analysis will continue to be produced for the legitimacy board so we can continue to monitor trends.

The comprehensive analysis that we are now providing on a regular basis to the Legitimacy Board, particularly on operational disparity means we have a far better understanding on any emerging trends or areas of concern.

There has also been a successful bid for an A/Inspector who will join in July 2022 and this post will continue to help us monitor improvements and success over the coming year.

However, despite the recent Good grading that TVP received from HMICFRS for public treatment, the force remains highly committed to improving and enhancing its performance across all relevant areas of activity, and, in addition to reviews that have already been mentioned (stop & search meeting and IAGs), the force has successfully trialled an internal supervisory review process for stop & search encounters, has played a leading role in the national development of custody scrutiny processes such as strip search (due to be considered by the national Chief Constables' council in May 2022), and has developed a number of other community scrutiny initiatives (e.g. LPA based community scrutiny panels and youth outreach projects via the Violence Reduction Unit).

# Hate Crime

Force structures for hate crime review are subject to continued development (and will feature with the actions for the NPCC Race Action Plan – see below). Recent initiatives include the Pathfinder Project to improve engagement with refugees and asylum seekers, and the implementation of SAME Hate Crime audits. Elements of the force infrastructure for assessing and managing hate crime risk will be subject to further development in the year ahead (see below).

# 8. Identification of key areas of priority 2022-2023

Internally, priority areas for development include the following:

Delivery of Year 3 of the Uplift Programme. TVP's Uplift allocation in 2022/23 is 244 officers. In addition Police Officer attrition continues to be high post pandemic restrictions, necessitating further adjustments to our forecasts and workforce plans. As a result the combined target for Uplift and BAU recruitment in 22/23 is 702 officers, a significant challenge and a 42% increase over pre-pandemic business as usual levels of recruitment but also an opportunity to continue to increase levels of representation. We will continue to offer a variety of routes of entry into policing and will monitor the levels of representation in all our pipelines. Where variances emerge we will work with the Employer Branding and Recruitment Marketing Team to understand the reasons and put attraction activity in place to address them.

Improved internal job promotion, via an enhanced Job Shop intranet page – thus ensuring all opportunities are promoted, encouraged and available to all. Improving this capability should help aide retention.

To continue with community engagement projects, attraction initiatives, online events and workshops to support Police Officer recruitment. To better understand ethnically diverse officer retention and development with a focus on the reasons officers are leaving the force.

We want to involve Local Policing to support recruitment challenges, ensuring the continued promotion and embedding of new entry routes into policing; enhancing the understanding of the routes with the public and target audiences and ensuring people within the organisation understand and embrace these new programmes of learning.

To continue to work to understand and address the reasons for attrition of ethnic minority and female officers and staff, utilising the activity of the PAET, under the governance of the Workforce Planning Board. We will also continue our detailed review of police staff recruitment processes with a view to addressing the number of unfilled posts. This work will provide further opportunities to address underrepresentation both through attraction/recruitment activities and through the development of police staff career pathways.

Through the Force's ICR programme we will continue to monitor and work to understand the reasons for officer attrition, particularly within the first 3 years of service (as above). We will identify areas with disproportionally high levels of female and B.A.M.E leavers in particular and working with the PAET team will put further measures in place to support and retain officers.

Improved female and ethnic minority representation in senior roles is a particular priority, and will supported by development workshops and processes as outlined above.

We will continue work to embed the Adjusted Duties Redeployment Panel as business as usual, refining processes and communication through lessons learned in order to increase levels of acceptance of the process throughout the Force and thereby build further the number of successful outcomes.

In personal development and leadership, TVP is signed up to an NPCC pilot for DE&I training, linking to material and methods designed in partnership between Durham Constabulary and Durham University Business School. The NPCC pilot is seeking to expand their use, and to further evaluate the Durham content. TVP leads have observed the content, with positive findings in relation to its impact on internal culture, in particular around inclusion and wellbeing. Pitched at line managers, the material addresses inappropriate examples of behaviour towards women, hence forming a key enquiry in the force's cultural/ behavioural workstreams under the Violence against Women and Girls agenda. The force is currently exploring means of adopting the content into TVP leadership programmes.

Diversity strand strategies and plans for 2022-3 include a number of LGBT outreach products and the development of a 2022-25 Disability Strategy to mirror the NPCC strategic agenda, including the delivery of key neurodiversity services both within the organisation and looking outwards towards public facing tactics.

With specific regard to public-facing DE&I, key priorities including the improvement of internal and external scrutiny processes for police powers and the use of Body Worn Video throughout front-line policing, the improvement of transparent and accessible public-facing data and accompanying narrative, supporting the cultural/behavioural requirements and community-based learning of the Violence against Women and Girls programme, and improved public scrutiny of the complaints process, in each case to better identify, expose, challenge, and rectify patterns of disproportionality in critical areas of policing.

Building on developments in community scrutiny and constructive engagement with IAGs – for example regarding scrutiny processes and the use of technology (e.g. BWV reviews) – broader and deeper layers of community outreach are a high priority for the year ahead, including new and innovative ways of reaching sectors of the community who are directly impacted by the use of police powers, better engaging staff and their supervisors in the

learning processes in order to change behaviours and build trust, and exploring new ways of hearing, building, and measuring community trust and confidence in the police.

Finally, spanning across all DE&I activities, the NPCC Race Action Plan will be launched imminently. The force has already outlined an local action plan in furtherance of its objectives, drawing together internal and external facing activities, many of which are alluded to within this document, brought together with the specific priority of building the trust of the Black community within the family of the force and the wider community. This work will link to a review of hate crime risk and assessment processes in TVP which will of course be wider in scope across all protective characteristics, but illustrate the opportunities provided by the focus on race to build and embed working practices (in the case of hate crime, improved visibility and comprehension of victims' experience and coordination and engagement of neighbourhood teams) that can then be applied to other minority communities.

The force's Diversity and Inclusion unit is subject to a development process that will facilitate its support for the Race Action Plan, among other DE&I imperatives. Among other elements of service improvement review, the unit is improving its tasking and prioritisation processes, is recruiting an administrative facility to serve the needs of SSNs among other needs, and is developing its repository of case evidence and organisational learning processes.

# 9. Future risks and mitigation for 2021-2022

In early 2022 the D&I unit conducted a provisional risk assessment of D&I in TVP in connection with improvements being introduced to its tasking and prioritisation processes. The following topics were highlighted as risk areas for the force and are managed through action plans within the D&I unit and/or as discussed in this document:

Strand	Торіс	Issue/objective
Community Engagement	Community scrutiny process	System, coherence, transparency, governance, legitimacy – development, implementation, technical (BWV, data sharing)
TVP Diversity Strands	Neurodiversity (currently overseen by Disability strand)	Scale of neurodiversity in policing, data gaps, staff skills (tactical adjustments for defusion/prevention), training options
	Confidence of Black community (Race strand)	Specific gaps re Black community: disproportionality and trust – number of relevant strategies brought together under the NPCC Race Action Plan
	Victim satisfaction (Sexual Orientation, Gender Re-assignment strand)	
	Female promotion (Sex, Pregnancy, Maternity &	In particular, sergeant and inspector gaps - strategies

	Civil Partnerships strand)		
Hate Crime	Recording/flagging	Miller judgement on Non-crime hate incidents – awaiting interim guidance from College of Policing	
	TVP infrastructure	Gaps re accountability, coordination, data re hate crime rise/ trends	
Joining/ leaving TVP	Attraction/ attrition – Black and Asian staff	Specific risk re low numbers of Black staff in TVP and high rates of attrition among Asian staff	
	Diversity Monitoring Questionnaire	Data accuracy, accessibility etc	
Operating	Crime Management/ data	Ethnicity data quality – HMICFRS AFI	
Model for D&I	D&I Central Team Capacity	Managerial gaps March – June 2022	
	Equality Impact Assessment	Comprehensive review required, embedding of 'Explain or Reform' Lammy principle in TVP EIAs	
	Training and guidance – strategy	Prioritisation, and coherent assessment/delivery processes across D&I demands	
Police Powers	Use of force, stop & search/ strip search, vehicle stops, incl intelligence links	Gaps re. data/analysis, management, procedure (BWV, PRONTO), communications and community transparency (HMICFRS AFI re use of force data/analysis)	
VAWG	TVP Culture	Response to VAWG survey, link to leadership training, scrutiny processes	

The following risks are currently being reviewed:

TVP Diversity Strands	0	Assessment and strategies which include learning from Employment Tribunals to prevent further occurrences.
Operating model for D&I		Service gaps in areas that are not subject to specific Legitimacy Board focus – e.g. Major Crime, Criminal Justice, GRT community etc

The above list is not exhaustive, nor is its risk assessment process fully refined. DE&I is a rapidly developing environment, subject to widespread societal/media changes and pressures – one recent example being transgender searching – and the force continues to work internally and with partners in this area, and all other arising matters. As noted

# 100

above, D&I risk assessment and prioritisation processes are currently being developed in order to improve our assessment and handling of the complexities of D&I demand.

Additionally, other force drivers/ change processes have a bearing on DE&I business – for example, the People Directorate are currently developing process changes for the RAMP process and neurodiversity assessment – and the D&I unit continues to support and deliver a fully integrated, joined-up approach to force strategies and change programmes.

James Hahn

Superintendent, Diversity and Inclusion, May 2022



## JOINT INDEPENDENT AUDIT COMMITTEE



## Report for Information

## Title: Annual Internal Audit Report 2021/22

#### **Executive Summary:**

This report details the Annual Internal Audit Report 2021/22, including the Chief Internal Auditor's Annual Internal Audit Opinion.

#### **Recommendation:**

The Committee is requested to note and endorse the Annual Report of the Chief Internal Auditor for 2021/22.

# Chairman of the Joint Independent Audit Committee

I hereby approve the recommendation above.

Signature

Date

#### PART 1 – NON-CONFIDENTIAL

#### 1 Introduction and Background

1.1 This report details the Annual Internal Audit Report 2021/22, including the Chief Internal Auditor's Annual Internal Audit Opinion.

#### 2 Issues for Consideration

- 2.1 Attached in Appendix A is the Annual Report of the Chief Internal Auditor for 2021/22. The document includes the following details:
  - Requirement and framework.
  - Quality assurance and improvement.
  - Internal Audit Strategy and methodology.
  - Chief Internal Auditor's Annual Internal Audit Opinion.
  - Internal Audit performance.
  - Resource allocation and utilisation.
  - Summary of Audit Outcomes for 2021/22.
  - Effectiveness of Internal Audit Questionnaire results.

#### 3 Financial comments

3.1 No known financial issues arise from the contents of this report.

#### 4 Legal comments

4.1 No known legal issues arise from the contents of this report.

#### 5 Equality comments

5.1 No known equality issues arise from the contents of this report.

#### 6 Background papers

6.1 Internal Audit Strategy and Annual Plan 2021/22.

#### Public access to information

Information in this form is subject to the Freedom of Information Act 2000 (FOIA) and other legislation. Part 1 of this form will be made available on the website as soon as practicable after approval. Any facts and advice that should not be automatically available on request should not be included in Part 1 but instead on a separate Part 2 form. Deferment of publication is only applicable where release before that date would compromise the implementation of the decision being approved.

#### Is the publication of this form to be deferred? No

## Is there a Part 2 form? No

Name & Role	Officer
<b>Head of Unit</b> This report details the Annual Internal Audit Report 2021/22, including the Chief Internal Auditor's Annual Opinion Statement.	Chief Internal Auditor

This report has been produced in compliance with United Kingdom Public Sector Internal Audit Standards (PSIAS).		
Legal Advice		
No known legal issues arise from the contents of this report.	PCC Head of Governance and Compliance	
Financial Advice		
No known financial issues arise from the contents of this report.	PCC Chief Finance Officer	
<b>Equalities and Diversity</b> No known equality issues arise from the contents of this report.	Chief Internal Auditor	

#### **OFFICER'S APPROVAL**

We have been consulted about the proposal and confirm that financial and legal advice have been taken into account in the preparation of this report.

We are satisfied that this is an appropriate request to be submitted to the Joint Independent Audit Committee.

PCC Chief Finance Officer (OPCC)

Date: 25 May 2022

Director of Finance (TVP)

Date: 8 June 2022

**APPENDIX A** 





# JOINT INTERNAL AUDIT SERVICE

# ANNUAL INTERNAL AUDIT REPORT

2021/22

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# 1. Requirement and Framework

- 1.1 The statutory requirement and framework for an internal audit service within the Police sector is detailed within the Accounts and Audit (England) Regulations 2015 and the Home Office Financial Management Code of Practice for the Police Forces of England and Wales (2018). The internal document that summarises the service is the Police and Crime Commissioner (PCC) and Chief Constable's Joint Corporate Governance Framework.
- 1.2 The Joint Internal Audit Team is governed by the framework and guidance set out in the Public Sector Internal Audit Standards (PSIAS). The PSIAS defines Internal Audit as an "independent, objective assurance and consulting activity designed to add value and improve an organisation's operations. It helps an organisation accomplish its objectives by bringing a systematic, disciplined approach to evaluate and improve the effectiveness of risk management, control and governance processes".
- 1.3 The PSIAS requires the Chief Internal Auditor to "deliver an annual internal audit opinion and report that can be used by the organisation to inform its governance statement. The annual internal audit opinion must conclude on the overall adequacy and effectiveness of the organisation's framework of governance, risk management and control. The annual report must also include a statement on conformance with the PSIAS and the results of the quality assurance and improvement programme".
- 1.4 The PSIAS also requires the Joint Internal Audit Team to implement and maintain an Audit Charter, which formally defines the service's purpose, authority and responsibility. The Joint Internal Audit Service has adopted an Internal Audit Charter, which was last reviewed and updated in February 2022.

## 2. Quality Assurance and Improvement

- 2.1 The Joint Internal Audit Team completed its annual self-assessment against the PSIAS Framework (including the Chartered Institute of Public Finance and Accountancy's (CIPFA) Local Government Application Note (LGAN)) in February 2021. The assessment confirmed that the team continues to comply with virtually all of the standards.
- 2.2 The assessment identified two areas where the risk of partial compliance has been accepted. These areas were reported to the JIAC in October 2021 and are:
  - Work programmes must be approved prior to their implementation and any adjustments approved promptly (Performance Standard 2240.A1). Quality reviews are undertaken on the Audit Planning document, Draft and Final Audit Briefs.
  - The Chief Audit Executive (i.e. Chief Internal Auditor) should define the skills and competencies for each level of auditor, as well as periodically assessing individual auditors against the predetermined skills and competencies (CIPFA LGAN - Attribute Standards 1230). The team have up to date Job Descriptions, the annual appraisal process and they maintain their IIA Continuing Professional Education (CPE) record that identifies core audit competencies.
- 2.3 Standard 1312 of the PSIAS relates to "External Assessments". These "must be conducted at least once every five years by a qualified, independent assessor or assessment team from outside the organisation". The Joint Internal Audit Team was externally assessed by CIPFA in October 2017. The opinion of the external assessor for the Joint Internal Audit Team is that *"the service generally conforms to all the requirements of the PSIAS and Local Government Application Note"*, which is the best outcome the team could have achieved. The assessment reported two recommendations and three suggestions, which have all been addressed in prior years.

# 3. Internal Audit Strategy and Methodology

- 3.1 The Internal Audit Strategy and Annual Plan for 2021/22 was noted and endorsed by the JIAC in March 2021, with the Joint Internal Audit Plan being designed to enable the Chief Internal Auditor's Annual Internal Audit Opinion to be produced.
- 3.2 The plan identified the individual audit assignments and assurance work that was to be completed during the year. Each review was undertaken using a risk-based approach, in accordance with the team's Audit Manual. Quality assurance over the audit output is achieved with reviews at key stages of the process (i.e. planning stage and Audit Brief, on completion of the audit testing, draft report and final report).
- 3.3 Progress in delivering the Joint Internal Audit Plan, as well as notification of any changes, was reported to the Internal Audit Oversight Group and JIAC throughout 2021/22. In addition, progress in delivering the Information and Communication Technology (ICT) and Information Management (IM) audits was reported to the Collaboration Governance Board, as well as Hampshire's Joint Audit Committee. The Chief Internal Auditor dialled in to these meetings to present the information and respond to any questions, as required.
- 3.4 The Internal Audit Service was delivered by an in house team consisting of the Chief Internal Auditor and Principal Auditor. ICT audit days were provided by the ICT audit specialists at TIAA Ltd.

# 4. Chief Internal Auditor's Annual Internal Audit Opinion

As at March 2021, the 2021/22 Joint Internal Audit Plan had been collated and was endorsed by the JIAC.

The 2021/22 Joint Internal Audit Plan has been completed and on the basis of this work, the opinion of both organisations' governance, risk and control frameworks is **reasonable assurance**. The governance, risk management and control arrangements are good, although some action is required to improve efficiency or effectiveness. The opinion demonstrates a good awareness and application of effective risk management, control and governance to facilitate the achievement of both organisations' objectives, outcomes and delivery of services. Areas were identified through our work where the design or effectiveness of arrangements in place required enhancing or strengthening. Where these areas were reported, management responded positively, identifying appropriate actions to address the risks raised.

At a statistical level, the opinion represents a very slight reduction compared to the previous year with more limited assurance ratings and fewer substantial / reasonable outcomes. However, as the Joint Internal Audit Plan does not include the same audits year on year, this cannot be taken as a direct comparison.

In terms of the implementation of audit actions and mitigation of risk, progress continues to be very good across both organisations with the number of actions completed consistently being in excess of 80%.

As in previous years, to support this year's opinion additional sources of assurance were utilised where they provided commentary on the effectiveness of the organisations' governance framework or general management of risk. The assurances obtained provided a positive view of the organisation's arrangements and supported the overall opinion of reasonable assurance.

Overall, the opinion is very positive considering the challenges both organisations have faced during 2021/22 and the continuing Covid-19 pandemic.

- 4.1 In arriving at the opinion, we have taken into account the following:
  - The results of all audits and assurance work completed as part of the 2020/21 Joint Internal Audit Plan (paragraphs 4.2 4.8).
  - Assurance summary for Hampshire Constabulary (HC) led collaborations (4.9).
  - Any additional assurance provided by an external review body (paragraphs 4.10 4.11).
  - The progress made in implementing agreed actions from any issued final audit reports (paragraphs 4.12 4.13).
  - Whether any significant control weaknesses have not been accepted or addressed by management (paragraphs 4.14).
  - Whether any limitations have been placed on the scope of Internal Audit's work (paragraphs 4.15 4.16).

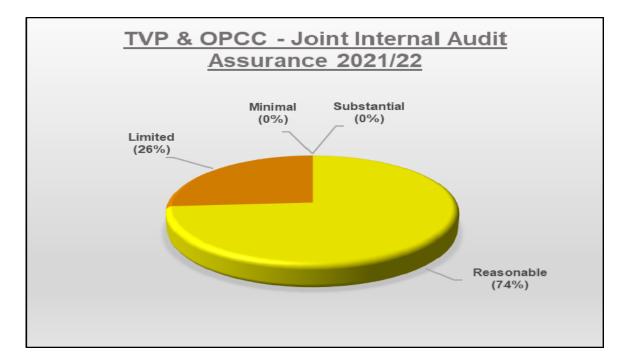
2021/2022 Joint Internal Audit Plan

4.2 The 2021/22 Joint Internal Audit Plan has been completed and the table below details the number of days and plan % coverage by TVP CCMT Area and OPCC.

TVP (CCMT) / OPCC Area	Total Days	Plan %
TVP – Force Wide	47 days	14%
TVP - Crime and Criminal Justice	35 days	10%
TVP - Deputy Chief Constable	55 days	16%
TVP - Finance	16 days	5%
TVP - Information	41 days	12%
TVP - Local Policing	0 days	0%
TVP - Operations	10 days	3%
TVP - People	23 days	7%
TVP - Regional Crime and Counter Terrorism	0 days	0%
Office of the Police and Crime Commissioner	23 days	7%
General	12 days	4%
Other	74 days	22%
TOTAL DAYS	336 days	100%

- 4.3 During most years, changes are made to planned audit activity, and 2021/22 was no different. All changes were approved by the Internal Audit Oversight Group (Chief Internal Auditor, PCC Chief Finance Officer, and Force Director of Finance) and noted by the JIAC. For different reasons, the following audits were replaced:
  - ICT Management of Microsoft 365 Security.
  - Contact Management Platform Performance.
  - Violence Reduction Unit Governance and Performance.
- 4.4 The following audits were included:
  - ICT Financial Management.

- Management of Contractors.
- Major Projects PCC Governance and Oversight.
- 4.5 The only other changes that have been made include minor audit title amendments or day allocation alterations.
- 4.6 The Annual Internal Audit Opinion is predominantly supported by the work completed by the Joint Internal Audit Team. This is summarised by the following graph:



4.7 The table below details the audit assurance ratings issued over the last five years, for comparison\*. Although there has been a reduction in substantial assurance ratings, there is an increase in reasonable assurance ratings, although a small increase in limited assurance ratings. Overall, the split between the highest two ratings and the lowest two remains similar (i.e. 74% v 26%), compared to recent years.

Rating	2017/18	2018/19	2019/20	2020/21	2021/22
Substantial	15%	0%	0%	28%	0%
Reasonable	65%	70%	75%	50%	74%
Limited	20%	30%	19%	22%	26%
Minimal	0%	0%	6%	0%	0%

(\* note: although this table provides details of the ratings issued, as the Joint Internal Audit Plan content differs each year, this is not a direct correlation of areas reviewed and assurances provided).

4.8 In relation to the audit outcomes, the table below summarises the assurance rating for each completed audit. Appendix 2 details the full list of planned audits, the assurance ratings and the performance of actual days against the planned days.

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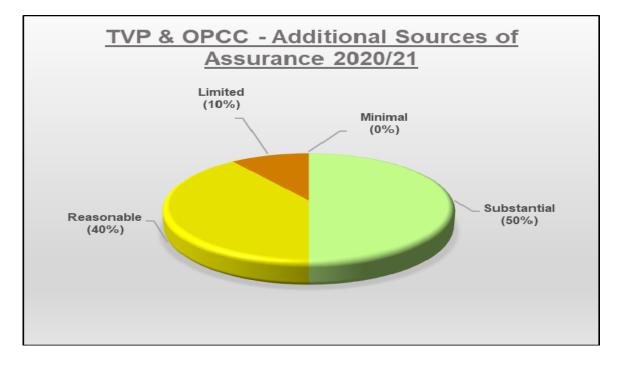
	Substantial Assurance (0%)
The sys	stem of internal control is strong and risks are being effectively managed. Some minor action may be required to improve controls.
TVP	• None.
OPCC	• None.
	Reasonable Assurance (74%)
The s	system of internal control is good and the majority of risks are being effectively managed. Some action is required to improve controls.
TVP	<ul> <li>Data Breaches Mitigation.</li> <li>Service Improvement Review Crime Review Improvements (Themes A).</li> <li>Service Improvement Review Crime Review Improvements (Themes B).</li> <li>Forensic Improvement Plan.</li> <li>Protective Monitoring (Vigilance Pro).</li> <li>Anti-Fraud and Corruption / Bribery.</li> <li>Business Continuity Arrangements.</li> <li>Emergency Services Mobile Communications Programme.</li> <li>Telematics Information and Reporting: Driver Risk.</li> <li>Key Financial Controls.</li> <li>ICT Service Desk Operations (Incident / Problem Management).</li> <li>ICT Cyber Security (Resilience).</li> <li>ICT Financial Management.</li> <li>JOU Non-Collaborated Units.</li> <li>Force Wellbeing Arrangements and Approach.</li> </ul>
OPCC	Major Projects – PCC Governance and Oversight.
0100	Complaints Review Process.
Th	Limited Assurance (26%) e system of internal control is limited and the majority of risks are not being effectively managed. Actions are required to improve controls.
тур	<ul> <li>Electronic Device Management (Losses).</li> <li>Partnership Data Sharing – Probation Service.</li> <li>Niche Data Quality (Part 1).</li> <li>Niche Data Quality (Part 2).</li> <li>Telematics Information and Reporting: Fleet Management.</li> <li>Health and Safety.</li> </ul>
OPCC	None.
The s	Minimal Assurance (0%) system of internal control is weak and risks are not being effectively managed. Significant action is required to improve controls.
TVP	None.
OPCC	None.

Hampshire Constabulary (HC) Assurance Summary

4.9 In previous years, assurance has been received from HC which covers their internal audit approach for the Joint Operations Unit and Contact Management Senior Leadership Team. For 2021/22, there has been no audit work completed on collaborated functions by HC and there are no outstanding audit actions from previously completed audits.

#### Additional Sources of Assurance

4.10 To support the Annual Internal Audit Opinion, additional sources of assurance which are provided by an external review body have been captured. These reviews either comment on the organisation's internal arrangements or where a service has been commissioned and / or delivered by an external provider. Not all of the additional sources identified align with the Joint Internal Audit Team's four grade assurance rating framework. Where the additional assurance could not be aligned, the auditor's professional judgement has been used to assign a rating, based on the content of the reports and any issues raised. The outcome of this work is summarised by the following graph:



4.11 The tables below summarise the assurance rating for each additional source of assurance:

#### Substantial Assurance (50%)

- Hampshire PCC and Hampshire Constabulary Internal Audit: Pronto Digital Application (Project Governance).
- United Kingdom Accreditation Service (UKAS): Forensic Investigation Unit and Hi Tech Crime Unit assessment.
- UKAS: South East Regional Organised Crime Unit assessment.
- UKAS: Counter Terrorism Policing South East assessment.
- Police and Crime Commissioners (CoPaCC) Transparency Quality Mark.

#### **Reasonable Assurance (40%)**

HM Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS): PEEL

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2021/22: Police Effectiveness, Efficiency and Legitimacy:

- Recording data about crime.
- Engaging with and treating the public with fairness and respect.
- Preventing crime and anti-social behaviour.
- Investigating crime.
- Protecting vulnerable people.
- Managing offenders and suspects.
- Building, supporting and protecting the workforce.
- Mayor's Office for Policing and Crime (MOPAC) / Metropolitan Police Internal Audit: Digital Engagement On Line Crime Reporting.
- Information Commissioner's Office (ICO): Follow-Up Data Protection Audit Report.
- Information Commissioner's Office (ICO): Freedom of Information Decision Notices 2021/22.

#### Limited Assurance (10%)

HM Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS): PEEL 2021/22: Police Effectiveness, Efficiency and Legitimacy:

- Responding to the public.
- Strategic planning, organisational management and value for money.

#### Minimal Assurance (0%)

• None.

#### Management Action Progress

4.12 The Joint Internal Audit Team follow up management's progress in implementing agreed actions from any issued final audit reports. All overdue and outstanding actions are reported to the JIAC on a quarterly basis. For 2021/22, the number of actions reported to the JIAC in June 2021 was 6, increasing to 16 by October. By December, the number had reduced to 13, and by March 2022, the figure remained at 13. The table below details a year end comparison of the total number of actions, those completed, those outstanding and those that are overdue. All actions prior to 2019/20 have been completed.

Year	Actions	Actioned	Outstanding	Overdue
2018/19	225	225	0	0
2019/20	183	183	0	0
2020/21	107	96	11	9
2021/22	159	49	110	19
TOTAL	674	553	121	28

4.13 Progress is being made to complete the overdue actions, although there are a variety of reasons for the actions not being implemented, ranging from capacity, competing priorities and work taking longer than originally planned. The number of outstanding actions for 2021/22 is high due to the majority of actions raised not being due for completion. In general, good progress is being made and the monitoring of overdue actions will continue to be a specific focus for the team and the JIAC during 2022/23.

#### Opinion Disclaimer

- 4.14 It should be noted that it is management's responsibility to operate the system of governance, risk and control, not Internal Audit. It is also management's responsibility to identify and implement appropriate management actions to mitigate the risks reported, or alternatively, to recognise and accept risks resulting from not taking action. If the latter option is taken by management on significant issues, this would be brought to the attention of the Internal Audit Oversight Group and the JIAC. In completing the Joint Internal Audit Plan, there have been no significant control weaknesses accepted or not proposed to be addressed by management.
- 4.15 In providing the opinion, assurance can never be absolute, but is based on the scope of each review and the testing completed. The opinion only reflects the issues that the Joint Internal Audit Team are aware of and is not a comprehensive statement of all the weaknesses that exist or improvements that may be required. There have been no limitations placed on the scope of the team's work and there were no resource issues during the year. Appendix 1 details the planned audit days compared to the actual audit days delivered.
- 4.16 The Annual Internal Audit Opinion is considered by the Governance Advisory Group and included within the PCC's and Chief Constable's separate Annual Governance Statements.

### 5. Internal Audit Performance

5.1 The following table shows the performance targets monitored by the Internal Audit team during 2021/22.

Performance Measure	Target	2021/22 Performance	Comments	2020/21 Performance
Testing Phase: Days between testing start date and file review. 4 x the agreed audit day allocation (original or revised).	Green: 100-85% Amber: 70-84% Red: >69%	72% (18 / 25) ₽	A reduced level of performance compared to 2020/21. The seven audits outside the PI were over by an average of 18 days. Delays were mainly due to liaising with the organisation to resolve audit queries and finalise test outcomes.	83% (15 / 18) û
Reporting Phase: Days between Exit Meeting / Findings and Risk Exposure Summary and the Final Report. 40 days.	Green: 100-85% Amber: 70-84% Red: >69%	83% (19 / 23) û	An increased level of performance compared to 2020/21. The four audits outside the PI were over by an average of 6 days. Delays were mainly due to liaising with the organisation to agree audit report content and confirm appropriate management actions.	78% (14 / 18) ↓

Performance Measure	Target	2021/22 Performance	Comments	2020/21 Performance
Audit reviews completed within the agreed audit day allocation. Each audit day allocation (original or revised).	Green: 100-85% Amber: 70-84% Red: >69%	100% (25 / 25) ⇔	Excellent performance achieved for 2021/22.	100% (18 / 18) ⇔
Joint Internal Audit Plan delivered. Each audit review completed, excluding any agreed changes (i.e. replaced audits).	Green: 100% Amber: 90-99% Red: >89%	100% (25 / 25) ⇔	Excellent performance achieved for 2021/22.	100% (18 / 18) ⇔
Annual Internal Audit Quality Questionnaire outcome. Responses who strongly or tended to agree with the statements.	Green: 100-95% Amber: 85-94% Red: >84%	89% ₽	Although a very slight reduction in performance, customer satisfaction remains high. See Appendix 3 for more details.	90% ↓

- 5.2 The team has, once again, had a very successful year, delivering a full audit plan. Although this is a considerable achievement by the team, it would not have been possible without the support of the Force and OPCC who continue to positively engage with and support the audit process. The team have adapted excellently to the move to home / remote working, with the audit process working seamlessly via the new technology deployed by the Force. The team have adapted certain arrangements to mobile working, to ensure that the audit process remains as efficient as possible and the team continues to build on the excellent PSIAS assessment outcome achieved in 2017. The team continues to receive positive customer feedback, the audit reviews are well received and a good level of performance against the team's performance targets has been achieved. Appendix 3 details the results of the Effectiveness of Internal Audit Questionnaire. In addition to the good level of performance achieved, the other key achievements for the team are:
  - Identifying process improvements, with the continued move to remote / home working.
  - Facilitating the Internal Audit Oversight Group meetings.
  - Implementing and administering the new Fraud Group.
  - Internal assurance liaison and correspondence.
  - Supporting the effective operation of the JIAC.
  - Continuing to manage and facilitate the follow up process.
  - Implementing the team's Quality Assurance and Improvement Plan.

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- Building on the implementation of the team's Communication Plan, aimed at raising awareness of the service.
- Reviewing and update of the team's new Knowzone page and content on SharePoint.
- Annual review and update of the team's audit process and documentation.
- Retendered the team's outsourced ICT audit service.
- Ongoing development and support of the collaboration audit approach with HC, including regular Collaboration Governance Board reporting, attendance at HC's Joint Audit Committee and providing assurance on ICT and IM functions.
- Continued development of the additional sources of assurance work.
- Facilitating the National Fraud Initiative data submission and match review process.
- Attending and contributing to the Police Audit Group network and CIPFA Police and Fire Panel Audit and Governance Sub-Group.
- 5.3 In terms of areas for development and focus for 2022/23, the Joint Internal Audit Team will:
  - Continually assess and ensure compliance with the PSIAS.
  - Undergo its external PSIAS assessment during the early part of 2022/23. This will help provide assurance to management and the JIAC on the performance and effectiveness of the team, as well as potentially areas for improvement or efficiency.
  - Continue to raise awareness of the joint team and service for both organisations.
  - Take on board and respond to any feedback from audit customers.
  - Identify any team process efficiencies with the continued approach to remote / home working, to ensure an effective audit service for TVP and the OPCC.
  - Resolve service continuity issues in the event of any prolonged absence by the in-house team.
  - Performance monitor the ICT audit service provider for 2022/23.
  - Support both organisations to ensure effective implementation of agreed audit report actions.
  - Focus on achieving a Green RAG status for each audit performance indicator.
  - Continue to attend and actively contribute to the Police Audit Group network and CIPFA Police Governance Audit Risk & Assurance Working Group.
  - Deliver the team's actions and priorities noted in the OPCC's Strategic Delivery Plan.

Neil Shovell Chief Internal Auditor May 2022

## **APPENDIX 1**

## **Resource Allocation and Utilisation**

The following table details a comparison between the planned audit days and actual days delivered for 2021/22.

Description	Planned 2021/22 Days	Actual 2021/22 Days	Difference	Comments
Internal Resource	437	437	0	None.
External Resource	30	30	0	None.
TOTAL	467	467	0	
Overheads	85	80	5	Less days spent on sickness.
Team Administration	15	15	0	None.
Corporate Work	36	36	0	None.
Audit Work	331	336	7	Additional days on audit supervision, follow up and the National Fraud Initiative.
TOTAL	467	467	0	

## APPENDIX 2 Summary of Audit Outcomes for 2021/22

Key to assurance ratings:

Substantial	The governance, risk management and control arrangements are strong, although some minor action may be required to improve efficiency or effectiveness.
Reasonable	The governance, risk management and control arrangements are good, although some action is required to improve efficiency or effectiveness.
Limited	The governance, risk management and control arrangements are limited and action is required to improve efficiency or effectiveness.
Minimal	The governance, risk management and control arrangements are weak and significant action is required to improve efficiency or effectiveness.

TVP (CCMT) / OPCC Area	Audit	Assurance Rating	Planned Days	Revised Days	Actual Days
	Data Breaches Mitigation	Reasonable Assurance	13 days	13 days	13 days
	Electronic Device Management (Losses)	Limited Assurance	12 days	12 days	12 days
Force Wide	Service Improvement Review Crime Review Improvements (Themes A)	Reasonable Assurance	12 days	10 days	10 days
	Service Improvement Review Crime Review Improvements (Themes B)	Reasonable Assurance	12 days	12 days	12 days
	Partnership Data Sharing – Probation Service	Limited Assurance	12 days	12 days	12 days
	Niche Data Quality (Part 1)	Limited Assurance	6 days	6 days	6 days
Crime and Criminal Justice	Niche Data Quality (Part 2)	Limited Assurance	6 days	5 days	5 days
	Forensic Improvement Plan	Reasonable Assurance	12 days	12 days	12 days
	Protective Monitoring (Vigilance Pro)	Reasonable Assurance	11 days	11 days	11 days
	Anti-Fraud and Corruption / Bribery	Reasonable Assurance	10 days	10 days	10 days
Deputy Chief Constable	Business Continuity Arrangements	Reasonable Assurance	11 days	11 days	11 days
	Emergency Services Mobile Communications Programme	Reasonable Assurance	10 days	12 days	12 days
	Telematics Information and Reporting	Driver Risk: Reasonable Assurance	11 days	11 days	11 days

TVP (CCMT) / OPCC Area	Audit	Assurance Rating	Planned Days	Revised Days	Actual Days
		Fleet Management: Limited Assurance			
Finance	Key Financial Controls	Reasonable Assurance	14 days	16 days	16 days
	ICT Service Desk Operations (Incident / Problem Management)	Reasonable Assurance	15 days	15 days	15 days
	ICT Cyber Security (Resilience)	Reasonable Assurance	15 days	15 days	15 days
Information	ICT Management of Microsoft 365 Security	Replaced	<del>0 days</del>	<del>0 days</del>	N/A
	ICT Financial Management	Reasonable Assurance	0 days	11 days	11 days
	JOU Non-Collaborated Units	Reasonable Assurance	12 days	10 days	10 days
Operations	Contact Management Platform Performance	Replaced	<del>12 days</del>	<del>0 days</del>	N/A
	Health and Safety	Limited Assurance	10 days	10 days	10 days
People	Force Wellbeing Arrangements and Approach	Reasonable Assurance	11 days	11 days	11 days
	Management of Contractors	Completed – no rating	0 days	2 days	2 days
	Violence Reduction Unit Governance and Performance	Replaced	<del>10 days</del>	<del>0 days</del>	N/A
Office of the Police and Crime Commissioner	Major Projects – PCC Governance and Oversight	Reasonable Assurance	0 days	11 days	11 days
	Complaints Review Process	Reasonable Assurance	12 days	12 days	12 days
Comorel	Sources of Assurance	Completed – no rating	5 days	4 days	4 days
General	Limited Assurance Follow Up	Final Report – no rating	8 days	8 days	8 days
		Total Days	262 days	262 days	262 days
Other	JIAC Days	Not Required	10 days	10 days	0 days

#### **APPENDIX 3**

#### Effectiveness of Internal Audit Questionnaire Results

To gauge customer opinion of the quality and effectiveness of the Joint Internal Audit Team, a questionnaire was circulated to customers and key stakeholders during April and May 2022. The questionnaire was split into two sections, Strategic and Operational. This was done as certain individuals only have involvement in the annual planning process and audit outcomes, and some are only involved in an individual audit. Where individuals are involved in both, they were able to complete both parts.

Question	Strongly agree	Tend to agree	Tend to disagree	Strongly disagree	Unable to Comment
Strategic					
The Joint Internal Audit Team provides an effective service for TVP / OPCC	17	10	0	1	3
I am aware of the team's role, purpose and responsibilities	22	8	1	0	0
The team is professional, independent and objective	25	5	1	0	0
I am given opportunity to contribute when the annual Joint Internal Audit Plan is collated and my views are considered	19	5	0	2	5
I understand my responsibilities as part of the audit process to ensure an effective outcome and mitigate any risks raised	21	8	0	2	0
Operational					
I am given opportunity to contribute to the scope of the audit	20	5	0	4	2
My opinions and feedback are considered during the audit to ensure a fair and accurate outcome	25	4	0	1	1
The auditor took care to minimise disruption on our service during the review	22	8	0	0	1
Internal audit reports are clear and help me manage risk and improve controls and governance	19	6	1	3	2
OVERALL ANALYSIS	190	59	3	13	14
%	68%	21%	1%	5%	5%

A comparison of the results of the 2022 questionnaire against the 2019 and 2021 responses is summarised below (a questionnaire was not issued in May 2020 due to the Covid-19 pandemic):

Responses	May 2019	May 2021	May 2022
% who strongly agreed with the statements	71%	74%	68%
% who tended to agree with the statements	23%	16%	21%
% who tended to disagree with the statements	2%	4%	1%
% who strongly disagreed with the statements	1%	1%	5%
% who were unable to comment	3%	5%	5%

In addition to the responses above, the following comments were recorded on the questionnaires returned:

<u>Strategic</u>

- The team are professional and adaptable to the needs of the business area.
- I find the team easy to deal with and open to suggestions about what and how things can be audited.
- Only to say that I remain constantly impressed with the team's professionalism and ability to understand complex areas of business with which they have no other involvement.
- In terms of objectivity, I am clear real effort is made to be objective. In sometimes not knowing the business the team can be influenced by individual view or comment. This is understandable and can be useful however balance with a broader context of risk, issue, strategy and governance is sometimes important.
- Ref. the annual planning process, I think it would be good for a headline introduction of all bids to be shared across Departments before submission, as sometimes there is some crossover and we do not hear about them until much later.

## **Operational**

- The team are excellent at keeping me updated at all times with their reviews and minimising disruption to the teams.
- I think more evidence should be requested when auditing to fully demonstrate compliance to process. Where no written process exists, the audit should be an opportunity to get one created.
- Sometimes the audits can be very focussed on matters such as the intranet pages, broken links, policy or other documentation (which is helpful), but with little or no regard to the actual outcomes of particular areas. It can feel quite technical and focussed on the bureaucracy of the processes (which is important), but at the expense of the substance of the outcomes produced.
- I supported two audits this year. With both, I found the IA team extremely friendly and engaging. They brought an exceptionally high level of experience and professionalism that gave me great confidence in the process in that it would drive the right assurance outcomes for the Force from the audits. I particularly enjoyed the flexibility in audit style that was offered. It reflects the maturity of the IA team to adapt their audit style to suit the business situation and still drive the right outcome.



## JOINT INDEPENDENT and AUDIT COMMITTEE MEETING

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## Report for Decision: 17 June 2022

## Title: Annual Treasury Management Report 2021/22

### **Executive Summary:**

The Police & Crime Commissioner (PCC) approved the Treasury Management Strategy Statement for 2020/21 at his Level 1 meeting on 19 January 2021.

Quarterly treasury management performance updates were presented to the PCC in November 2021 and January 2022.

This report provides information on actual treasury activity for the 2021/22 financial year ending 31 March 2022.

#### **Recommendation:**

- 1. That the JIAC notes the Annual Treasury Management Report for 2021/22
- 2. Approve the actual 2020/21 prudential and treasury indicators in this report

#### Police and Crime Commissioner

I hereby approve the recommendation above.

#### Signature

Date

## PART 1 – NON-CONFIDENTIAL

#### 1 Introduction and background

1.1 Treasury management is defined as:

'The management of the organisation's investments and cash flows, its banking, money market and capital market transactions; the effective control of the risks associated with those activities, and the pursuit of optimum performance consistent with those risks'

- 1.2 Treasury management in local government is regulated by the CIPFA Code of Practice on Treasury Management in Local Authorities (the Code) and the Prudential Code for Capital Finance in Local Authorities. The Office of the PCC (OPCC) has adopted the CIFPA Code and fully complies with its requirements. Compliance with the Prudential Code is mandatory.
- 1.3 In accordance with the Codes, the PCC agreed the Treasury Management Strategy Statement for 2021/22 at his Performance and Accountability meeting held on 19 January 2021.
- 1.4 The financial year 2021/22 continued to be a challenging one for investing, because of the continuation of the Covid-19 pandemic, which started in March 2020. The Bank of England reduced interest rates to 0.10% in March 2020, and the first increase to 0.25% was at its meeting on 16 December 2021, followed by further rises to 0.50% on 4 February 2022 and then to 0.75% in March 2022. Investment deals of 6 and 12 month durations were agreed during the first eight months of the year meaning cash availability for further investments at higher rates were limited from December onwards.
- 1.5 Since the Treasury Management Strategy Statement was approved in January 2021 the PCC received quarterly treasury monitoring reports in November 2021 and January 2022.
- 1.6 The regulatory environment places responsibility on the local policing body for the review and scrutiny of treasury management policy and activities. This report is important in that respect, as it provides details of the outturn position for treasury activities and demonstrates compliance with the PCC's relevant approved policies.

#### 2 Issues for consideration

- 2.1 The detailed annual report is provided in Appendix 1. The key points for the Committee to note are set out below:
  - At 31 March 2022 cash investments exceeded external borrowing by £57.279m.
  - We did not exceed the authorised borrowing limit however we did exceed the operational boundary for 6 days during the first quarter of 2021/22.
  - We borrowed on 7 separate occasions during the year to cover temporary short-term cash shortfalls pending the receipt of government grant and/or council tax precept income.
  - The average return on our investments was 0.31%, which exceeded the bespoke TVP benchmark by 0.26%. This was mainly due to the fixed

term and notice deposits that we had placed with Santander UK and Goldman Sachs International Bank respectively.

- Actual income from investment interest of £0.825m was £0.065m lower than the budget of £0.890m.
- We exceeded our bank overdraft facility three times during the year. Two occasions were due to non-receipt of a local authorities' precept payment. On the first occasion after correspondence with our bank the overdraft charge was waived. On the second occasion a decision was taken not to charge the precept authority (circa £600) due to their financial circumstances. The third occasion was an oversight in the OPCC in which an internal bank transfer was not processed in a timely manner which resulted in us being overdrawn by £0.181m, just £0.081m over our overdraft limit.
- We did not fall below the £5m benchmark level of having the minimum amount of short-term deposits (including "the receipt of government grant and/or council tax income within the next 7 days") during the year.
- The weighted average life of maturities on 31<sup>st</sup> March 2022 was 123.51 days, within the benchmark level of 270 days.
- We complied with all the statutory relevant and regulatory requirements which limit, as far as possible, the levels of risk associated our treasury management activities.

## 3 Financial comments

3.1 The financial performance is summarised in paragraph 2.1 above with further detail provided in the Annual Treasury Management Report attached at Appendix 1.

## 4 Legal comments

4.1 The PCC is required to receive and approve, as a minimum, three reports each year, which incorporate a variety of policies, estimates and actual. These are the annual treasury strategy statement, a mid-term report and the annual treasury report. Best practice suggests that these should be adequately scrutinised before being recommended to the PCC.

## 5 Equality comments

5.1 There are none arising specifically from this report.

## 6 Background papers

Link specimen Annual Treasury Management Review 2021/22 Treasury Policy + Systems Documents Quarterly Treasury Management reports 2021/22 Montreas22 spreadsheet Final Accounts 2021/22 Benchmarking 2021/22

### Public access to information

Information in this form is subject to the Freedom of Information Act 2000 (FOIA) and other legislation. Part 1 of this form will be made available on the website within 1 working day of approval. Any facts and advice that should not be automatically available on request should not be included in Part 1 but instead on a separate Part 2 form. Deferment of publication is only applicable where release before that date would compromise the implementation of the decision being approved.

### Is the publication of this form to be deferred? No

### Is there a Part 2 form? No

	Officer
Name & Role	
Head of Unit	
This document meets the requirements in the CIPFA Code of	PCC Chief
Practice for Treasury Management in Public Services	Finance Officer
Legal Advice	
This report complies with the various statutory and regulatory	Chief Executive
guidance relating to treasury management in the public sector	
Financial Advice	
The financial implications are summarised in paragraph 2.1	PCC Chief
above	Finance Officer
Equalities and Diversity	
No specific issues arising from this report	Chief Executive

## PCC's STATUTORY CHIEF OFFICERS' APPROVAL

We have been consulted about the report and confirm that appropriate financial and legal advice have been taken into account.

We are satisfied that this is an appropriate report to be submitted to the Joint Independent Audit Committee.

Chief Executive	Date	30 June 2022
Chief Finance Officer	Date	30 June 2022

# Annual Treasury Management Report 2021/22

## 1. Introduction

- 1.1 The PCC is required by regulations issued under the Local Government Act 2003 to produce an annual treasury management review of activities and the actual prudential and treasury indicators for each financial year. This report relates to treasury management performance in 2021/22 and meets the requirements of both the CIPFA Code of Practice on Treasury Management (the Code) and the CIPFA Prudential Code for Capital Finance in Local Authorities (the Prudential Code).
- 1.2 During 2021/22 the minimum reporting requirements were that the PCC should receive the following reports:
  - an annual treasury strategy in advance of the year Level 1 (now Performance & Accountability) meeting on 19<sup>th</sup> January 2021
  - a mid-year (minimum) treasury update report Performance & Accountability meeting on 26<sup>th</sup> November 2021
  - an annual review following the end of the year describing the activity compared to the strategy this report
- 1.3 In addition, the PCC also received a quarterly treasury management update report on 19<sup>th</sup> January 2022.
- 1.4 The regulatory environment places responsibility on relevant bodies for the review and scrutiny of treasury management policy and activities. This report is therefore important in that respect, as it provides details of the outturn position for treasury activities and highlights compliance with the PCC's policies, as approved in previous reports.
- 1.5 The Chief Finance Officer confirms that he has complied with the requirement under the Code to give prior scrutiny to the key treasury management reports (i.e. the Annual Treasury Strategy Report and the Annual Treasury Management Report) by presenting them to the Joint Independent Audit Committee before being reported to the PCC for formal approval.
- 1.6 The various prudential and treasury management indicators are summarised in Appendix 2.

## 2. The Economy and Interest Rates<sup>1</sup>

- 2.1 **UK. Economy.** Over the last two years, the coronavirus outbreak has done huge economic damage to the UK and to economies around the world. After the Bank of England took emergency action in March 2020 to cut Bank Rate to 0.10%, it left Bank Rate unchanged at its subsequent meetings until raising it to 0.25% at its meeting on 16<sup>th</sup> December 2021, 0.50% at its meeting of 4<sup>th</sup> February 2022 and then to 0.75% in March 2022.
- 2.2 The UK economy has endured several false dawns through 2021/22 but, with most of the economy now opened up and nearly back to business-as-usual, the GDP numbers have been robust (9% y/y Q1 2022) and sufficient for the MPC to focus on tackling the second-round effects of inflation, now that the CPI measure has already risen to 6.2% and is likely to exceed 8% in April 2022.
- 2.3 The Gilt yields fell towards the back end of 2021, but despite the war in Ukraine gilt yields have shot higher in early 2022. At 1.38%, 2-year yields remain close to their

<sup>&</sup>lt;sup>1</sup> Paragraphs 2.1 to 2.15 have been provided by Link Treasury Services

recent 11-year high and 10-year yields of 1.65% are close to their recent six-year high. These rises have been part of a global trend as central banks have suggested they will continue to raise interest rates to contain inflation.

- 2.4 Historically, a further rise in US Treasury yields will probably drag UK gilt yields higher. There is a strong correlation between the two factors. However, the squeeze on real household disposable incomes arising from the 54% leap in April utilities prices as well as rises in council tax, water prices and many phone contract prices, are strong headwinds for any economy to deal with. In addition, from 1<sup>st</sup> April 2022, employees also pay 1.25% more in National Insurance tax. Consequently, inflation will be a bigger drag on real incomes in 2022 than in any year since records began in 1955.
- 2.5 Average inflation targeting. This was the major change in 2020/21 adopted by the Bank of England in terms of implementing its inflation target of 2%. The key addition to the Bank's forward guidance in August 2020 was a new phrase in the policy statement, namely that "it does not intend to tighten monetary policy until there is clear evidence that significant progress is being made in eliminating spare capacity and *achieving the 2% target sustainably*". That mantra now seems very dated. Inflation is the "genie" that has escaped the bottle, and a perfect storm of supply side shortages, labour shortages, commodity price inflation, the impact of Russia's invasion of Ukraine and subsequent Western sanctions all point to inflation being at elevated levels until well into 2023.
- 2.6 **USA**. The flurry of comments from Fed officials following the mid-March FOMC meeting including from Chair Jerome Powell himself hammering home the hawkish message from the mid-March meeting, has had markets pricing in a further 225bps of interest rate increases in 2022 on top of the initial move to an interest rate range of 0.25% 0.5%. In addition, the Fed is expected to start to run down its balance sheet. Powell noted that the rundown could come as soon as the next meeting in May.
- 2.7 The upward pressure on inflation from higher oil prices and potential knock-on impacts on supply chains all argue for tighter policy (CPI is estimated at 7.8% across Q1), but the hit to real disposable incomes and the additional uncertainty points in the opposite direction.
- 2.8 More recently, the inversion of the 10y-2y Treasury yield spread at the end of March led to predictable speculation that the Fed's interest rate hikes would quickly push the US economy into recession. Q1 GDP growth is likely to be only between 1.0% and 1.5% annualised (down from 7% in Q4 2021). But, on a positive note, the economy created more than 550,000 jobs per month in Q1, a number unchanged from the post-pandemic 2021 average. Unemployment is only 3.8%.
- 2.9 **EUROZONE.** With euro-zone inflation having jumped to 7.5% in March it seems increasingly likely that the ECB will accelerate its plans to tighten monetary policy. It is likely to end net asset purchases in June i.e., earlier than the Q3 date which the ECB targeted in March. And the market is now anticipating possibly three 25bp rate hikes later this year followed by more in 2023. Policymakers have also hinted strongly that they would re-start asset purchases if required. In a recent speech, Christine Lagarde said "we can design and deploy new instruments to secure monetary policy transmission as we move along the path of policy normalisation."
- 2.10 While inflation has hit the headlines recently, the risk of recession has also been rising. Among the bigger countries, Germany is most likely to experience a "technical" recession because its GDP contracted in Q4 2021, and its performance has been subdued in Q1 2022. However, overall, Q1 2022 growth for the Eurozone is expected to be 0.3% q/q with the y/y figure posting a healthy 5.2% gain. Finishing on a bright note, unemployment fell to only 6.8% in February.

- 2.11 **CHINA**. After a concerted effort to get on top of the virus outbreak in Q1 of 2020, economic recovery was strong in the rest of the year; however, 2021 has seen the economy negatively impacted by political policies that have focussed on constraining digital services, restricting individual freedoms, and re-establishing the power of the One-Party state. With the recent outbreak of Covid-19 in large cities, such as Shanghai, near-term economic performance is likely to be subdued. Official GDP numbers suggest growth of circa 4% y/y, but other data measures suggest this may be an overstatement.
- 2.12 **JAPAN**. The Japanese economic performance through 2021/22 is best described as tepid. With a succession of local lockdowns throughout the course of the year, GDP is expected to have risen only 0.5% y/y with Q4 seeing a minor contraction. The policy rate has remained at -0.1%, unemployment is currently only 2.7% and inflation is sub 1%, although cost pressures are mounting.
- 2.13 **WORLD GROWTH**. World growth is estimated to have expanded 8.9% in 2021/22 following a contraction of 6.6% in 2020/21.
- 2.14 **Deglobalisation.** Until recent years, world growth has been boosted by increasing globalisation i.e. countries specialising in producing goods and commodities in which they have an economic advantage and which they then trade with the rest of the world. This has boosted worldwide productivity and growth, and, by lowering costs, has also depressed inflation. However, the rise of China as an economic superpower over the last 30 years, which now accounts for 18% of total world GDP (the USA accounts for 24%), and Russia's recent invasion of Ukraine, has unbalanced the world economy. In addition, after the pandemic exposed how frail extended supply lines were around the world, both factors are now likely to lead to a sharp retrenchment of economies into two blocs of western democracies v. autocracies. It is, therefore, likely that we are heading into a period where there will be a reversal of world globalisation and a decoupling of western countries from dependence on China (and to a much lesser extent Russia) to supply products and vice versa. This is likely to reduce world growth rates.
- 2.15 **Central banks' monetary policy.** During the pandemic, the governments of western countries have provided massive fiscal support to their economies which has resulted in a big increase in total government debt in each country. It is therefore very important that bond yields stay low while debt to GDP ratios slowly subside under the impact of economic growth. This provides governments with a good reason to amend the mandates given to central banks to allow higher average levels of inflation than we have generally seen over the last couple of decades. Both the Fed and Bank of England have already changed their policy towards implementing their existing mandates on inflation, (and full employment), to hitting an average level of inflation. Greater emphasis could also be placed on hitting subsidiary targets e.g. full employment before raising rates. Higher average rates of inflation would also help to erode the real value of government debt more quickly.

## 3. Overall Treasury Position as at 31 March 2022

3.1 The PCC's debt and investment position is organised by the treasury management service in order to ensure adequate liquidity for revenue and capital activities, security for investments and to manage risks within all treasury management activities. Procedures and controls to achieve these objectives are well established both through regular formal financial performance reporting to the PCC and through officer activity detailed in the approved Treasury Management Practices. At the beginning and the end of 2021/22 the PCC's treasury position was as follows:

	31 March	31 March 2021		2022
	Principal	Average	Principal	Average
	£m	rate	£m	rate
Actual borrowing position				
Fixed interest rate debt	50.678	2.83%	50.678	2.83%
Variable interest rate debt	0.000		0.000	
Total debt	50.678	2.83%	50.678	2.83%
Finance lease	<u>10.184</u>		8.650	
Overall Borrowing Need (A)	60.862		59.328	
Capital Finance Requirement	60.186		63.451	
Over / (under) borrowing	0.676		(4.123)	
Investment position				
Fixed interest rate investments	73.800	0.38%	90.000	0.62%
Variable interest rate investments	20.469	0.03%	26.607	0.60%
Total investments (B)	94.269	0.30%	116.607	0.62%
Net Borrowing position (A-B)	-33.407		-57.279	

### 4. The Treasury Management Strategy for 2021/22

- 4.1 During 2020/21 the force entered into a BT Managed Service contract lease which had its first full year in 2021/22.
- 4.2 A cost of carry remained during the year on any new long-term borrowing that was not used immediately to finance capital expenditure, as it would have caused a temporary increase in cash balances; this would have incurred a revenue cost i.e. the difference between (higher) borrowing costs and (lower) investment returns.
- 4.3 Investment returns remained close to zero for much of 2021/22. The expectation for interest rates within the treasury management strategy for 2021/22 was that Bank Rate would remain at 0.1% until it was clear to the Bank of England that the emergency level of rates introduced at the start of the Covid-19 pandemic were no longer necessitated.
- 4.4 The Government supplied huge amounts of finance to local authorities to pass on to businesses. This meant that for most of the year there was much more liquidity in financial markets than there was demand to borrow, with the consequential impact that investment earning rates remained low until towards the turn of the year when inflation concerns indicated central banks, not just the Bank of England, would need to lift interest rates to combat the second-round effects of growing levels of inflation (CPI was 6.2% in February).
- 4.5 The detailed Treasury Management Strategy for 2021/22 was approved by the PCC on 19<sup>th</sup> January 2021.

#### 5. The Borrowing Requirement and Debt

- 5.1 The PCC's underlying need to borrow for capital expenditure is called the 'Capital Financing Requirement' (CFR). This figure is a gauge of the PCC's debt position. The CFR results from the Force's capital activity and what resources have been used to pay for the capital spend. It represents 2021/22 and prior years' net capital expenditure which has not yet been paid for by revenue or other resources.
- 5.2 Part of the PCC's treasury activities is to address this borrowing need, either through borrowing from external bodies or utilising temporary cash resources.

- 5.3 Whilst under treasury management arrangements actual debt can be borrowed or repaid at any time within the confines of the annual treasury strategy, the PCC is required to make an annual revenue charge to reduce the CFR. This statutory revenue charge is called the Minimum Revenue Provision (MRP).
- 5.4 The statutory revenue charge is called the Minimum Revenue Provision (MRP) - the total CFR can also be reduced by:
  - The application of additional capital resources (e.g. unapplied capital receipts); or
  - Charging more than the MRP each year through a Voluntary Revenue Provision
- 5.5 The MRP policy for 2021/22 was approved by the PCC on 19<sup>th</sup> January 2021.
- 5.6 The CFR for the year is set out in table 2 below and represents a key prudential indicator. The CFR balance includes PFI and leasing schemes on the balance sheet which increase the underlying borrowing need. However, no borrowing is actually required against these schemes as a borrowing facility is included in the contract

Table 2: Capital Financing Requirement		31-3-22	
	31-3-21 Actual £m	Original indicator £m	31-3-22 Actual £m
Opening CFR balance	56.459	60.186	60.186
Addition - new balance sheet lease Annual borrowing requirement	5.158 0.828	0.000 5.922	0.000 5.922
Annual charge to revenue for debt repayment (i.e. MRP + VRP)	- 1.107	- 1.123	-1.123
Less PFI & finance lease repayments	- 1.152	- 1.534	- 1.534
Closing CFR balance	60.186	63.451	63.451

- 5.7 The borrowing activity is constrained by prudential indicators for net borrowing and the CFR, and by the authorised limit.
- 5.8 Net borrowing and the CFR - In order to ensure that borrowing levels are prudent over the medium term, the PCC's external borrowing, net of investments, must only be for a capital purpose. Net borrowing should not therefore, except in the short term, have exceeded the CFR for 2021/22 plus the estimates of any additional CFR for the current (2022/23) and next two financial years. This indicator allows the PCC some flexibility to borrow in advance of his immediate capital needs for 2022/23. Table 3 highlights the PCC's net borrowing position against the CFR. The PCC has complied with this prudential indicator.

#### Table 3: Net Borrowing & the Capital Financing Requirement

	31-3-21 Actual £m	31-3-22 Actual £m
Net Borrowing position	- 33.407	- 57.279
Capital Financing Requirement	60.186	63.451

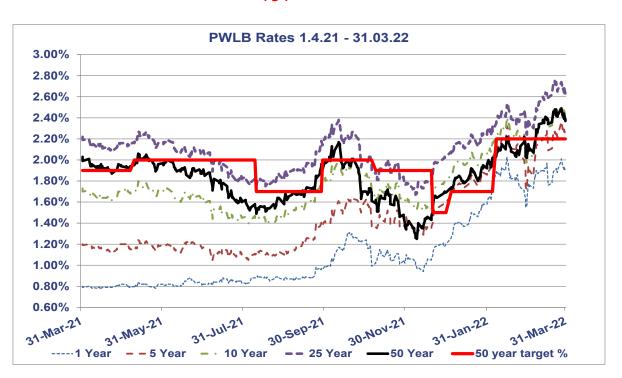
5.9 The 'Authorised Limit' is the "affordable borrowing limit" required by s3 of the Local Government Act 2003. The PCC does not have the power to borrow above this level. Table 4 below demonstrates that during 2021/22 the PCC has maintained gross borrowing within its Authorised Limit.

- 5.10 The '<u>Operational Boundary</u>' is the expected borrowing position during the year. Periods where the actual position is either below or over the Boundary is acceptable subject to the Authorised Limit not being breached.
- 5.11 The indicator for '<u>Actual financing costs as a proportion of net revenue stream</u>' identifies the trend in the cost of capital (borrowing and other long term obligation costs net of investment income) against the net revenue stream (i.e. the Net Budget Requirement).

able 4: Borrowing limits	
	2021/22
Authorised Limit	£96.951m
Maximum gross borrowing position	£83.328m
Operational Boundary	£76.951m
Average gross borrowing position	£60.999m
Actual financing costs as a proportion of net revenue stream	0.79%

### 6. Borrowing Rates in 2021/22

- 6.1 PWLB rates are based on, and are determined by, gilt (UK Government bonds) yields through determining a specified margin to add to gilt yields. The main influences on gilt yields are Bank Rate, inflation expectations and movements in US treasury yields. Inflation targeting by the major central banks has been successful over the last 30 years in lowering inflation and the real equilibrium rate for central rates has fallen considerably due to the high level of borrowing by consumers: this means that central banks do not need to raise rates as much now to have a major impact on consumer spending, inflation, etc. This has pulled down the overall level of interest rates and bond yields in financial markets over the last 30 years. We have seen, over the last two years, many bond yields up to 10 years in the Eurozone turn negative on expectations that the EU would struggle to get growth rates and inflation up from low levels. In addition, there has, at times, been an inversion of bond yields in the US whereby 10-year yields have fallen below shorter term yields. In the past, this has been a precursor of a recession. Recently, yields have risen since the turn of the year on the back of global inflation concerns.
- 6.2 There is likely to be a rise in short dated gilt yields and PWLB rates over the next three years as Bank Rate is forecast to rise from 0.75% in March 2022 to 1.25% later this year, with upside risk likely if the economy proves resilient in the light of the cost-of-living squeeze. Medium to long dated yields are driven primarily by inflation concerns but the Bank of England is also embarking on a process of Quantitative Tightening when Bank Rate hits 1%, whereby the Bank's £895bn stock of gilt and corporate bonds will be sold back into the market over several years. The impact this policy will have on the market pricing of gilts, while issuance is markedly increasing, is an unknown at the time of writing.
- 6.3 The graph below shows the movement in PWLB rates during 2021/2, together with the actual rates at the beginning and end of the financial year.



## 7. Borrowing outturn for 2021/22

#### Short Term Borrowing

- 7.1 Short-term borrowing is required to cover cash flow shortfalls on a day-to-day basis and to finance capital expenditure temporarily pending the receipt of Government grant, contributions from third parties or the undertaking of long term borrowing for capital purposes.
- 7.2 The following short-term borrowing was undertaken during 2021/22.

Date	Counter-party	Amoun	Rate	Duration	Total cost
		t	%	(Days)	£'s
		£m			
22/04/21	Middlesbrough Borough Council	5.00	0.02	20	164.38
23/04/21	Blaenau Gwent County BC	2.00	0.04	17	74.52
04/05/21	Middlesborough Brough Council	10.00	0.01	6	82.19
28/05/21	Middlesbrough Borough Council	6.00	0.02	11	108.49
04/06/21	Crawley Borough Council	1.00	0.05	7	17.26
TOTAL			0.03	61	446.84
			(Average)		

#### Table 5: Short Term Borrowing

- 7.3 On each occasion, borrowing was undertaken to cover a short term cash shortfall pending the receipt of government grants and/or council tax precept income.
- 7.4 The PCC has not borrowed more than, or in advance of its needs, purely in order to profit from the investment of the extra sums borrowed.

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Long Term Borrowing

- 7.5 Borrowing is necessary to finance capital expenditure and maturing debt and to optimise the balance between external debt and cash investments.
- 7.6 The amount outstanding at 31<sup>st</sup> March 2022 was £50.678m, the repayment profile of which is set out in Table 6 below.

	£m	%
	£111	70
Maturing under 12 months	0.000	0.0
Maturing in more than 1 year and less than 5 years	0.756	1.5
Maturing in more than 5 years and less than 10 years	10.393	20.5
Maturing in more than 10 years	36.029	71.1
LOBO* Loan (Maximum outstanding maturity of 30 years)	3.500	6.9
Total Long Term Borrowing	50.678	100.0

#### Table 6: Maturity profile of debt as at 31<sup>st</sup> March 2022

\* The variable interest rate debt became a fixed rate instrument on 28 June 2016.

- 7.7 The average rate on external borrowings is currently 2.83%
- 7.8 The total loan portfolio of £50.678m is at fixed rates. The PCC has therefore complied with its upper limit of a maximum of 50% of total borrowings being at variable rates.

#### Finance lease

- 7.9 The PFI scheme at Abingdon is treated as a finance lease which means that future lease obligations are brought on to the PCC's Balance Sheet, to be written down over the remaining 8 years of the contract.
- 7.10 The Force entered into a contract with BT during 2020/21 to provide a fully supported, managed and monitored network and voice service. BT took ownership of all network assets previously held on the balance sheet of Thames Valley Police and ensured that any equipment that was at its 'end of life' stage was replaced or upgraded within the first year of the contract. 2021/22 was the first full year of this contract.
- 7.11 The outstanding lease liability at 31st March 2022 was £8.650m.

#### **Overall Borrowing**

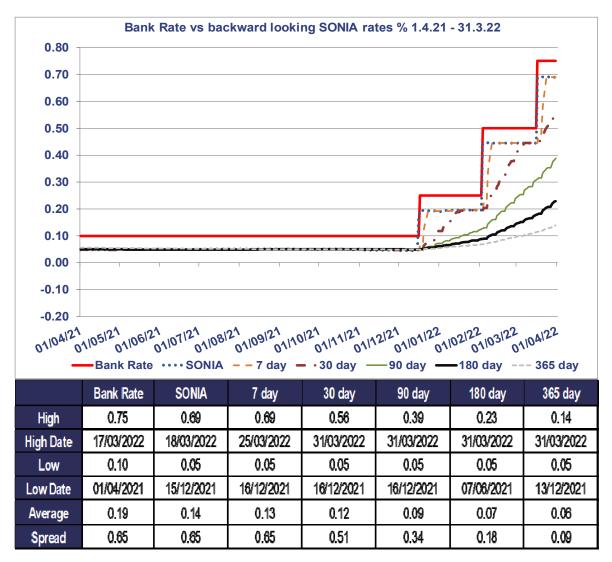
7.12 The overall borrowing limit encompasses long-term debt, short-term loans and finance lease liabilities. During 2021/22 overall borrowing peaked at £83.328m, which is inside the authorised limit of £96.951m.

#### 8. Investment Rates in 2021/22

- 8.1 Investment returns remained close to zero for much of 2021/22. Most local authority lending managed to avoid negative rates and one feature of the year was the continued growth of inter local authority lending. The expectation for interest rates within the treasury management strategy for 2021/22 was that Bank Rate would remain at 0.1% until it was clear to the Bank of England that the emergency level of rates introduced at the start of the Covid-19 pandemic were no longer necessitated.
- 8.2 The Bank of England and the Government also maintained various monetary and fiscal measures, supplying the banking system and the economy with massive amounts of cheap credit so that banks could help cash-starved businesses to survive the various lockdowns/negative impact on their cashflow. The Government also supplied huge amounts of finance to local authorities to pass on to businesses. This meant that for most of the year there was much more liquidity in financial markets than there was

demand to borrow, with the consequential effect that investment earnings remained low until towards the turn of the year when inflation concerns indicated central banks, not just the Bank of England, would need to lift interest rates to combat the second-round effects of growing levels of inflation (CPI was 6.2% in February).

8.3 The differential between bank rate and the Sterling Overnight Index Average (SONIA) rates can be seen in the following chart. SONIA was used as the new preferred measurement of interest rates from 1<sup>st</sup> January 2022 because it is more robust and sustainable due to the volume of transactions underpinning it.



## 9. Investment outturn for 2021/22

- 9.1 The PCC's investment policy is governed by MHCLG Guidance, which has been implemented in the annual investment strategy approved by the PCC on 19<sup>th</sup> January 2021. This policy sets out the approach for choosing investment counterparties and is based on credit ratings provided by the three main credit rating agencies, supplemented by additional market data such as rating outlooks, credit default swaps, bank share prices etc.
- 9.2 The investment activity during the year conformed to the approved strategy. <u>Resources</u>

9.3 The PCC's longer term cash balances comprise both revenue and capital resources as shown in Table 7 below.

#### Table 7: Balance sheet resources

	31-3-21	31-3-22
	£m	£m
General revenue balances	19.892	20.389
Earmarked revenue reserves	23.157	48.423
Provisions	9.103	9.310
Capital grants	15.644	14.026
Capital receipts	2.890	3.737
	70.686	86.575

#### **Investments**

- 9.4 The PCC's investment strategy is set out in paragraph 9.1 above. This needs to be viewed against the economic background for 2021/22 as highlighted in section 2 above.
- 9.5 The OPCC invested any cash balances not required on a day-to-day basis for periods of up to 12 months, during the year, at interest rates of between 1.54% and 0.10%. Due to cashflow fluctuations during the year, the actual position on investments varied considerably, from a minimum lending position of £66.230m on 2<sup>nd</sup>, 3<sup>rd</sup> & 4<sup>th</sup> July 2021 to a maximum of £157.754m on 20<sup>th</sup> December 2021. The cash flow situation is illustrated graphically in Appendix 3.
- 9.6 The investments at 31 March 2022 totalled £116.607m and were placed with 8 different financial institutions i.e. Santander (Notice account); Goldman Sachs International Bank (2\*Term Deposit); Close Brothers (2\*Term Deposit); Credit Industrial et Commercial (Certificate of Deposit); NatWest Bank (4\*Term Deposit); First Abu Dhabi Bank (2\*Term Deposit); National Bank of Kuwait (Term Deposit), and Handelsbanken (Call a/c).
- 9.7 In order to measure treasury performance, the rate of interest earned by the PCC on its investments has been compared to the 7 day LIBID rate (the London Interbank Sterling Rate) up to 31<sup>st</sup> December 2021. From 1st January 2022 SONIA (Sterling Overnight Index Average) became the new bespoke benchmark comparator. SONIA is based on actual transactions and reflects the average of the interest rates that banks pay to borrow sterling overnight from other financial institutions and other institutional investors. In light of this change and our actual return is based on investments placed up to a year ago, it is not a truly reflective comparator.

Month	7 Day LIBID/Rate	SONIA %	Bespoke TVP	Average rate earned on TVP	Performance versus TVP
	%	70	Benchmark	Investments <sup>1</sup>	Benchmark
			%	%	%
April 2021	-0.08		-0.01	0.34	0.35
0.35May 2021	-0.08		-0.01	0.34	0.35
June 2021	-0.08		-0.02	0.31	0.33
July 2021	-0.08		-0.03	0.22	0.25
August 2021	-0.08		-0.03	0.21	0.24
September 2021	-0.08		-0.01	0.20	0.21
October 2021	-0.08		0.15	0.21	0.06
November 2021	-0.08		0.20	0.25	0.05
December 2021	-0.01		0.25	0.26	0.01
January 2022		0.20		0.34	
February 2022		0.43		0.43	
March 2022		0.56		0.56	
Average for year	-0.07		0.05	0.26	0.21

#### Table 8: Investment yields

- 9.8 The average's above in Table 8 reflects the comments in 9.7 and 9.9 and therefore shows that the actual rate of return on treasury dealings over the last 9 months (0.26%) has, on average, outperformed the bespoke TVP benchmark rate (0.05%) by 21 basis points.
- 9.9 The change from LIBOR to SONIA for benchmarking purposes, with effect from 1 January 2022, has affected the TVP Bespoke Benchmark in a way that we could not have foreseen. i.e. simply replacing LIBOR rates with SONIA distorted the benchmark and meant we were no longer comparing like for like. As such, with effect from 1 January 2022 the best comparison for investment performance is with SONIA rather than a TVP bespoke benchmark rate.
- 9.10 Actual interest receipts for the year of £0.825m was £0.065m lower than the annual budget of £0.890m.

#### **10. Performance Measurement**

- 10.1 One of the key requirements in the Code is the formal introduction of performance measurement relating to investments, debt and capital financing activities. Whilst investment performance criteria have been well developed and universally accepted, debt performance indicators continue to be a more problematic area with the traditional average portfolio rate of interest acting as the main guide. The PCC's performance indicators were set out in the Annual Treasury Management Strategy for 2021/22.
- 10.2 The purpose of these benchmarks is to enable officers to monitor the 'current' and 'trend' positions and amend the operational strategy depending on any changes. Any variance from the benchmark's are reported in the quarterly performance monitoring report as well as this annual outturn report.
- 10.3 **Security** The PCC's maximum security risk benchmark for the whole portfolio, when compared to these historic default tables, is:
  - 0.25% historic risk of default when compared to the whole portfolio.
- 10.4 I can report that the investment portfolio has been maintained within the overall benchmark. The actual position as 31 March 2022 was 0.028%
- 10.5 In terms of **Liquidity** the OPCC will seek to maintain:
  - A maximum bank overdraft of £0.100m
  - Liquid short term deposits, including the receipt of government grants and/or council tax precept income, of at least £5m within one week
  - A weighted average life (WAL) benchmark of 9 months (270 days), with a maximum of 2 years
- 10.6 We exceeded our overdraft facility on three occasions during the year. Two occasions were due to non-receipt of a local authorities' precept payment. On the first occasion after correspondence with our bank the overdraft charge was waived. On the second occasion a decision was taken not to charge the precept authority (circa £600) due to their financial circumstances. The third occasion was an oversight in which an internal bank transfer was not processed in a timely manner which resulted in us being overdrawn by £0.181m, just £0.081m over our overdraft limit.
- 10.7 We did not fall below the benchmark level of "£5m within 7 days" on any day during the year.
- 10.8 The Weighted Average Life of maturities on 31 March 2022 was 123.51 days, which is below the benchmark level of 270 days.

10.9 **Yield** – the performance target is to achieve returns above the bespoke TVP benchmark rate. As Table 8 above shows, we have exceeded this target.

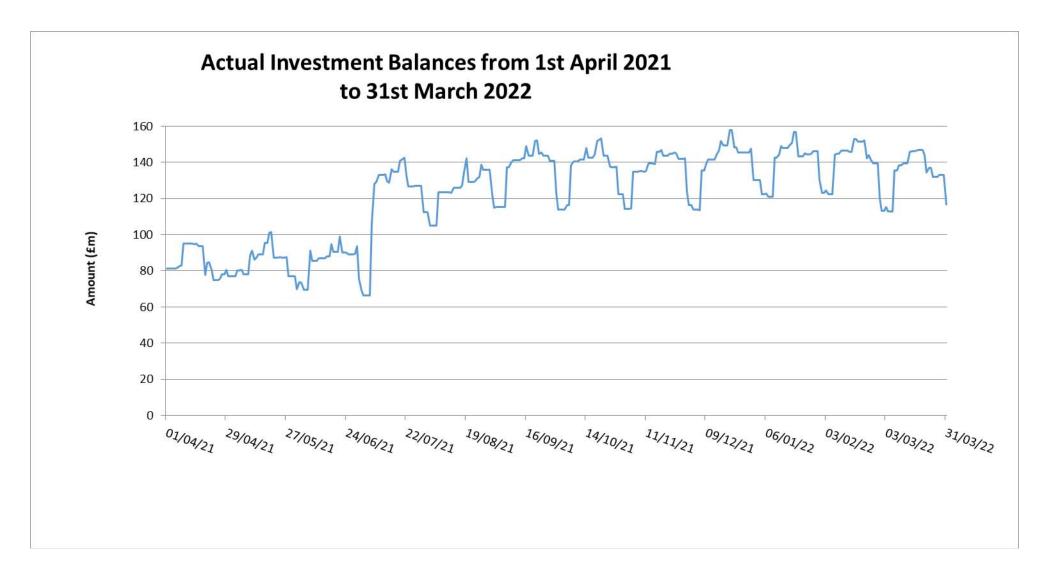
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# Appendix 2

1. PRUDENTIAL INDICATORS			
	2020/21	2021/22	2021/22
	Actual		Actual
		Estimate	
	£m	£m	£m
Capital Expenditure	20.333	34.754	24.889
Financing by:			
Capital receipts	0.654	4.125	3.999
Capital grants	4.451	12.398	8.489
Capital grant brought forward	0.000	0.000	0.000
3 <sup>rd</sup> party contributions	0.248	0.300	0.000
Revenue reserves	7.851	0.680	2.915
Revenue contributions	6.301	17.251	3.564
Cashflow – timing issues	0.000	0.000	0.000
Net financing need (i.e. borrowing)	0.828	0.000	5.922
Ratio of financing costs to net revenue stream	0.73%	0.62%	0.79%
Capital Financing Requirement (CFR)	60.186	63.451	63.451
Annual change in CFR	3.727	3.265	3.265
2. TREASURY MANAGEMENT INDICATORS	£m	£m	£m
Authorised Limit for external debt -			
Borrowing	86.536	88.301	88.301
Other long term liabilities	10.184	8.650	8.650
TOTAL	96.720	96.951	96.951
Operational Boundary for external debt -			
Borrowing	66.536	71.428	68.301
Other long term liabilities	10.184	5.523	8.650
TOTAL	76.720	76.951	76.951
Actual external debt	50.678		50.678
Upper limit for total principal sums invested	£20m	£20m	£20m
over 364 days		~~~~~	~~~~
Maturity Structure of fixed interest rate borrowing	during 2020/21	Upper limit	Lower limit
Under 12 months		0%	100%
		00/	4000/

Maturity Structure of fixed interest rate borrowing during 2020/21	Opper mint	Lower mint
Under 12 months	0%	100%
12 months to 2 years	0%	100%
5 years to 10 years	0%	100%
10 years and above	0%	100%
Maturity Structure of fixed interest rate borrowing during 2021/22	Upper limit	Lower limit
Under 12 months	0%	100%
12 months to 2 years	0%	100%
5 years to 10 years	0%	100%
10 years and above	0%	100%

Appendix 3



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## JOINT INDEPENDENT AUDIT COMMITTEE

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## Report for Decision: 17<sup>th</sup> June 2022

## Title: Annual Governance Statement 2021/22

#### **Executive Summary:**

Local authorities, including the Police, are required to produce an annual governance statement (AGS) to show the extent to which they comply with their own code of corporate governance.

Attached at Appendix 1 is a single, combined, AGS which shows how the Chief Constable and the Police and Crime Commissioner (PCC) have complied with their joint Code of Corporate Governance during 2021/22.

The joint AGS is published in the annual Statement of Accounts for 2021/22 that the PCC and Chief Constable have produced.

In March, Committee members received an early draft of the AGS for 2021/22 for consideration and comment. Only minor changes have been made since then.

In accordance with previous practice, an updated, tracked change version was sent to members before the AGS was included in the Statement of Accounts as submitted for external audit, and comments were acted upon.

Following an internal officer review of the adequacy and effectiveness of the present governance arrangements there are NO significant issues that require immediate attention, nor are there any potential issues that may have an adverse impact on the internal control environment during 2021/22.

A further update will be provided at the Committee's next meeting on 17<sup>th</sup> June.

#### **Recommendation:**

The Committee is asked to endorse the Annual Governance Statement for 2021/22.

#### Chairman of the Joint Independent Audit Committee

I hereby approve the recommendation above.

#### Signature

Date

## PART 1 – NON-CONFIDENTIAL

#### 1 Introduction and background

- 1.1 The CIPFA/SOLACE Good Governance Framework establishes the principles and the standards of governance against which all local government bodies, including police and crime commissioners and chief constables, should assess themselves. 'Delivering Good Governance in Local Government' urges local authorities to prepare a governance statement in order to report publicly on the extent to which they comply with their own code of corporate governance on an annual basis, including how they have monitored and evaluated the effectiveness of their governance arrangements in the year, and on any planned changes in the coming period. The process of preparing the governance statement should itself add value to the effectiveness of the corporate governance and internal control framework.
- 1.2 The annual governance statement (AGS) should provide a brief communication regarding the review of governance that has taken place and the role of the governance structures involved. It should be high level, strategic and written in an open and readable style. It should be focused on outcomes and value for money and relate to the body's vision for the area.

#### Local Position

- 1.3 The PCC and Chief Constable are established as separate legal entities, or 'corporations sole', which means they are both entitled to own assets and employ staff. Accordingly, they must also produce their own Statement of Accounts and Annual Governance Statements (AGS).
- 1.4 The PCC and Chief Constable have approved a joint Framework for Corporate Governance which includes a joint Code of Corporate Governance to explain how the PCC and Chief Constable will comply with the principles of good governance for the public service. The 2021/22 Framework was approved by the PCC and Chief Constable on 30 March 2021.
- 1.5 The Annual Governance Statement for 2021/22 is attached at Appendix 1. We have produced a single, combined, AGS which has been incorporated in the PCC (and Group) and Chief Constable Statement of Accounts.
- 1.6 The Governance Framework on pages 2 to 10 [of Appendix 1] explains how the Chief Constable and PCC have complied with the seven key headings from the approved Code of Corporate Governance.
- 1.7 The financial management arrangements in Thames Valley are explained on pages 8 and 9. This is a key requirement of the Code of Practice on Local Authority Accounting in the United Kingdom.
- 1.8 The Review of Effectiveness on pages 10 to 16 explains how the governance framework has operated in practice during the financial year.

#### CIPFA Financial Management Code

- 1.9 The primary objective of the new CIPFA Financial Management (FM) Code is to enhance standards of financial management across the public sector. It was implemented with effect from 1<sup>st</sup> April 2021.
- 1.10 In March the Committee received a high-level self-assessment against the key principles and standards in the FM Code together with a Financial Resilience Self-Assessment as at March 2022.

#### <u>COVID-19</u>

1.11 The organisational response to COVID-19 has meant that there have been no significant changes or impacts on existing governance arrangements. The two organisations have adjusted the way that services and governance arrangements have been managed and delivered, but not substantially changed the framework of delivery and the range and quality of services delivered. Accordingly, COVID-19 has not presented itself as a significant governance issue to be managed, i.e. it has not become an actual governance issue in 2021/22 and is not identified and proposed as a significant strategic governance issue to be managed in 2022/23.

<u>AGS</u>

1.12 As in recent years, there are **no** significant governance issues requiring immediate attention, nor are there any potential issues that will require close monitoring during 2022/23 to ensure they do not impact adversely on the internal control environment. In coming to this conclusion, the Governance Advisory Group considered the potential implications and/or concerns of a number of key national and local issues from a governance perspective. The issues, and the reasons they have not been included in an Action Plan, are set out below:

#### Change Programme / Project Considerations:

- a. Emergency Services Network (ESN) / Emergency Services Mobile Communications Project (ESMCP) – This national programme is now running up to 4 years behind timetable, which has implications for both national and local service effectiveness and budgets. The delivery mechanism is based upon the phased introduction of products, delivering services across the three emergency services. Rollout of the replacement of Airwave's critical voice solution will be geographically based on an, as yet, undefined sequence. The final national programme plan is currently expected in Quarter 2, 2022. TVP continues to monitor and influence national developments proactively, and local financial and operational plans are adjusted accordingly in conjunction with South East Region Integrated Policing (SERIP) assessments. This is not, however, a local Thames Valley Police governance or internal control issue.
- b. **National programmes -** There are a number of national programmes, such as National Law Enforcement Data Service (NLEDS) and Transforming Forensics, which will provide additional improved services when they come on-line on the Force. These are being kept under review by the respective Force leads but should not impact on corporate governance arrangements

## Organisational & Operational Considerations:

- c. **Forensic services** The forensic services market still remains constrained with supply being barely sufficient to meet demand from UK policing. Work has commenced nationally to develop resilience and to ensure that the market is sustainable in the long term. The impact to TVP and the police service, is rising prices to sustain the market place, this has been factored into the MTFP. This is not, however, a local Thames Valley Police governance or internal control issue.
- d. **Healthcare** The market for health care staff is very constrained currently, with the NHS having over 50k nursing vacancies. This is impacting the ability of our provider of health care professionals (HCP) for operating in the custody suites to retain and recruit staff. The recent high levels of Omicron variant Covid infections has made this situation worse and so has resulted in a reduced provision of HCP in custody suites The provider has commenced a major recruitment campaign and we are working with them to find ways to make the role more attractive. The Force is working closely with the provider to support their efforts and to ensure that all necessary actions are taken to minimise impact on the Force. The impact on the force of a reduced provision of HCP's can influence the availability of Custody Suites. This is managed by the Criminal Justice Ch Superintendent as part of day to day management. This is not, however, a local Thames Valley Police governance or internal control issue
- e. **Vehicles** The manufacture of motor vehicles is severely compromised globally as a result of issues within the supply chain of key components, most seriously for micro-processors. This has resulted in a global shortage of vehicles. This issue is likely to continue for another 12-18 months. Blue Light Commercial are managing the relationships with manufacturers on behalf of forces nationally whilst, at a local level, suitable mitigations are being implemented to extend the life of current fleets. Extending the life of vehicles will potentially result in a slight increase in maintenance/running costs as their normal replacement cycle is aimed to be at the most economically advantageous time. This will be monitored closely through the CTC accounts and reported to the CTC Governance board as appropriate. This is not, however, a local Thames Valley Police governance or internal control issue
- f. Property Sector The impact of the pandemic on certain areas of the economy is still developing, such as the Property sector where recently a major contractor (Midas) entered administration. The normal programme management and engagement with the supplier identified the potential issues early so remedial actions were in progress before the outcome became public knowledge. Although delays will be incurred, this demonstrates the proactive governance and internal control arrangements in place within the force. Unfortunately, these external influences cannot be avoided completely and are likely to see increased costs. Inflation is provided within the MTFP's, if price rises exceed the capacity within the budgets this will be identified through the normal monitoring processes and recommendations on funding provided.

- g. **Internal audit reports** reports issued during 2021/22 were considered; however, it was felt that there were no outcomes or actions of sufficient seriousness and relevance that identified any significant potential risk to the effectiveness of the overall corporate governance arrangements.
- h. Collaboration The Chief Constable of Thames Valley Police and the Chief Constable of Hampshire Constabulary have released a joint statement within both Forces regarding collaborative intent. The statement recognises the importance of collaborative working, and the link to delivering better service, increased efficiencies and improved resilience alongside the statutory duty to consider collaboration. The two Forces have a good record of delivering collaborative programmes and currently successfully collaborate in four key delivery areas. It is also recognised that successful collaborative working can be challenging, particularly against the backdrop of complex regional and national landscapes and the current operational challenges across policing. The statement sets out clear principles that will frame future collaborative developments, and the desire to remain committed to the ongoing development of Counter Terrorism Policing South East (CTPSE), South East Regional Organised Crime Unit (SEROCU) and South East Region Integrated Policing programme (SERIP)
- i. **Problems with the recruitment and retention of police officers and staff** With the very buoyant labour market, the turnover of officers and staff within TVP has increased, which in turn increases the volume of recruits required to achieve the Home Office Police Uplift Programme (PUP) target in addition to maintaining existing resource levels. There was a risk that we may marginally miss our PUP target but significant work, including identifying new opportunities, has avoided this risk. Improving recruitment and retention will continue to be a major focus of the Force for the next financial year. The risk is recorded on the Force risk register. Although this is a strategic risk to the Force, it is a result of external economic factors and is not an internal control or governance issue, appropriate actions are in progress and CCMT are regularly monitoring progress.

## National Considerations:

- j. **Home Office review of PCCs** –The Home Office launched a review of the PCC governance model in 2020. The review is being undertaken in two parts. Part One focused on changes required to strengthen the PCC model of governance that could be delivered ahead of the May 2021 PCC elections. The Part One review also considered ways to strengthen the accountability of fire and rescue services, and its scope will be aligned with the Government's commitment to mayoral devolution. In particular, Part One looked at how to strengthen:
  - PCC accountability and legitimacy
  - Resilience, and the role of Deputy PCCs
  - Scrutiny mechanisms
  - The effectiveness of the relationship between PCCs and Chief Constables
  - The mayoral PCC model.

Part One of the review has now concluded. The outcomes focused on immediate opportunities to strengthen the model, ensuring there are effective local scrutiny mechanisms in place to ensure PCCs are accountable to the communities they serve, while also mapping longerterm ambitions for the PCC role.

Accordingly, the Home Office plans to:

- Assess the Police and Crime Panel Model specifically the potential benefits of independent members.
- Consider whether the existing mechanisms for investigating complaints and allegations against PCCs are sufficient, including the role of the Independent Office for Police Conduct (IOPC) in assessing criminal wrongdoings by PCCs and the issue of vexatious complaints.
- Work with the Cabinet Office and the Ministry for Housing, Communities and Local Government to consider the merits and demerits of introducing recall for PCCs for very serious breaches of behaviour.
- Through Part Two of the Review (and the Spending Review), examine how PCCs use data in holding Chief Constables to account for the performance of their force in reducing crime.

Part Two of the review was launched in July 2021, after the May 2021 PCC elections. It is focused on longer-term reforms, some of which may require legislation, and the 'and crime' aspects of the PCC role, including:

- Examining the role of PCCs in offender management.
- Considering the role of PCCs in the partnership landscape and assess whether their current set of 'tools and levers' are sufficient to drive and co-ordinate local activity to reduce crime, combat drugs misuse and tackle anti-social behaviour.
- Giving a general power of competence to PCCs, as afforded to local authorities.
- k. Current Economic Climate The UK and World economic position has been severely impacted by the aftermath of the Pandemic and the war in Ukraine. Some of these external influences are referred to above in relation to supply and inflationary pressures and some new challenges are likely to surface in the coming year. The force has strong management and internal governance procedures in place to identify and respond to these external factors. Although the impacts are unprecedented, the force is confident that our procedures will ensure we can mitigate the impacts on the organisation as far as possible.

#### 2 Issues for consideration

2.1 In considering the Annual Governance Statement, and the adequacy and effectiveness of current governance arrangements, the PCC and Chief Constable are invited to consider the following questions, based on their knowledge of the organisation:

- a) Does the draft AGS provide an accurate representation of the corporate governance and internal control environment in place in Thames Valley Police during 2021/22 and its adequacy and effectiveness?
- b) Are you satisfied that the issues listed in paragraph 1.12 above represent the key national and local issues faced in 2021/22 from a governance perspective, and content with the reasons provided by the Governance Advisory Group for not including them in the 2021/22 AGS?
- c) From your knowledge of the organisation, are you content to endorse the statement that there are no significant governance issues requiring immediate attention during 2022/23, but that the operational and organisational implications of COVID-19 should continue to be identified as a potential governance issue to be monitored and addressed as necessary?

# 3 Financial comments

3.1 There are no specific financial implications arising directly from this report.

# 4 Legal comments

4.1 The Accounts and Audit (England) Regulations 2015 require both the PCC and Chief Constable to prepare a set of accounts in accordance with the CIPFA Code of Practice on Local Authority Accounting in the UK and are subject to audit. The PCC and Chief Constable are both required to produce an annual governance statement.

# 5 Equality comments

5.1 There are none arising specifically from this report

# 6 Background papers

Delivering Good Governance in Local Government: Framework. Report to the Joint Independent Audit Committee on 9<sup>th</sup> March 2021.

### Public access to information

Information in this form is subject to the Freedom of Information Act 2000 (FOIA) and other legislation. Part 1 of this form will be made available on the website within 1 working day of approval. Any facts and advice that should not be automatically available on request should not be included in Part 1 but instead on a separate Part 2 form. Deferment of publication is only applicable where release before that date would compromise the implementation of the decision being approved.

# Is the publication of this form to be deferred? No

Is there a Part 2 form? No

Name & Role	Officer
<b>Head of Unit</b> The AGS has been produced as a joint statement between the PCC and Chief Constable and explains how the two corporations	PCC Chief Finance Officer

sole have complied with their joint code of corporate governance.	
<b>Legal Advice</b>	Monitoring Officer
The AGS complies with the requirements of the Accounts and	/ Head of
Audit Regulations 2015 and the CIPFA Code of Practice on Local	Governance and
Authority Accounting in the UK	Compliance
<b>Financial Advice</b>	PCC Chief
No specific issues arising from this report.	Finance Officer
Equalities and Diversity No specific issues arising from this report	Chief Executive

# PCC STATUTORY CHIEF OFFICERS' APPROVAL

We have been consulted about the report and confirm that appropriate financial and legal advice has been taken into account.

We are satisfied that this is an appropriate report to be submitted to the Joint Independent Audit Committee.

Chief Executive	Date	30 May 2022
Chief Finance Officer	Date	30 May 2022

# Annual Governance Statement 2021/22

This Annual Governance Statement explains how the Police and Crime Commissioner (PCC) and Chief Constable for Thames Valley have complied with their published corporate governance framework for the year ended 31 March 2022, including plans for the financial year 2022/23.

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A glossary of terms is provided at the end of the Statement of Accounts.

Due to the changed service delivery and governance circumstances created by the global pandemic, an insight into both specific issues arising from and measures put into place in response to COVID-19 are included in the 'Arrangements for Review of Effectiveness' section of this report, where relevant, with a further general update included as an Addendum.

# SCOPE OF RESPONSIBILITY

Following the introduction of the Police Reform and Social Responsibility Act 2011 (the 2011 Act), the PCC and Chief Constable were established on 22<sup>nd</sup> November 2012 as separate legal entities ('corporations sole') which means they are both entitled to own assets and employ staff. However, the 2011 Act gives PCCs responsibility for the totality of policing within their force area and requires them to hold their force Chief Constable to account for the operational delivery of policing.

Under the 2011 Act, the PCC is the recipient of all funding, including government grant, precept and other sources of income related to policing and crime reduction, and all funding for a force must come via the PCC. How this money is allocated is a matter for the PCC in consultation with the Chief Constable, who provides professional advice and recommendations to the PCC. However, the PCC is ultimately accountable to the public for the management of the Police Fund.

The PCC is responsible for ensuring his business is conducted in accordance with the law and proper standards of governance and, consequently, that public money is safeguarded, properly accounted for, and used economically, efficiently and effectively in the discharge of his statutory duties and powers.

Both the PCC and Chief Constable are required to, and have, appointed chief financial officers who each have a fiduciary duty to the local taxpayer for securing the efficient use of public funds. Under the Local Government Act 1999 the PCC makes arrangements to secure continuous improvement in the way his functions are exercised, having regard to a combination of economy, efficiency and effectiveness.

In discharging this overall responsibility, the PCC is responsible for putting in place proper arrangements for the governance of his affairs and facilitating the exercise of his functions, which includes ensuring a sound system of internal control is maintained and that arrangements are in place for the management of risk. In exercising this responsibility, the PCC places reliance on the Chief Constable to support the governance and risk management processes.

The Chief Constable is accountable to the law for the exercise of police powers and to the PCC for the delivery of efficient and effective policing, management of resources and expenditure by the police force. At all times the Chief Constable, including police officers and staff under his direction and control, remains operationally independent in the service of the public. In discharging his overall responsibilities, the Chief Constable is responsible for establishing and maintaining appropriate risk management processes, governance arrangements and ensuring that there is a sound system of internal control which facilitates the effective exercise of these functions.

The Policing Protocol Order 2011 requires both the PCC and Chief Constable to abide by the seven principles of personal conduct set out in 'Standards in Public Life: First Report of the Committee on Standards in Public Life' (commonly known as the 'Nolan Principles'), i.e. 'Selflessness', 'Integrity', 'Objectivity', 'Accountability', 'Openness', Honesty' and 'Leadership'. The Nolan Principles are

incorporated into both the PCC's Code of Conduct and the College of Policing 'Code of Ethics' that applies to every individual who works in policing, including the Chief Constable and PCC.

(Copies of the PCC's Code of Conduct and the College of Policing's Code of Ethics can be found at:

https://thamesvalley.s3.amazonaws.com/Documents/Our%20information/Policies%20and%20Proced ures/PCC%20and%20DPCC%20Code%20of%20Conduct%2029%20March%2017.pdf.

#### https://www.college.police.uk/What-we-do/Ethics/Ethics-home/Documents/Code\_of\_Ethics.pdf)

In addition, from an organisational perspective, the PCC and Chief Constable have approved and adopted a Code of Corporate Governance (the Code) which is consistent with the principles of the CIPFA / SOLACE guidance 'Delivering Good Governance in Local Government' (http://www.cipfa.org/policy-and-guidance/publications/d/delivering-good-governance-in-local-government-framework-2016-edition)

This Annual Governance Statement explains how the PCC and Chief Constable have complied with the Code and the requirements of Regulation 6 of the Accounts and Audit Regulations 2015 to conduct a review of the effectiveness of the system of internal control.

# THE PURPOSE OF THE GOVERNANCE FRAMEWORK

Governance comprises the arrangements put in place to ensure that the intended outcomes for stakeholders are defined and achieved. The fundamental function of good governance in the public sector is to ensure that statutory entities (in this case, the PCC and Chief Constable) achieve their intended outcomes whilst acting in the public interest at all times.

The governance framework comprises the systems and processes, and culture and values by which the PCC and Chief Constable discharge their responsibilities and through which the police service accounts to and engages with the community. It enables the PCC to monitor the achievement of his strategic objectives and to consider whether these objectives have led to the delivery of appropriate, cost effective services, including achieving value for money.

The system of internal control is a significant part of that framework and is designed to manage risk to a reasonable and foreseeable 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 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.

# THE GOVERNANCE FRAMEWORK

The key elements of the systems and processes that comprise the governance arrangements that have been put in place for the PCC and Thames Valley Police (TVP) include:

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

The PCC and the Chief Constable have developed and approved a 'Joint Corporate Governance Framework' which clarifies the working relationship between the PCC, Chief Constable and their respective staff. This includes the code of corporate governance, the scheme of delegation and financial regulations. The Framework is informed by the requirements of 'The Good Governance Standard for Public Services' and is consistent with the seven Nolan Principles of standards in public life.

The national police service Code of Ethics sets and defines the exemplary standards of behaviour for everyone who works in policing, placing an absolute duty on officers and staff. The Code applies to

everyone in policing; officers, staff, volunteers and contractors. It applies both on and off duty. It guides behaviour within the organisation as much as it informs how to deal with those outside.

Measures are in place to ensure that the PCC, Deputy PCC and employees of the Office of the PCC (OPCC) and TVP are not influenced by prejudice, bias or conflicts of interest in dealing with different stakeholders. This includes the Anti-Fraud, Bribery and Corruption Policy and guidance on the acceptance of gifts, loans and hospitality. Notifications of disclosable interests and a register of gifts and hospitability are published on the PCC's and the Force websites.

The PCC and Chief Constable have transparent and accessible arrangements for dealing with complaints received from the public.

The Force has a Professional Standards Department (PSD) whose role is to uphold the ethical and professional standards of TVP. PSD manages the application of police misconduct regulations, and the administration of complaints by members of the public against the quality of service they have received from the Force and/or the conduct of police officers and police staff below the rank of Chief Constable. The PCC has a statutory responsibility to undertake reviews (formerly known as 'appeals') of the handling and outcome of complaints made against the Force, where requested by complainants, to improve transparency and accountability on behalf of the public. Furthermore, complaints against the Chief Constable are dealt with by the PCC. The independent Thames Valley Police and Crime Panel (PCP) handles formal complaints made against the PCC.

A Professional and Ethical Standards Panel has been jointly established by the PCC and Chief Constable to facilitate the discharge of their respective statutory obligations around handling and monitoring of police complaints, and to ensure that issues relating to policing integrity, ethics and professional standards are independently considered in order to maintain public confidence in policing. It does this by providing an annual assurance report to the PCC and Chief Constable.

Both the PCC and Chief Constable are required to demonstrate respect for the rule of law and comply with relevant laws and regulations. To that end, both employ in-house legal advisors to provide assurance and guidance upon lawful decision-making. The PCC is independent of Force management and operational decision-making, which is the responsibility of the Chief Constable. Established mechanisms and guidance are in place to ensure that the PCC and Chief Constable do not breach or misuse their legal and regulatory powers inadvertently. The PCC and his Deputy (when appointed) are subject to the PCC's Code of Conduct and Oath of Office, and the Chief Constable (and all other individuals who work in policing) are subject to the College of Policing's Code of Ethics, both of which are consistent with the Nolan principles. The Chief Executive of the OPCC is also the designated statutory Monitoring Officer, and the OPCC Head of Governance and Compliance is Deputy Monitoring Officer, with responsibility for advising on the legality and appropriateness of the PCC's actions and decisions.

The PCC and Chief Constable create the conditions for all members of the OPCC and Force to be able to discharge their responsibilities in accordance with good practice. Guidance originating from the College of Policing and NPCC is disseminated Force-wide by the Learning and Development Team in People Services and/or the Policing Strategy Unit. Similarly, best practice for PCCs is obtained via the Association of Police and Crime Commissioners (APCC), Association of Policing and Crime Chief Executives (APAC<sup>2</sup>E) and Police and Crime Commissioners' Treasurers Society (PACCTS), and is disseminated amongst the OPCC.

The Force employs a Force Vetting Manager and team within the Professional Standards Department to ensure compliance with relevant national vetting standards.

#### B. Ensuring openness and comprehensive stakeholder engagement

The PCC has a statutory responsibility to consult the Chief Constable and obtain the views of the community and victims of crime about the policing of the Force area, and he must have regard to their views as well as the priorities of responsible authorities within the Thames Valley and relevant government bodies before issuing a police and crime plan.

The police and crime plan must be published by the end of the financial year in which the PCC is elected and, may be reviewed and revised, as necessary and appropriate, to ensure it remains relevant and fit for purpose. In so doing, the PCC is helping to ensure that local policing services address the priorities of local communities and that the Force is being held to account for the way services are delivered to the public.

The PCC's 'Police and Criminal Justice Plan 2021-2025' discharges the above duties and sets out his strategic policing and crime reduction priorities and key aims, and how these will be delivered, over the four-year period of his current tenure of office. The delivery of his Plan is supported by the Force's Strategic Plan, the OPCC's internal Strategic Delivery Plan and the corporate Financial Strategy. The Police and Criminal Justice Plan has due regard to the Strategic Policing Requirement as issued by the Home Secretary and is developed in consultation with the Chief Constable, informed by the views of the local community, victims of crime and the priorities of other key stakeholders.

The independent Thames Valley Police and Crime Panel meets regularly to review and scrutinise the decisions and actions of the PCC and his performance in delivering the priorities and key aims contained in his Police and Criminal Justice Plan. It also meets specifically to consider the PCC's proposed annual council tax precept increase; Police and Criminal Justice Plan, Annual Report and any proposed senior appointments to the roles of Deputy PCC, Chief Constable, OPCC Chief Executive and OPCC Chief Finance Officer.

Arrangements have been agreed and implemented for the PCC to hold the Chief Constable to account for Force performance and compliance with other requirements. These arrangements include a schedule of formal public and private meetings, i.e. regular public Performance and Accountability Meetings (formerly known as 'Level 1' meetings), with the reports and agendas published on the PCC's website, supplemented by regular fortnightly informal, private, liaison meetings between the PCC and Chief Constable (in respect of which minutes are taken but not published).

The Framework of Corporate Governance defines the parameters for decision-making, including delegations, financial regulations and contract regulations. The PCC has published his policy statement on decision-making. All formal and significant PCC decisions taken in accordance with this policy are published on his website.

The PCC proactively publishes information to maintain openness and transparency with the public on this same website; in doing so, he also meets his obligations under the Elected Local Policing Bodies (Specified Information) Order 2011 (as amended) and, as a public authority, under the Freedom of Information Act 2000.

The PCC published his 2020/21 Annual Report last June (2021). This explained his main achievements during that financial year and provided information on operational and financial performance for 2020/21. His 2021/22 Annual Report is due to be published in June 2022.

The Chief Constable has prepared and published the TVP Strategic Plan. A performance update on the strategic plan is provided to the PCC's Performance and Accountability meetings every 8 weeks, in respect of which the agenda and papers are published on the PCC's website.

Key information about the Force, including the Strategic Plan, is published on the TVP website. Information about neighbourhood policing, partnerships and sponsors, corporate events and public misconduct or special case hearings is also published, including details of upcoming hearings and how to attend. The site also allows for crimes and road traffic incidents to be reported, feedback to be given or complaints made.

The PCC and Chief Constable regularly attend local authority council meetings across the Thames Valley and provide formal briefings to constituency MPs on topical policing and crime issues at both a local and national level. In addition, the Police and Crime Panel acts as a two-way mechanism to enable local authority Panel representatives to inform the PCC of their local policing and crime matters of importance to their respective authorities and communities, and to brief their authorities of the activities and initiatives of the PCC (and the Panel).

The PCC works with and part-funds local authority Community Safety Partnerships, Youth Offending Teams and Drug and Alcohol Teams across the Thames Valley to support crime reduction and community safety activities in their local areas. Such activities are aligned to the PCC's strategic priorities and key aims, as set out in his Police and Criminal Justice Plan, and are funded from the PCC's Community Safety Fund. Through working in partnership, these activities not only help the PCC to deliver his strategic objectives but also support partners in achieving their local priorities too.

The PCC is a member of the Thames Valley Local Criminal Justice Board, which meets regularly to consider and discuss the performance of the local criminal justice system and any issues or initiatives being addressed individually and collectively by the criminal justice agencies. The PCC has chaired this Board since January 2019. An Assistant Chief Constable (ACC) represents TVP on the Board.

The Force has appropriate mechanisms for engaging with a variety of external organisational stakeholders. The Chief Constable generally attends Local Authority Chief Executive's meetings annually, it is slightly different dependant on the area and the pandemic has altered the consistency of this over the last two years, but this is still the intention. The Chief Constable has delivered a presentation and answered questions in an open forum to each Council across the Thames Valley.

The South East Regional Integrated Policing (SERIP) Board meets quarterly to discuss regional change programmes and projects. All collaborative change programmes are supported by appropriate change frameworks to ensure appropriate governance processes are adopted and supported by standard products including risk and issue logs.

The OPCC and TVP communication and engagement strategies explain how local people can interact with the PCC and the Chief Constable to ensure that their views inform decision making, accountability and future direction.

In so doing, the PCC is helping to ensure that local policing services address the priorities of local communities and that the Force is being held to account for the way services are delivered to the public and at what cost. Furthermore, the decisions and actions of the PCC are subject to regular review and scrutiny by the Police and Crime Panel.

The Chief Constable has a statutory duty to make arrangements for obtaining the views of persons within each neighbourhood about crime and disorder in that neighbourhood. Force engagement with the public takes place on many levels, from daily street contact and phone calls through to attendance at public meetings and formal surveys in relation to service priorities, levels and quality. Community Forums have been established across the force area and are active partnerships between the public, statutory and voluntary agency partners and local policing teams. "Have your say" is a consultation and priority setting process which aims to increase public consultation and ensure that the Force tackles issues which most concern communities. In addition, the Force runs 'Cover It Live' on-line events specific to themes or incidents, and has active social media outlets including Facebook and Twitter. The Thames Valley Alert system also enables electronic public engagement en masse.

#### C. Defining outcomes in terms of sustainable service and economic benefits

The PCC's Police and Crime Plan sets out his strategic policing and crime reduction priorities and key aims, and how these will be delivered over his tenure of office.

The Chief Constable has published the annual TVP Strategic Plan, outlining a clear vision of the organisation's purpose, priorities and strategic intentions, taking account of the PCC's Police and Crime Plan and the Home Secretary's national Strategic Policing Requirement. Progress against the Force's strategic objectives (the seven 'Priority Outcomes') is assessed through focussed Strategic Plan success measures, and reviewed via the Service Improvement Reviews, Force Performance Group and Strategic Vulnerabilities framework.

The organisation is committed to the identification and consideration of collaboration opportunities with regards systems, processes and resourcing to sustain service delivery and increase the capacity and resilience of the organisation without diminishing capability and access to specialist services.

Major partnerships and consortia involving the Force and the PCC are governed by formal collaboration agreements established under Section 22A of the Police Act 1996, or by Memoranda of Understanding, as appropriate. Joint collaboration oversight boards provide strategic oversight and an approval process for intended service outcomes to be delivered for collaboration activity. These collaboration boards comprise Chief Officers and the PCC from each Force area participating in the collaboration, supported by appropriate advisors from the respective Force departments / SERIP.

There are also partnership arrangements in place with other agencies and stakeholders to manage vulnerability caused by the changing crime landscape, including Multi-Agency Safeguarding Hubs (MASHs).

The Medium Term Financial Plan (MTFP) and Medium Term Capital Plan (MTCP) ensure that planned activities to support the objectives of the PCC and Chief Constable are financially sustainable in the longer term. The Productivity Strategy is an integral part of the MTFP and identifies where savings and efficiencies can be achieved and hence more resources directed to priority areas. Service delivery is reviewed within the Force's Governance & Service Improvement (GSI) department, developing an understanding of present and future demand to inform organisational and operational strategies aimed at sustaining service delivery or improvement. The Effectiveness & Efficiency programme is the methodology adopted to identify the respective costs and priority of services to help direct investment into priority areas to achieve a sustainable service that balances effectiveness with efficiency, ensuring economic viability and public value.

Risk and business continuity matters are managed through a governance framework at a local and strategic level, to manage and mitigate threats to service delivery. Strategic Risk and Business Continuity is managed within the Force's Strategic Governance Unit, bringing together horizon scanning, local risk registers and change-programme risk and business continuity issues.

The Force and PCC both have a duty to consider the impact on equality of proposed changes to policies, procedures and practices. Equality Impact Assessments are routinely undertaken by TVP for policies and change programmes to assess impact internally and externally for staff, stakeholders and the public.

#### D. Determining the actions necessary to achieve the intended outcomes

The Force planning cycle incorporates the annual Force Management Statement, financial plans, workforce plans and the PCC's Police and Crime Plan to inform the Force's annual Strategic Plan. Priority activities, measures and intended outcomes are proposed and approved through the Chief Constable's Management Team (CCMT), and monitored through the service improvement framework and quarterly updates to inform the PCC's Performance and Accountability meetings.

The Chief Constable maintains a rolling MTFP, which forms the basis of the annual budgets and provide a framework for the evaluation of future proposals. These are accompanied by mid-term workforce plans, managed by the People Directorate.

Decision-making at all levels of the Force is undertaken within the framework of the National Decision Model, which has the Code of Ethics at its core. The National Decision Model was introduced to ensure a greater focus on delivering the mission of policing, acting in accordance with values, enhancing the use of discretion, reducing risk aversion and supporting the appropriate allocation of limited policing resources as the demand for them increases. Both are now fully embedded in the Force, to ensure officers have the tools to act lawfully in their decision making and to enable them to use their full powers for the benefit of citizens, communities and other stakeholders.

With regards to change programmes, Force change proposals are governed through the Change Governance Meeting, which co-ordinates and prioritises proposals, assessing them against the organisation's strategic objectives, capacity and financial capability. Each proposal is captured through an application then, if appropriate, a business case. Bi-lateral projects and programmes, or those requiring the support of a collaborated unit to deliver, and governed through a Joint Change Governance board with representation from Thames Valley Police, Hampshire Constabulary and collaborated units.

In-flight programmes are managed by a Programme Board, chaired by a Senior Responsible Officer. Updates inform the Joint Portfolio Meeting and run collaboratively with Hampshire Constabulary, to enable co-ordination, planning and the oversight of resources from enabling departments to achieve the desired outcomes. All programmes and projects have strategic oversight through the Force Transformation Board, DCCs Collaboration Board, and respective Chief Officer Groups. Collaborated programmes have consideration to and management of shared risks and issues.

The PCC and Chief Constable's joint system of internal financial control is based on a framework of regular management information, financial regulations, administrative procedures (including segregation of duties), management supervision, and a system of delegation and accountability.

The Chief Constable produces a MTFP and a MTCP, which are reviewed throughout the financial year alongside the OPCC's reserves to provide an effective financial probity framework for decision making. The MTFP and MTCP are closely aligned to the PCC's Police and Criminal Justice Plan and the Force Strategic Plan. The PCC approves the MTFP and the MTCP as well as the Force's annual budgets. The Police and Crime Panel must review the PCC's proposed council tax precept increase and make recommendations to the PCC before he formally sets the annual budget in February each year. Formal budget monitoring is undertaken on a regular basis throughout the year, i.e. it is presented to the PCC's regular public Performance and Accountability meetings between the PCC and Chief Constable (with agendas and minutes published on the PCC's website as well as being reviewed regularly by the CCMT).

The Productivity Strategy forms an integral part of the MTFP and incorporates the outcomes of initiatives such as Effectiveness & Efficiency or the Estates Asset Management Plan. Under the Productivity Strategy, £3.5m of cash savings were identified and removed from the revenue budget during 2020/21.

Force and Local Police Area Tasking and Co-ordination Group processes enable the regular review of operations, performance and resource deployment in an operational setting. CCMT provides strategic oversight for performance against Strategic Plan measures and priorities, as well as financial plans and asset management plans.

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

The PCC and Chief Constable ensure that their statutory officers have the skills, resources and support necessary to perform effectively in their roles and that these roles are properly understood throughout the organisation. Specialist advice, in areas such as taxation, legal matters and treasury management, is sourced externally, as this is more practical and cost-effective.

Chief Officers have clearly defined leadership roles and are responsible for implementing strategy and managing the delivery of services within their respective portfolios.

Officers and staff manage their performance and continuous development through the Performance Development Review framework. An annual assessment of competencies and objectives linked to Strategic Plan outcomes is supported by interim reviews and a requirement for officers and staff to undertake Continuous Professional Development. The framework also allows for the management of unsatisfactory performance or attendance where it is identified. The Force has a stated Health and Wellbeing Strategy, along with a workforce plan focussed on recruitment, retention and resilience. Progress on becoming increasingly representative of the communities the Force serves is also an area of focus. The Force is committed to being considered an employer of choice.

Chief Officers have promoted a learning environment climate focussed on continuous service improvement, recognising the importance of independent and peer review when needed. Integral to this is the identification of lessons learned, recommendations and identified areas for improvement through end of project / programme closure reports undertaken before transitioning to business as usual, results analysis, individual management reviews, serious case reviews and Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS) audit / inspection processes.

The PCC has received appropriate induction training. As the PCC has a power to appoint a Deputy to assist him discharge his statutory functions, where appointed the Deputy PCC will also receive appropriate induction training. Ongoing training and development for the PCC (and the Deputy PCC where appointed) includes attendance at appropriate national conferences and seminars.

The PCC has also implemented a staffing structure within the OPCC to ensure it has the necessary capability and capacity to support him deliver his statutory functions, such as commissioning services for victims and witnesses. 'Victims First' is the overarching name for all the PCC's services in providing support for victims of crime.

The PCC reviews the workload and performance of his office via the internal OPCC Strategic Delivery Plan, which allows him to monitor activities and identify workload priorities and staffing capacity needs in accordance with the delivery of his strategic priorities.

The PCC is a member of the national Association of Police and Crime Commissioners (APCC). The Chief Constable and his fellow chief officers are members of the National Police Chiefs' Council (NPCC).

# F. Managing risks and performance through robust internal control and strong public financial management

The Chief Constable, officers and staff all recognise that risk management is an integral part of their daily function, in operational, corporate and change environments. The Risk Management Policy is supported by the Risk and Business Continuity Communications Strategy. The management of risk is governed through the Force Risk Management Group, which exists to oversee strategic risk management and business continuity processes; take ownership of strategic risk issues; delegate actions to appropriate risk managers; accept strategic risk reports and recommendations through the Governance and Service Improvement department, authorise actions and allocate resources where necessary.

The PCC and Chief Constable monitor service delivery effectively via their respective performance regimes.

The PCC has a duty to hold the Chief Constable to account for the performance of TVP generally. The PCC has therefore implemented an effective scrutiny and oversight function. He holds quarterly public 'Performance and Accountability' meetings at which the Chief Constable is required to demonstrate that the Force is performing against the strategic priorities and key aims in the PCC's Police and Crime Plan, the Home Secretary's Strategic Policing Requirement and the Force's own Strategic Plan. Similarly, the PCC meets monthly with the Chief Constable on a private, informal, basis to review and discuss more regularly the general performance of the Force against topical national, regional and local issues. The PCC maintains an HMICFRS tracker to follow up on any risks to the performance of the Force that have been highlighted by HMICFRS inspections.

The OPCC provides an update against its internal Strategic Delivery Plan to the PCC via the OPCC Strategic Management Group monthly meetings and quarterly Performance and Accountability meetings. The PCC therefore receives regular reports on service delivery plans and on progress towards outcome achievement of the priorities and aims set out in the Police and Criminal Justice Plan.

The Chief Constable holds a quarterly Performance Group meeting together with his management team, regularly attended by the PCC as an observer, in which the Chief Constable reviews performance of the Force against the annual Strategic Plan. The Service Improvement Review framework is a comprehensive schedule of LPA or Departmental review meetings, starting with a period of fieldwork, and culminating with a meeting, chaired by the DCC with attendance from the local command team, to review findings and set actions. A performance update against the Force Strategic Plan is considered quarterly at CCMT meetings. This same meeting determines and monitors Force strategy, policies and performance. Gold Groups are set up and managed in response to particular areas of vulnerability or to manage particular areas of performance as necessary, for example in response to a critical incident.

The Chief Constable has implemented monthly Demand & Performance meeting, chaired by DCC, attended by ACC of crime and ACC LP, the FCR and 3 Chief Superintendents. The meeting reviews the Demand and Performance paper. In addition, the Improvement and Innovation meeting has also been set up, chaired by the DCC, in which constructive challenge and debate on recommendations, thematic operational policies and procedures is encouraged. There are been 10 meetings this year. The findings of these meetings are fed into the Chief Constable's Performance Group or CCMT.

The Force Risk Management Group oversees risk management within the Force and is chaired by the Chief Constable. The Group focusses on strategic risks but also monitors risk management processes across the Force, including within change programmes. The OPCC maintains its own strategic risk register.

A Joint Independent Audit Committee (JIAC) operates in accordance with Chartered Institute of Public Finance and Accountancy (CIPFA) guidance and the Home Office Financial Management Code of Practice. The JIAC's main role is to provide assurance to the PCC and Chief Constable that the corporate internal control and governance framework, including risk management, is operating adequately and effectively. It does this by providing an annual assurance report to the PCC and Chief Constable. The JIAC meets in public, and reports and minutes are placed on the PCC's website.

Effective counter-fraud and anti-corruption arrangements are in place and are monitored, in the main, by the Force's Professional Standards Department. The Anti-Fraud, Bribery and Corruption Policy is updated every two years and is considered and endorsed by the JIAC before formal publication. It was last updated in December 2020.

The Internal Audit Team provides assurance on the overall adequacy and effectiveness of the framework of governance, risk management and control.

The Force manages its information in accordance with the Data Protection Act 2018 and the General Data Protection Regulation, the Freedom of Information Act 2000 and the Code of Practice on the Management of Police Information. This is overseen by the Information Governance Board chaired by the Chief Information Officer (who also holds the position of Senior Information Risk Owner). The Joint Information Management Unit leads on information compliance for both TVP and Hampshire Constabulary (HC) and ensures that appropriate policies and procedures are in place. The Joint Information Management Unit is also responsible for providing guidance on lawful sharing of information with partners, completion of Data Protection Impact Assessments and maintains a library of Information Sharing Agreements. Information Asset Owners have been appointed to manage the risks to specific information types, supported by a network of data guardians. National Centre for Applied Learning Technologies (NCALT) training packages on the Code of Practice on the Management of Police Information and the Government Security Classification policy are mandatory for all officers, staff and volunteers who have access to information and completion rates are monitored by the Information Governance Board.

The PCC and Chief Constable's joint system of internal financial control is based on a framework of regular management information, financial regulations, administrative procedures (including segregation of duties), management supervision, and a system of delegation and accountability.

#### Financial management arrangements

The annual financial strategy and the capital strategy for the forthcoming financial year are approved in November each year.

The Chief Constable produces a MTFP and a MTCP which are regularly reviewed during each financial year and form the basis of the annual budgets, to provide an effective framework for decision making. Formal budget monitoring is undertaken on a regular basis throughout the year, i.e. it is regularly reviewed by the CCMT as well as being presented to the PCC's regular public Performance and Accountability meetings between the PCC and Chief Constable (with agendas and minutes published on the PCC's website).

The Productivity Strategy is an integral part of the MTFP, challenging the effectiveness of the force and identifying savings and efficiencies to help balance the budget whilst achieving the PCC's and Chief Constable's objectives. £3.7m of cash savings were identified and removed from the revenue budget during 2021/22. The delivery savings within the Productivity Strategy are monitored as part of the regular financial monitoring.

The Chief Internal Auditor reports jointly to the PCC's Chief Finance Officer and the Chief Constable's Director of Finance. The Chief Internal Auditor provides a regular update to the JIAC and also provides an independent opinion on the adequacy and effectiveness of the risk management, control and governance processes.

The financial management arrangements conform with the governance requirements of the CIPFA Statement on the Role of the Chief Financial Officer of the PCC and the Chief Financial Officer of the Chief Constable (March 2021). These local financial management arrangements will be reviewed and updated to ensure compliance with the new Financial Management Code issued by CIPFA.

# G. Implementing good practices in transparency, reporting and audit to deliver effective accountability

The PCC and the Chief Constable attempt to strike a balance between providing the right amount of information to satisfy transparency demands and enhance effective public scrutiny whilst not being too onerous to provide and for users to easily access and understand.

The PCC's decisions and actions are scrutinised by the Police and Crime Panel, which includes reviews of significant documentation produced by the OPCC for the benefit of the public.

The PCC complies with the Elected Local Policing Bodies (Specified Information) Order 2011 (as amended) and publishes required information on his website. Decisions of significant public interest made by the PCC are published in accordance with a template that ensures they are easy to access and interrogate. Similarly, public reports are compiled in accordance with best practice and scrutinised by the JIAC. Furthermore, the OPCC (and TVP) has reviewed its compliance with the new legal requirements of the Public Sector Bodies Accessibility Regulations 2018 and taken all reasonable steps to help make sure our online services are accessible to all users, including disabled people.

The Chief Constable's Corporate Communications department oversee communications to the public on behalf of the Force. In doing so they abide by the corporate style guide, which is designed to ensure communications are issued in an understandable style appropriate to the intended audience. In addition, the PCC has his own communications team.

The PCC and Chief Constable both report at least annually on performance, value for money, and the stewardship of resources to stakeholders in a timely and understandable way.

The PCC and Chief Constable maintain a process to assess the extent to which the organisation is applying the principles contained in the Framework of Corporate Governance and publish the results of that assessment in the Annual Governance Statement, including an action plan for improvement and evidence to demonstrate good governance in action.

The PCC and Chief Constable ensure that the performance information that accompanies the financial statements is prepared on a consistent and timely basis and the statements allow for comparison with other similar entities.

The PCC and Chief Constable ensure that all accepted recommendations for corrective action made by external audit are acted upon.

The Joint Internal Audit team has direct access to the PCC, Chief Constable and the JIAC, and provides assurance with regard to the organisation's governance arrangements. The JIAC monitors progress with regards to timely implementation of agreed internal audit report actions.

Both the PCC and Force are subject to external independent scrutiny and review, through the external audit of their financial statements, systems and management arrangements, and through the inspection of policing performance by HMICFRS. The resultant audit and inspection reports are published on both the PCC and TVP websites.

HMICFRS is charged with independently assessing the effectiveness, efficiency and legitimacy of police forces and fire and rescue services, in the public interest. The PCC is required to publish a response to formal reports issued by HMICFRS. The Force engages fully with the cycle of Police Effectiveness, Efficiency and Legitimacy (PEEL) inspections, Joint Targeted Area Inspections and Thematic Inspections as required.

The PCC and Chief Constable make best use of peer challenge, reviews and inspections from regulatory bodies and professional partners (e.g. College of Policing) and implement agreed recommendations.

Before delivering key services through third party suppliers, the PCC and Chief Constable gain assurance on risks associated with service delivery and subject these arrangements to regular review.

When working in partnership, the PCC and Chief Constable ensure that the arrangements for accountability are clear and that the need for wider public accountability has been recognised.

### ARRANGEMENTS FOR REVIEW OF EFFECTIVENESS

The PCC and Chief Constable are responsible for reviewing the adequacy and effectiveness of the governance framework on at least an annual basis. This includes:

#### a) The Police and Crime Commissioner

The PCC has the following key statutory duties and powers to:

- produce and publish a five-year Police and Crime Plan that sets out the PCC's policing and crime objectives;
- set the annual policing budget and council tax precept;
- secure the maintenance of an efficient and effective police force;
- hold the Chief Constable to account for the exercise of their functions and of those personnel under their direction and control;
- undertake reviews (formerly known as appeals), where requested by a complainant, of the handling and outcome of their complaints made against the Force;
- handle complaints made against the Chief Constable;
- have regard to the relevant priorities of, and act in co-operation with, responsible authorities in exercising their crime and disorder reduction responsibilities, including the making of related grants to any person;
- make arrangements with criminal justice bodies to provide an efficient and effective criminal justice system for the Force area;
- commission victims' support services;
- power to take on the responsibility for the governance of fire and rescue services within the Force area; and
- produce and publish an annual report.

The following key governance activities took place during 2021/22 and demonstrate how the PCC has discharged these powers and duties during that year:

- The updated framework for corporate governance was approved on 30 March 2021.
- The PCC allocated £3.0m from his Community Safety Fund in 2021/22 to help improve community safety and crime prevention across the Thames Valley. £2.7m was allocated to local authorities and £0.3m was retained by the OPCC to help fund Thames Valley-wide initiatives.
- The PCC published his 2020/21 Annual Report in June 2021 to highlight major achievements during that financial year and to report on operational and financial performance during 2020/21.

- In July 2021 the OPCC published its Strategic Delivery Plan for 2021/22. This is an internal OPCC management action plan that supports the PCC to monitor the delivery of both policing and non-policing activities, targets and measures within the Police and Crime Plan. Progress reports were presented to the PCC in public meetings on a regular basis throughout the year and the Plan is reviewed and updated each year.
- During the autumn of 2021 the PCC worked closely with the Chief Constable to update the MTFP (2022/23 to 2024/25). He submitted his budget and council tax proposals for 2021/22 to the Police and Crime Panel on 28<sup>th</sup> January 2022. The Panel endorsed his £10 (or 4.3%) increase in Band D council tax.
- The PCC is actively engaged in the oversight and scrutiny of key collaboration activities (e.g. South East region; bilateral with Hampshire; Chiltern Transport Consortium and the National Police Air Service).
- The PCC has been actively engaged in the scrutiny of major Force business change programmes such as Contact Management Platform (CMP) and Equip (Enterprise, Resource Planning), which were both escalated to the relevant collaboration governance boards.
- Four PCC public Performance and Accountability meetings (formerly known as 'Level 1' meetings) were held in 2021/22, supplemented by fortnightly private and informal liaison meetings between the PCC and Chief Constable, to enable the PCC to hold the Chief Constable to account.

#### b) The Force

The CCMT met on 15 occasions as part of the strategic governance framework. In addition, CCMT met far more regularly than in previous years to incorporate effective governance of decision-making and the need for organisational change specific to COVID-19, alongside determining and monitoring Force strategy, policies and performance. This also included finance and strategic planning sessions. The Joint Chief Officers Group (TVP and HC) met formally on 2 occasions during 2021/22 to determine and monitor collaborated strategy, policies and performance, with one meeting focused on the joint annual planning bids.

In response to COVID-19, the Operation Restore command structure was implemented in February 2020. Through Op Restore, the Force worked together with Local Resilience Forum partners to contribute to the Multi agency response to COVID-19. May 2021 saw the implementation of the Operation Renew Command Structure with a C/Supt Gold Commander in place.

Governance structures incorporated internal arrangements for the safety and wellbeing of officers and staff, as well as external arrangements for the enactment of new legislation and the continuity of policing services to the public.

A risk-register specific to tactical COVID-19 considerations was established and reported through Gold. Strategic COVID-19 risks were incorporated onto the Strategic Risk Register, presented to CCMT monthly. The Strategic Risk Register and Business Continuity incidents are reviewed on a quarterly basis at CCMT. Existing business continuity plans were reviewed and revised to reflect the challenges of the pandemic as it developed. Alongside this, regular reporting of key performance indicators for sickness absence, resilience, crime, Fixed Penalty Notices and intelligence were delivered.

Beyond COVID-19, among the key discussions during the year was the review of the MTFP, MTCP, the PCC reserves and the Asset Management Plan, as part of the annual budget cycle. The financial plans were considered several times and the associated decisions facilitated the formal approval of the Revenue Estimates and Capital Estimates 2021/22 by the PCC at his Level 1 meeting on 19<sup>th</sup> January 2021. As part of the annual budget process the Productivity Strategy was reviewed and continues to play an important role in identifying options to address the budget shortfall and ensure the use of resources is focused on priority areas. Delivery of the outcomes from the Effectiveness & Efficiency Programme remains a central aspect of productivity.

CCMT reviews finance and workforce planning, performance and HMICFRS activity on a regular basis. Strategic Risks and Business Continuity are included quarterly. Other significant areas of note discussed in 2020/21 include CPS Strategic Priorities, Traumatic Risk Incident Management, Detective

Recruitment and Senior Appointment Boards. The Strategic Plan success measures are reviewed comprehensively at the Operational and Organisational Force Performance Group meetings that are held on a quarterly basis.

The Force Transformation Board met every other month to review all in-flight change programmes in the Thames Valley only portfolio including Recruitment & Retention, the Front-End Demand programme and the Endeavour Programme (to achieve outstanding investigation). The Joint DCC Collaboration Board met every other month as part of the governance for all bi-lateral programmes including Contact Management Programme, RMS and Digital First. The regional SERIP board met to review the Emergency Services Mobile Communications Programme (ESMCP). These governance boards are in addition to the regular programme boards chaired by each programmes' Senior Responsible Owner.

Following the conclusion of the Tri-Force Equip programme 1 February 2021 the JIAC received a comprehensive analysis of the Tri force lessons learnt report at its December meeting, changes in governance since the initiation of the Equip programme were noted alongside progress on implementing the points highlighted. The Next Steps programme board met on 11 occasions to manage the delivery of the upgrades to the existing systems. The APTOS financial system was upgraded on 16<sup>th</sup> February 2022. These upgrades address the risks reported in the strategic risk register.

Both CCMT and Force Transformation Board are aligned to bilateral forums including Joint Chief Officer Group and DCCs Collaboration Board, and regional forums such as SERIP. Significant areas of scrutiny included CMP and Equip.

The Governance & Service Improvement department continues to draw together corporate and strategic elements of the organisation. The over-arching function is to provide a central point of co-ordination, governance, strategy, policy and guidance development, change delivery, and the provision of internal evaluation of delivery including the identification of opportunities for continuous improvement.

HMICFRS have adapted their Integrated PEEL methodology, and were due to launch the new inspection process in 2020. As a result of COVID-19, all HMICFRS activity was suspended from March to September 2020. The Force was notified in January 2021 that it would be subject to a PEEL inspection during the course of the 2021/22 year, including a Victim Services Assessment in May and culminating in fieldwork in November 2021. The current inspection report was published 28 April 2022 and looks at police effectiveness, efficiency and legitimacy. The findings show the force has improved in many areas, although there is more we need to do to increase our service to the public. The report shows that TVP are a good force and of the nine sections graded within the report, Thames Valley Police were found to be 'Good' in three sections and 'Adequate' in four sections, this is a new grading which means that we meet the standards expected. We received a grading of 'Requires Improvement' in two areas. There were no areas considered 'Inadequate'. At this time of increased public scrutiny around policing, it is a positive message that the force was recognised as having a strong, ethical and inclusive culture. In particular, the efforts being made to treat people fairly both inside and outside the force were recognised. We were also commended on our innovative approach, which is due to our staff seeking ways in which to improve our knowledge, and provide a better service for our communities

Due to previous areas for improvements identified on 'Crime Data Integrity' (CDI), the Force continues to address the shortcomings identified in the CDI inspection through a dedicated Gold Group, overseen by the DCC. Due to significant improvements made, these meetings will be quarterly from January 2022. The action plan is routinely reviewed, and supported by regular audits and a dedicated resource to drive improvements.

All recommendations and areas for improvement from inspection activity have been actioned and are tracked and updated through a local database and the HMICFRS monitoring portal. The Improvement & Innovation meeting, chaired by the DCC, has been established to provide governance, leadership and drive to continuously improve and innovate in support of the Force's strategic aims; central to this is the timely delivery of improvement activity and the identification, sharing and adoption of

organisational learning from all areas, reviews and inspections. This forum will ensure accountability, co-ordination, and timeliness of action. There have been 10 meetings in 2021/2022.

#### c) The Joint Independent Audit Committee

During 2021/22 the JIAC met five times to consider the external audit and internal audit plans for 2021/22, as well as receiving timely updates in terms of risk management and business continuity. The JIAC also received regular briefings, including appropriate written reports, during the year from the PCC, Chief Constable and relevant senior officers. This included specific updates on the Equip programme. JIAC members also attend Force working groups (including the Force Transformation Board, TVP/HC Bilateral Governance Board and Performance Group) and other panel meetings (including the Professional and Ethical Standards Panel) as observers to gain a greater understanding of current governance, operational and risk activities and to assist their judgment of the adequacy of the overall Corporate Governance Framework.

The JIAC's Annual Assurance Report for 2021 was presented to the PCC and Chief Constable at their JIAC meeting on 17 December 2021. At that time the JIAC was able, based on the information that they had considered collectively or knew about individually, to give assurance to the PCC and Chief Constable that the risk management and internal control environment in Thames Valley was operating efficiently and effectively.

#### d) The Governance Advisory Group

A joint OPCC/TVP officer governance group (the 'Governance Advisory Group') operates with the following terms of reference:

- To provide advice to the PCC and Chief Constable on the application of statutory requirements and guidance relating to issues of corporate governance;
- To review and provide feedback on the effectiveness of the corporate governance systems determined by the PCC and Chief Constable.

The Joint Corporate Governance Framework for 2021/22 was approved by the PCC and Chief Constable at the PCC's Level 1 meeting on 30 March 2021.

The Governance Advisory Group also developed this joint Annual Governance Statement for 2021/22.

#### e) Internal Audit

The annual report of the Chief Internal Auditor for 2021/22 was presented to the JIAC on 17 June 2022. It contained the following assurance statement on the overall adequacy and effectiveness of the internal control environment:

# As at March 2021, the 2021/22 Joint Internal Audit Plan had been collated and was endorsed by the JIAC.

The 2021/22 Joint Internal Audit Plan has been completed and on the basis of this work, the opinion of both organisations' governance, risk and control frameworks is '**reasonable assurance**'. The governance, risk management and control arrangements are good, although some action is required to improve efficiency or effectiveness. The opinion demonstrates a good awareness and application of effective risk management, control and governance to facilitate the achievement of both organisations' objectives, outcomes and delivery of services. Areas were identified through our work where the design or effectiveness of arrangements in place required enhancing or strengthening. Where these areas were reported, management responded positively, identifying appropriate actions to address the risks raised.

At a statistical level, the opinion represents a slight reduction compared to the previous year with more limited assurance ratings and fewer substandial / reasonable outcomes. However, as the Joint Internal Audit Plan does not include the same audits year on year, this cannot be taken as a direct comparison.

In terms of the implementation of audit actions and mitigation of risk, progress continues to be very good across both organisations with the number of actions completed consistently being in excess of 80%.

As in previous years, to support this year's opinion additional sources of assurance were utilised where they provided commentary on the effectiveness of the organisations' governance framework or general management of risk. The assurances obtained provided a positive view of the organisation's arrangements and supported the overall opinion of reasonable assurance.

Overall, the opinion is very positive considering the challenges both organisations have faced during 2021/22 and the continuing Covid-19 pandemic.

#### f) External audit

In December 202q, EY issued unqualified audit opinions in respect of the 2020/21 accounts to both the PCC and Chief Constable, as well as giving an unqualified value for money conclusion. The Auditor was satisfied that the system of internal control put in place by the PCC and Chief Constable was adequate and effective in practice.

#### g) Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS)

During 2021/22 HMICFRS published a number of reports with respect to inspection activity, research or super-complaints. These are considered by the Force via the DCCs Innovation & Improvement meeting. All reports are publicly available on the HMICFRS website.

Below are the inspections reports that contain recommendations or areas for improvement for policing (specific to TVP or nationally). All inspection reports that contain recommendations for the Force require the PCC to publish a formal response within 56 days of the publication of the report, with the exception of reports resulting from super-complaints:

Date published by HMICFRS	National / Force Report	Report Types	Report Title	Date CC Reported to PCC	PCC Response to HMICFRS: Y/N
20-Apr-21	National	COVID-19 Thematic	Custody services in a COVID-19 environment	24.06.21	Y
20-Apr-21	National	COVID-19 Thematic	Policing in the pandemic - The police response to the coronavirus pandemic during 2020	24.06.21	Y
26-May- 21	National	Super Complaint	Report on Hestia's super- complaint on the police response to victims of modern slavery	24.06.21	Y
23-Jun-21	National	COVID-19 Thematic	Review of policing domestic abuse during the pandemic - 2021	24.06.21	Y
07-Jul-21	National	Thematic	Interim report: Inspection into how effectively the police	26.11.21	Y

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			engage with women and girls		
15-Jul-21	National	Thematic	Neurodiversity in the criminal justice system: A review of evidence	N/A	N/A (Review report – no recommendations)
16-Jul-21	National	Thematic	A joint thematic inspection of the police and Crown Prosecution Service's response to rape - Phase one: From report to police or CPS decision to take no further action	31.03.22	γ*
25-Feb 2022	National	Thematic	A joint thematic inspection of the police and Crown Prosecution Service's response to rape - Phase two: Post- charge	31.03.22	Υ*
21-Jul-21	National	State of Policing	State of Policing: The Annual Assessment of Policing in England and Wales 2020	N/A	N/A Review report – no recommendations
28-Apr 22	Force	PEEL	PEEL 2021/22 Police effectiveness, efficiency and legitimacy An inspection of Thames Valley Police	N/A	N/A

The PCC (or OPCC) is invited to attend the Strategic Brief at the start of inspection activity and the debrief provided by HMICFRS following each inspection. Alternatively, the Chief Constable may provide the PCC with a briefing following an HMICFRS inspection.

#### h) Risk management and business continuity

The Force Risk Management Group met four times during 2021/22 as part of the CCMT strategy meetings. High level strategic risk management and business continuity issues were reported to the JIAC on a timely basis. As at 31<sup>st</sup> March 2022 there were 28 risks on the Strategic Risk Register with mitigating actions, 8 of which are strategic risks caused by COVID-19.

Business continuity incidents, categorised by impact, were detailed in quarterly reports to CCMT and then the JIAC, including measures taken to minimise their impact. Issues reported primarily related to ICT loss of service and estates issues. The JIAC also received information on exercises to test business continuity plans, which now include key learning points.

All risks at a local and strategic level have clear ownership, are regularly reviewed and rescored according to the risk matrix, and allocated the appropriate risk action - tolerate, treat, transfer,

terminate. Risks to collaborated programmes or areas under bi-lateral governance feature on both Forces' registers.

Risk and Business Continuity were central to the Force's response to COVID-19. All Business Continuity plans were reviewed and invoked as appropriate. Also, the Force established a COVID-19 specific risk register and contributed to the Local Resilience Forum's COVID-19 risk register. Risk and Business Continuity were reviewed weekly by the Gold Commander, and monthly by CCMT during the COVID period.

#### i) Health and Safety and Environmental Management

Copies of the Health & Safety Management Policy are accessible to all staff via the Intranet, and displayed on the health and safety notice boards in all TVP premises.

The Health & Safety Annual Report was taken back to JIAC in 2021 for scrutiny and was signed off along with the Wellbeing report. The report covered the key management areas specified within the revised 2013 publication HSG65 'Successful Health & Safety Management' (Appendix A) and documented the continuous improvement of Thames Valley Police policies and procedures for the effective management of health and safety.

Health & Safety considerations, requirements and issues were incorporated into the COVID-19 Silver command governance structure, and reported into the Gold Commander.

The Health and Safety Governance arrangements and structures are currently under review with changes likely to be implemented in 2022.

#### j) Ethics and Integrity

A protocol between the PCC and Chief Constable provides the PCC with overview and scrutiny of complaints handling by the Force. The Professional and Ethical Standards Panel (previously called Complaints, Integrity and Ethics Panel) meets every two months and reports jointly to the PCC and Chief Constable. The Panel conducts an assessment of how the Force deals with complaints and provides a challenge and support role in respect of how the Force respond to ethical issues.

During the last 12 months, some of the issues the Panel challenged were Taser use, in particular key improvements through learning taken in response to the IOPC report. The Panel also considered the key community policing challenges and issues faced, including disproportionality in the BAME community. Other matters include TVP perspective on HMIC Stop & Search being that statistics show that in 2019/20, Black, Asian and Minority Ethnic (BAME) people were over four times more likely to be stopped and searched than White people; for Black people it was nearly 9 times higher. Disproportionality of complaints against BAME officers and the ethical issues regarding the prosecution of rape were also discussed.

The Panel's Annual Assurance Report for 2021 was presented at the Performance Accountability meeting on 31 March 2022. This 2021 Report highlighted that the Panel had scrutinised matters including the following themes:

- Ethics of relationships within TVP.
- Wellbeing of officers subject to misconduct hearings.
- Protective monitoring of police computer use.
- Dismissal of a former officer for Covid breach and dishonesty.
- Proportionality of severity assessments.
- Use of social media by officers.

The Panel was able to provide an assurance to the PCC and Chief Constable that the complaints handling and management arrangements in place within TVP are operating efficiently and effectively.

The Force also has an internal Ethics & Integrity Board, chaired by the Head of the Professional Standards Department (PSD), which meets quarterly. The Force has recruited a dedicated Ethics Researcher, supporting the Ethics & Integrity Board. The Ethics Champions network has been rejuvenated, and now meet regularly to discuss ethical considerations or concerns raised from across the Force.

Policies are reviewed by the Strategic Independent Advisory Group to provide feedback on accessibility and raise ethical considerations. These are then taken to the Professional Ethical Standards Panel as necessary and appropriate.

The Chief Constable continues to promote the fundamental importance of TVP officers and staff employing the highest professional standards, principles that are embodied and enforced through the Code of Ethics. All police officers and staff have been required to complete an on-line training package and attend a dedicated Code of Ethics training session. All new Officers and staff receive training on the Code of Ethics as part of their induction.

During 2021/2022, 2 Panel members have resigned and 2 new Panel members appointed. As such, the Panel now consists of 8 members and no further recruitment is anticipated during the coming year.

During 2020/21 the PSD received and processed 3,401 complaints and 131 conduct matters, and held 25 misconduct meetings and 24misconduct hearings in accordance with the statutory scheme. From 1<sup>st</sup> February 2020, following implementation of the new Regulations, as per the Policing and Crime Act 2017, the criteria for recording complaints and the definition of a complaint has changed and this change will be reflected in the above figures. In addition, the OPCC itself handled 12 complaints made against the Chief Constable and received 331 requests for complaint reviews in accordance with the statutory police complaints scheme.

#### k) Thames Valley Police and Crime Panel

During 2021/22 the independent Police and Crime Panel (PCP) met on 4 occasions. Key activities undertaken by the Panel during the year included reviewing and scrutinising the PCC's Annual Report for the 2020/21 year, and scrutiny and consideration of the PCC's 2022/23 budget and council tax precept proposals. Over and above these specific activities, the Panel continued to receive and consider regular reports on the delivery of the previous PCC's Police and Crime Plan strategic priorities and key aims, including the contribution made by other partner agencies, and updates on matters of topical interest to the Panel.

In addition, the Panel operates a permanent Complaints Sub-Committee as well as ad-hoc task and finish working groups. During 2021/22 the Chief Executive of the OPCC, acting under delegated authority on behalf of the PCP, referred 6 complaints against the PCC/Deputy PCC to the PCP for consideration by them under the statutory scheme. None of these complaints were upheld.

The Panel itself published its own 2020/21 Annual Report in June 2021.

#### I) Collaboration and partnership working

The joint TVP and HC Bi-lateral Collaboration Governance Board formally met twice during 2021/22. This Board oversees and scrutinises the work of the existing collaborative functions (i.e. Contact Management, Joint Operations Unit, Joint ICT and Joint Information Management) as well as development of collaborated change programmes. Updates are provided on new collaborative opportunities being explored. These formal meetings were supplemented by specific briefings for the PCCs and senior officers as appropriate on the Contact Management Platform (CMP) programme. In addition to the Governance Board, the Joint Chief Officer Group met three times during 2020/21.

Governance of collaboration between forces across the South East region is undertaken by chief police officers at the SE Regional Integrated Policing (SERIP) Board, and by PCCs and chief constables at the Regional Governance Board. The respective Deputy Chief Constables (DCCs) specifically govern this meeting (with one of them chairing and the others attending). Four meetings of the regional governance board were held during 2021/22. The South East Regional Organised Crime Unit, hosted

by TVP, brings together the regional organised crime units under one structure. It is operationally aligned with the Counter Terrorism Policing South East unit. A regional Assistant Chief Constable (ACC), who reports directly to the Chief Constable of TVP, exercises overall command of the regional crime and counter terrorism functions. This ACC also represents serious organised crime at the South East Regional Governance Board and nationally with the National Crime Agency and other key stakeholders.

#### m) Conclusion

The work carried out by the Governance Advisory Group to review the Joint Corporate Governance Framework itself, and how it has been applied in practice over the financial year 2021/22, has informed the latest review of the Framework which was approved in March 2022. Consequently, the PCC and Chief Constable will be able to satisfy themselves that key governance structures supporting the discharge of their responsibilities have and continue to receive effective scrutiny.

#### SIGNIFICANT GOVERNANCE ISSUES

It should be noted that significant operational issues facing the organisation are not necessarily a result of weaknesses within the internal control and governance framework.

There were no significant actual or potential governance issues identified in respect of the 2020/21 year AGS which were due to be monitored during 2021/22.

There are currently no significant actual or potential governance issues identified in respect of 2021/22 'business as usual' activities. Accordingly, the Governance Advisory Group is satisfied to the best of its knowledge that no material breaches of the governance arrangements occurred in 2021/22 and there are no significant weaknesses in the internal control and governance environment.

The coronavirus pandemic (COVID-19) impacted on operational and governance arrangements initially in March 2020 but remedial business continuity measures and alternative operational management arrangements are now bedded in as 'business as usual'. Nevertheless, as we need to ensure that the AGS is current at the time of publication, it is essential that the AGS also reflects any residual ongoing impact of COVID-19 on the adequacy and effectiveness of our governance framework and arrangements.

To that end, the Addendum to the AGS specifically addresses the challenges and impact of COVID-19 on our governance and our response to it. No significant governance issues were identified in respect of 2021/22 and no potential significant governance issues have been identified for specific monitoring during 2022/23.

However, as identified in the attached Addendum, the impact on governance arising from the COVID-19 crisis, and from the changed environment in which TVP is operating, remains ongoing at the time of publication of this document.

In any event, the governance arrangements of the PCC and the Chief Constable will remain under review at least annually over forthcoming financial years.

Matthew Barber Police and Crime Commissioner

**Paul Hammond** Chief Executive (Monitoring Officer) **Ian Thompson** Chief Finance Officer and Deputy Chief Executive

#### ADDENDUM

#### **REFLECTING THE CHALLENGES FROM CORONAVIRUS**

The organisational response to COVID-19 has meant that there have been no significant changes or impacts on existing governance arrangements. The two organisations have adjusted the way that services and governance have been managed and delivered, but not substantially changed the framework of delivery and the range and quality of services delivered.

#### a) Impact on business as usual in the delivery of services

#### TVP

Business Continuity was a central strand of the structure, quickly establishing critical functions for each policing function (operational and organisational). Resilience and abstraction rates were reported into the Gold Commander on a daily basis, alongside the operating status for each business area. An assessment of each business area's ability to deliver its critical functions was produced using the following scale:

- Blue business as usual no functions disrupted other than normal demand deviations and levels of sickness.
- Green moderate temporary impact there are some occasions where demand is exceeding capacity or where there are abnormal levels of sickness and absenteeism.
- Amber moderate sustained impact crucial activities cannot be sustained due to demand being exceeded or where there are levels of sickness which require non-critical activities being re-deployed for a sustained period of time.
- Red severe impact inability to meet demand or there are significant levels of sickness / absenteeism, resulting in officers and staff being deployed from 'desirable' critical services.

Policies and processes were reviewed to enable a more agile approach to delivering services. Widespread roll-out of mobile devices and improvements to the ICT network enabled a significant proportion of the workforce, where it was possible to do so, to keep working from home to achieve social-distancing or when in self-isolation.

In conjunction with the Local Resilience Forum and the Force Procurement Department, the Silver Commander oversaw the sourcing of increased amounts of Personal Protective Equipment (including facemasks, disposable gloves, hand sanitiser and wipes) for all staff and officers not able to work from home.

Operational Guidance, and health, safety and wellbeing advice, were shared Force-wide with senior leaders and directly with staff via Corporate Communication messages.

Weekly demand and impact assessments were completed, alongside intelligence briefings, indicate that there has not been an impact on the Force's ability to respond to calls for service or victims of crime. Whilst some non-critical services were initially impacted, service delivery has now returned to normal.

A Gold and Silver structure are currently still in place with regular meetings and monthly reports on operating status, risks and issues that come back into CCMT. TVP will soon be moving in to a post-Op Restore environment in line with UK Government policy.

#### OPCC

OPCC services and functions were reviewed and prioritised by the Strategic Management Group (SMG) when the national COVID-19 'lockdown' restrictions were implemented in late March 2020.

Following that prioritisation review, OPCC staff have been allocated a laptop computer so they can work remotely from home where possible, in line with Government advice and local TVP policy in place at the time during 2020/21 and 2021/22, whilst delivering services remotely with a minimised impact on 'business as usual'.

The OPCC SMG have maintained regular, twice-weekly, video conference calls during the pandemic period, as well as formal monthly meetings, to monitor service delivery performance and address practical problems and issues affecting the effectiveness and productivity of staff. Furthermore, in line with the TVP Welfare Policy to manage the impact of COVID-19, OPCC managers and supervisors have engaged in regular weekly telephone contact with staff to monitor their welfare and wellbeing.

As a result, key service delivery (including closure of accounts, victim support services and the independent custody visiting scheme) has largely continued on a 'business as usual' basis, albeit having adopted alternative 'remote' or office-based 'safe-working' arrangements and practices, as necessary.

- b) New areas of activity as part of the national response to coronavirus and any governance issues arising, e.g.
  - Implementation of new policies and processes
  - Emergency assistance

#### TVP

The introduction of emergency legislation and policing powers was managed through the Gold Command structure, with clear guidance being issued to officers and staff, alongside a review of policy / procedure to ensure all areas relevant to policing were captured. The enforcement of the legislation was closely monitored and regularly reported into Gold Command and CCMT. The issuing of Fixed Penalty Notices for breaching lockdown measures was further reported nationally.

Thames Valley Gold Commander played an active role in the Strategic Co-ordination Group of the Thames Valley Local Resilience Forum (LRF), and the Thames Valley Police Silver Commander chaired the LRF Tactical Co-ordination Group.

In terms of 'emergency assistance', TVP, together with a handful of other forces across the country, took the lead nationally in the procurement and distribution of personal protective equipment (PPE) on behalf of other police forces.

#### OPCC

The PCC has publicly supported the Force in terms of its local operational policing response to COVID-19 (i.e. 'Operation Restore'). Furthermore, the necessary changes made to operational policing priorities and practices do not appear to have had any material adverse impact on the Force's ability and capacity to maintain delivery of the PCC's strategic policing priorities, as set out in the current Police and Criminal Justice Plan 2021-2025. Monitoring and scrutiny of Force performance by the PCC has continued during 2021/22 via the PCC's regular 'Performance and Accountability Meetings', at which the Chief Constable reports Force performance against the relevant policing priorities and success measures as contained in the PCC's 'Police and Criminal Justice Plan 2021-2025'.

From a governance perspective, throughout 2021/22 the PCC has engaged with the Force's 'Gold' group overseeing and managing the Force's overall response to COVID-19 in a coordinated fashion and has maintained regular communications with the Chief Constable. This approach has enabled the PCC to continue to exercise effective governance and oversight of the Force's activities, decision-making processes, operational policing policies and tactics, and performance during a challenging (from an operational management perspective) period of time, whether in respect of COVID-19 or 'business as usual' related activities.

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#### c) The funding and logistical consequences of delivering the local policing response, e.g.

- Changes to statutory meetings and decision making arrangements
- New collaborative arrangements
- Funding and cash flow challenges

#### TVP

The Force has continued to produce audit and performance reports to inform existing governance forums and provide assurance; for example, the Risk Management and Business Continuity Progress reports to the Joint Independent Audit Committee each quarter.

The Chief Constables Management Team has met more regularly to enable swift decision-making and suitable oversight of the Force response to COVID-19. From June 2021 CCMT returned to monthly formal meetings but with any urgent decisions being progressed through a weekly Wednesday morning CCMT meeting.

Gold Command convened a daily management meeting in the initial phase, moving to three times per week once the Force response was established, and now once a week, with the option of increasing frequency in response to operational or organisational need.

Telephone conferences and Microsoft Teams have enabled forums to continue through the pandemic. Whilst some operational improvement functions were temporarily suspended to allow officers and staff to focus on immediate requirements, Force Performance Group and the DCC Joint Collaboration Board has continued

Organisational learning has been proactively sought and captured throughout the Force's response to COVID-19. Learning is being used to inform decision-making concerning the Force's ongoing response to COVID-19 and the recovery phase.

The financial impact of COVID-19 on TVP has been closely monitored and managed during the year through the normal reporting mechanisms.

#### OPCC

The PCC is not required to hold public decision-making meetings but he is required to publish 'significant' decisions on his website. The OPCC has continued to discharge that requirement during the COVID-19 crisis. In addition, meetings that would normally have taken place in public (e.g. the Joint Independent Audit Committee and the PCC's Performance and Accountability public meetings) were held as 'virtual' video conference meetings, and the agenda, papers and minutes for them have been published on the OPCC website to facilitate transparency and accountability to the public.

The Thames Valley Police and Crime Panel, which has responsibility for scrutinising the decisions and actions of the PCC, has also adopted 'virtual' video conference meetings during this pandemic period.

The scrutiny and oversight by relevant partner PCCs of policing functions being developed or discharged by TVP in collaboration with other police forces has continued but undertaken in virtual form, usually by way of video conference call arrangements.

Regarding the consequential financial implications of delivering the local policing response to COVID-19, this continues to be monitored and managed by a combination of the ongoing close working of the PCC and Chief Constable's chief finance officers and their respective teams.

At this time, it is considered that the financial reserves currently held by the PCC are sufficient to avoid any critical funding and cash flow challenges over the immediate future.

# d) Assessment of the longer term disruption and consequences arising from the coronavirus pandemic, e.g.

- Existing projects and programmes that may have been put on hold
- New priorities and objectives introduced
- New risks identified or existing risks escalated

#### TVP

The TVP Change Delivery Unit, Hampshire Constabulary Force Development Departments and the Joint ICT Department have worked together throughout the pandemic to reprioritise the change portfolio. Whilst some projects have been accelerated (e.g. laptop roll-out and Windows 10) others have been paused. The three Departments have also re-baselined starting quarters and co-ordinated risks, interdependencies and resource requirements. Programme Boards have continued to be held to assess impacts.

A more agile approach to change has been introduced to meet the needs of the organisation during the emergency response phase. The learning and experience has been captured to retain the positives of the agile methodology post-recovery.

Of particular note is the accelerated introduction of more agile working practices, supported by the roll-out of digital devices and capabilities. These working practices have been advantageous across the whole organisation and will now be incorporated into business-as-usual practice through the Working Smart programme.

A number of strategic risks specific to COVID-19 have been identified and incorporated into the Force Strategic Risk Register. These include welfare & wellbeing, the provision of critical functions, reputational risk and legitimacy, unintended legal or regulatory breaches, meeting demand and achieving recovery. These risks are being managed through Gold Command and also report into CCMT monthly.

All new risks have identified risk-leads and mitigating actions to treat them.

#### OPCC

At this time, no significant and/or critical existing projects and work programmes have been put on hold and no new COVID-19 related priorities and objectives have been introduced by the OPCC.

#### e) Reviewing lessons learned from our response to COVID-19.

The impact on governance arising from the COVID-19 crisis, and the changed environment in which TVP and the OPCC will be operating, remains ongoing at the time of publication of this document.

However, TVP have been capturing and chronicling organisational and operational learning throughout the pandemic, which will be used to inform the recovery phase and post-incident reviews. An early finding is that the Gold structure and regular access to CCMT through increasing the frequency of governance meetings, together with the active engagement of the PCC in these arrangements, has enabled fast and co-ordinated decision-making in response to the challenges presented by the pandemic.





# JOINT INDEPENDENT AUDIT COMMITTEE



# Report for Information

# Title: Progress on delivery of agreed actions in Internal Audit reports

# **Executive Summary:**

The report provides details of the progress made by managers in delivering the agreed actions in internal audit reports.

# **Recommendation:**

The Committee is requested to note the report.

# Chairman of the Joint Independent Audit Committee

I hereby approve the recommendation above.

# Signature

Date

## PART 1 – NON-CONFIDENTIAL

#### 1 Introduction and background

- 1.1 The report provides details of the progress made by managers in delivering the agreed actions in internal audit reports.
- 1.2 This report details progress made to date and target implementation dates for any current overdue actions. Of the 22 actions that are currently overdue:
  - 3 actions are due for completion by the end of June 2022;
  - 4 actions are due for completion by the end of July 2022;
  - 10 actions are due for completion by the end of September 2022;
  - 2 actions are due for completion by the end of October 2022; and
  - 3 actions are due for completion by the end of December 2022.

#### 2 Issues for consideration

- 2.1 Appendix 1 sets out an analysis of the position with regard to the number of overdue actions as at 30<sup>th</sup> April 2022 in relation to audits conducted during the years 2020/21 to 2021/22. It shows that in total there were 22 overdue actions at 30<sup>th</sup> April, arising from 10 separate audits. The overdue actions are split by priority. Also shown is the number of overdue actions that had previously been reported, which has fallen from 8 to 7 since the last report to this Committee in March 2022.
- 2.2 Appendix 2 shows the changes in the number of overdue actions since the previous report to this Committee in March 2022. The total number of outstanding overdue actions reported has risen from 13 to 22.
- 2.3 Appendix 3 sets out the information provided by managers in respect of those actions that are now overdue. It includes all agreed actions that should have been completed by 30<sup>th</sup> April 2022. The information is based on responses from managers received up to and including 7<sup>th</sup> June 2022. If required, a verbal update will be provided to the Committee on any further information received since this report was written.

### Priority 1 rated overdue actions

- 2.4 Of the six priority 1 overdue actions, none are more than 12 months overdue.
- 2.5 Appendix 1 sets out details of which audits these actions relate to and further details of each of the actions can be found in appendix 3 of this report.

## Priority 2 rated overdue actions

2.6 Of the priority 2 actions, none are more than 12 months overdue.

### 3 Financial comments

3.1 No known financial issues arise from the contents of this report.

# 4 Legal comments

4.1 No known legal issues arise from the contents of this report.

## 5 Equality comments

5.1 No known equality issues arise from the contents of this report.

## 6 Background papers

6.1 None.

### Public access to information

Information in this form is subject to the Freedom of Information Act 2000 (FOIA) and other legislation. Part 1 of this form will be made available on the website as soon as practicable after approval. Any facts and advice that should not be automatically available on request should not be included in Part 1 but instead on a separate Part 2 form. Deferment of publication is only applicable where release before that date would compromise the implementation of the decision being approved.

Is the publication of this form to be deferred? No Is there a Part 2 form? No

Name & Role	Officer
Head of Unit	Chief Internal
This report provides the Committee with essential management	Auditor
information on the number and status of current overdue actions	
from internal audit reports.	
Legal Advice	PCC Head of
No known legal issues arise from the contents of this report.	Governance and
	Compliance
Financial Advice	PCC Chief
No known financial issues arise from the contents of this report.	Finance Officer
Equalities and Diversity	Chief Internal
No known equality issues arise from the contents of this report.	Auditor

### OFFICER'S APPROVAL

We have been consulted about the proposal and confirm that financial and legal advice have been taken into account in the preparation of this report.

We are satisfied that this is an appropriate request to be submitted to the Joint Independent Audit Committee.

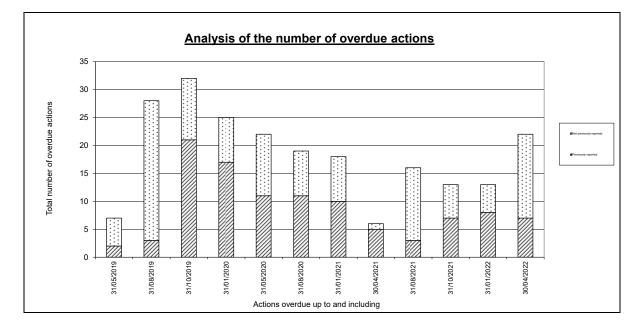
PCC Chief Finance Officer (OPCC)	Date: 31 May 2022
Director of Finance (TVP)	Date: 8 June 2022

# Appendix 1

Audit Subject/Location	Outstanding Overdue	Priority 1	Priority 2	Previously Reported
2020/21		1		<u> </u>
Counter Terrorism	3	-	3	3
Digital Investigations and Intelligence	1	1	-	1
Limited and Minimal Assurance Follow Up	3	2	1	2
Payroll	1	-	1	-
TOTAL	8	3	5	6
2021/22				-
Anti-Fraud and Corruption/Bribery	2	1	1	-
Business Continuity Arrangements	1	-	1	-
Electronic Device Management (Losses)	6	1	5	1
Force Wellbeing Arrangements and Approach	1	-	1	-
ICT Cyber Security (Resilience)	2	1	1	-
SIR Crime Review Improvements (Themes A)	2	-	2	-
TOTAL	14	3	11	1
OVERALL TOTAL	22	6	16	7

# ANALYSIS OF OVERDUE ACTIONS AS AT 30<sup>th</sup> APRIL 2022

# Appendix 2



# Appendix 3

# UPDATE ON PROGRESS IN DELIVERING OVERDUE AGREED ACTIONS

Finding and Risk	Agreed action	Original completion date	Priority	Current position	Revised completion date
Anti-Fraud and Corruption/Bribery	Final report issued on: 01/11/21			CCMT Lead: DCC Jason Hogg / Linda Waters	
Total number of agreed actions: 9 Number completed		mber not yet di	ue: 2 (22%)	Number overdue: 2 (22%)	
Mileage and Expense ClaimsThe audit reviewed the key controls and management oversight with regard to the mileage and expenses claim process. The Payroll function maintain certain policies with regard to mileage and expenses claims and it was commented during the audit that due to the ongoing work with LiveLink, certain policy links have ceased working. Payroll are working on this and locating the original documentation.Certain aspects of the mileage and expenses claim process are "auto approved" and do not require supervisor sign off. This process and the limits involved have been authorised by the Force, but have not been reviewed in recent years to ensure that the limits and arrangements are still appropriate.One final observation was made that although ad-hoc issues are noted and investigated, there is a lack of regular management reporting on claim values, claimants, trends, etc. It was commented during the review that it would be useful to introduce some standard / 	A piece of work between Finance and PSD on the rates of mileage and expense claims is due to be completed, which will determine whether any process or controls changes are needed.	30/04/22	1	Finance and PSD have been working together to review what data is needed to be reviewed regularly and how this will happen. The first data will be made available shortly via spreadsheet. Further investigations are on-going to develop this into a dashboard similar to overtime so all data is presented in a similar way. Areas & PSD will be able to review i.e. high claimers in expense and overtime potential to investigate. All policies should now be on the new intranet site.	30/09/22
<ul> <li>Purchase Cards</li> <li>The audit reviewed the key controls and management oversight with regard to the purchase card process. The audit identified the following points: <ul> <li>There is currently no six or 12 month check on current card users to ensure any accounts for leavers have been cancelled and cards returned and destroyed.</li> <li>It was also commented that liaison with PSD on any concerns or issues does not take place, although there have been no recent issues that would need to be reported.</li> </ul> </li> <li>Risk: Inactive purchase cards are not cancelled on a timely basis and issues are not investigated, leading to the potential for inappropriate purchase activity not being prevented or addressed.</li> </ul>	A process will be added to the Standard Operating Procedure (SOP) to check current users and spend on a quarterly basis (i.e. March, June, September and December). The team also now has access to the Leavers List via Peoplesoft, to support the ongoing monitoring process for current card holders. Any users who have left or no spend is showing after two successive quarters will be reviewed and potentially cancelled.	31/12/21	2	Spend is now being checked quarterly and this has been incorporated into BAU. No spend is still being investigated to determine the best process.	31/07/22

Finding and Risk	Agreed action	Original completion	Priority	Current position	Revised completion
		date			date
Business Continuity Arrangements	Final report issued on: 11/04/22		40 (750)	CCMT Lead: DCC Jason Hogg	
Total number of agreed actions: 16 Number completed		mber not yet du		) Number overdue: 1 (6%)	04/00/00
<ul> <li>BC SPOCs/Leads within LPAs/OCUs/Departments</li> <li>As well as the central Business Continuity Team, made up of two CGOs, there are local BC SPOCs (Leads). Whilst the CGOs plan to have initial meetings with any new SPOCs, one of the SPOCs spoken to during the audit who had been in place for three months, was yet to make contact with the CGOs and did not know how to access the current plan. There is no role profile in place for the role and it has already been recognised that there is a need to reach out more quickly to new SPOCs. A wider piece of work is planned to upskill newly promoted officers and the intention is for this to include BC as one of the topics covered.</li> <li>It was also noted during discussions with a sample of BC SPOCs, that one other LPA SPOC also did not have a copy of the most up to date plan. It appears this was due to them not being aware of some revisions which had been made centrally by the CGO.</li> <li>Consideration is being given to formal BC SPOC (and possibly SMT) training, such as a Moodle package, refreshers and operational guidance materials being compiled potentially in the form of briefing materials. This will link into the development of the intranet content (see above) and Sharepoint and building up the guidance available, including more SPOC specific content.</li> <li>Risk: The BC SPOC's role and remit to support the Force's BC processes could lack clarity and knowledge, leading to the potential for</li> </ul>	Non-operational SPOCs are generally proactive in notifying the BC Team that they are leaving and need to be replaced. For operational SPOC changes, the possibility of the BC Team being notified by People Services of the outcome of each Senior Appointments Board will be explored.	31/03/22	2	We have requested to receive SAB appointments and established a contact with the SPOC to figure out a process. They agreed to take it away and discuss. In the interim the Workforce Planning Business Partner is informing the team of the upcoming changes. Also requested to get involved in Deputy LPA Commander meetings to bring BC to the agenda.	01/09/22
less effective BC plans and local support.	F: 1 (1) (1)				
Counter Terrorism	Final report issued on: 27/04/21			CCMT Lead: ACC Tim Metcalfe	
Total number of agreed actions: 13         Number completed:           Action 1.1	. iu (// %) Nu	mber not yet d 30/06/21	ue: 0 (0%) 2	N/A Number overdue: 3 (23%)	31/12/22
Action 6.1		30/09/21	2	N/A N/A	31/12/22
Action 12.1		31/07/21	2	N/A N/A	31/12/22
Digital Investigations and Intelligence	Final report issued on: 08/02/21	01/01/21	<u> </u>	CCMT Lead: ACC Dennis Murray	01/12/22
Total number of agreed actions: 7 Number completed		mber not yet du	Je: 0 (0%)	Number overdue: 1 (14%)	
Dil Strategic Objectives         During the review, it was commented that as there is now greater focus on DII, as well as a resourced DII Team, there is a need to develop strategic objectives for DII within TVP.         This will ensure that the current focus continues and focuses on the aims for TVP. <b>Risk:</b> Lack of an agreed strategic direction, leading to a lack of buy in or DII work not being focussed on the appropriate areas.	Now there is a resourced DII Team, consideration will be given to future DII strategic objectives and priorities for the Force.	30/09/21	1	A new Head of Department has been in post from April and will now take this forward.	01/09/22

Finding and Risk		Agreed action	Original completion date	Priority	Current position	Revised completion date
Electronic Device Management (Losses)		Final report issued on: 03/12/21			CCMT Lead: DCC Jason Hogg / Mike Lattanzio	
Total number of agreed actions: 12	Number completed		mber not yet dı	ue: 0 (0%)	Number overdue: 6 (50%)	
There are six outstanding actions which have	passed the original	Work is underway to enhance	31/03/22	1	A Task and Finish Group has been established to	30/09/22
action dates. These actions address findings/r		the reporting around losses:			look at lost and stolen electronic devices.	
parts of the lost/stolen device management proce	sses:	<ul> <li>Reporting capability is being</li> </ul>				
		developed to report losses by			The terms of reference have been compiled with	
Line Manager review and building an overall p	icture	area and to communicate			specific reference to addressing the findings from	
Diele Look of loop we investigated to be a set	laadina ta failuna ta	these out to the relevant			the audit report.	
<b>Risk:</b> Lack of local review of reasons for losses learn from previous losses and introduce pre-		Heads of Department.			The first meeting of the One in teals place on the 20th	
and/or identify potential individual specific issues.		<ul> <li>Discussions are taking place</li> </ul>			The first meeting of the Group took place on the 20th	
and/or identity potential individual specific issues.		with the Service Improvement			April. All relevant stakeholders were present and all gave an in-depth explanation of their processes.	
Timeliness of reporting and actions taken		Team to build losses into their LPA/ Department reviews to			gave an in-deput explanation of their processes.	
The and a second s		hold areas to account for			An action list has been compiled which the Force	
Risk: Failure to report losses, and take action	on on those reports	losses.			Security Manager is working through prior to holding	
promptly, leads to increased risk of inappropria		<ul> <li>Reasons for loss will be</li> </ul>			another meeting. These include:	
potential operational impacts.		further reviewed and any				
		trends identified will be			- Formulating a communications plan.	
Leavers process		addressed.			- Compiling costings from individual	
		Checks are now in place within	31/03/22	2	stakeholders.	
Risk: Lack of an effective process to ensure retu	rn of devices by staff	the IT Security Team to flag any	51/05/22	2	- A training input.	
leaving the organisation, leading to increased an	d unnecessary levels	individuals who have repeated			- Work to address the leavers process.	
of loss.	,	losses (laptops and mobiles),				
		and within PSD to review			A clear issue was also identified with how we report	
Overall analysis of losses and management ov	versight	Service Now incidents where			on Service Now and the need to have skilled	
		individuals have been otherwise			individuals who can pull off useful and meaningful	
Risk: Lack of detailed analysis of the causes and		flagged to them.			data.	
losses leading to failure to identify and communic		55				
organisation that could potentially reduce levels o	f loss.	However, the functionality within			It is anticipated that at least two more meetings will	
		Service Now will be reviewed			be needed to compile a final report for submission to	
Governance Groups Terms of Reference		with PSD to determine if there			the DCC via the Force Security Committee.	
		are any further monitoring				
Risk: Lack of an up to date terms of refe		opportunities (which could				
governance groups not achieving the aims of th required level of oversight.	eir meetings and the	potentially also incorporate other				
required level of oversight.		Service Now incident types).	24/02/22	2		
		Periodic reminders will be included within the PSD	31/03/22	2		
		newsletters to remind users that				
		they should report any incidents				
		promptly.				
		The Force Security Manager will	31/12/22	2	1	
		liaise with Learning and		_		
		Development to discuss				
		highlighting the importance of				
		the leaver process within the				
		Core Leadership courses.				
		Comms will continue to be	31/03/22	2		
		included within the PSD				

Finding and Risk		Agreed action	Original completion date	Priority	Current position	Revised completion date
		newsletters, and periodically via In the Know, regarding numbers of losses, costs and reasons.				
		The possibilities for other ways to highlight messages within the new intranet format will also be explored.				
		The terms of reference for the Information and Physical Security Sub Group and the Force Security Committee will be updated.	31/03/22	2		
Force Wellbeing Arrangements and Approach		Final report issued on: 08/02/22			CCMT Lead: Christine Kirby	
Total number of agreed actions: 16 Number completed			mber not yet di	ue: 10 (63%		
<ul> <li>People Directorate management oversight</li> <li>In the People Directorate, various discussions/meetings are held by the two senior managers to review and report upon their teams' progress against the actions, which include wellbeing considerations, in the People Strategy and Force Delivery Plan.</li> <li>To complement these individual team meetings, an overarching performance framework for the Directorate is under development. The intention is to bring the teams together, on a regular basis, to review and monitor overall departmental performance against the success measures within the strategy/plan, prior to the Force Organisational Performance Board.</li> <li>Risk: Without a departmental level performance framework, overall departmental performance against success measures may not be effectively monitored.</li> </ul>		The performance framework is in the process of being finalised at which point the relevant monitoring meetings will be introduced. The frequency of the meetings will initially be set but will be reviewed as necessary as business as usual.	30/04/22	2	The framework is being updated to include the new TVP Strategic Delivery Plan 2022-23 actions alongside the People Strategy actions. As the People Directorate have recently approved a new leadership structure, work has also begun to devise a corresponding cohesive performance framework going forward. In May CCMT are due to consider the detailed 2021- 2022 Annual Performance Reports for the People Directorate, Health & Safety, Wellbeing and DEI, which will then be submitted to JIAC in June as part of the governance arrangements. The L&D performance meetings continue and the People Operations performance meeting will review quarter 1 progress at the end of June.	30/09/22
ICT Cyber Security (Resilience)		Final report issued on: 31/01/22	I.		CCMT Lead: Mike Lattanzio	I.
	Number completed		mber not yet di	ue: 1 (17%)	Number overdue: 2 (33%)	
Critical System Restore Order Establishment Review of the critical systems list also found that there is not a defined restore order for listed critical systems. In the event of a disaster recovery scenario, it will be vital for recovery staff to know which systems to restore in what order to ensure minimal disruption for systems with little or no business continuity capacity. <b>Risk:</b> Without a defined restore order, systems with a shorter failure		A restore order for critical systems will be developed and implemented.	31/03/22	1	JICT have identified the top 10 most critical systems and are currently working with Digital Silver and Business Continuity Teams to agree the order by which the identified top 10 systems need to be restored in the event of outages. Once feedback has been provided/validated, the critical systems documentation will be updated accordingly.	17/06/22
tolerance time may be unavailable for unacceptably long periods of time, in the event of multiple system failures / outages. Disaster Recovery Planning Review and Update		Service specific Disaster	31/03/22	2	DR efforts have been focused on Cyber response	30/06/22
		Recovery plans will be reviewed			and building up of comprehensive plans in response	

Finding and Risk	Agreed action	Original completion date	Priority	Current position	Revised completion date
Testing of Disaster Recovery Planning found that some plans had not been reviewed for three years.         Without up to date Disaster Recovery Planning in place, the Force cannot be assured that planning reflects current capacity and requirements for recovery of systems.         Risk: Without up to date disaster recovery planning documentation, IT staff may not have the correct information to adequately recovery systems in the event of a failure or outage.         Limited and Minimal Assurance Follow Up         Total number of agreed actions: 5       Number completed         CCTV Ownership         During 2019/20, an audit of CCTV was completed. When the final audit report was issued in July 2020, due to the Covid-19 pandemic, no action dates were agreed. Having liaised with the action owners during this review, the current status of the actions is as follows:         - In six cases action holders gave verbal and/or documentary confirmation of completion.         - Five actions were marked as completed (3.1, 4.1, 8.1, 8.2, 9.1, 10.1 and 11.1).         Since the CCTV audit work was undertaken as part of the 2019/20 audit plan, ownership of CCTV moved from Local Policing to the Governance and Service Improvement Team although the person with responsibility for CCTV was then heavily involved in the Silver Covid Response before moving to another role in January 2021. There had been agreement that, as of April 2021, it would move again to Criminal Justice. However, due to the changing technology/collaboration landscape, this move is being reviewed and in the meantime a CCTV Manager is being reviewed and in the meantime a CCTV Manager is being reviewed and in the meantime a CCTV Manager is being reviewed and in the meantime a CCTV Manager is being	and updated accordingly, and at least annually.	01/04/22	ue: 0 (0%)	to other key scenarios. JICT are currently producing a summary for the identified Critical Systems, along with a plan for future testing. Summary of current state plus future testing schedule is to be complete by end of June. CCMT Lead: DCC Jason Hogg Number overdue: 3 (60%) The SRO for CCTV is now the Head of Policing Strategy Unit. A new Public Space CCTV Strategy is being devised, in conjunction with the OPCC. A CCMT paper will be written to get agreement for the strategy. CCTV Ops Manager post is currently being advertised. A bid is to be made to the Change Team to get project support to deliver the strategy later in 2022 to ensure there is delivery. LPA Commanders and the OPCC are supporting the partnership engagement.	31/07/22
<b>Risk:</b> Force-level roles and responsibilities are unclear or inadequate, resulting in a lack of strategic and corporate accountability and oversight.					
Vetting Standard Operating ProceduresAn overall review is underway of the policies/standards in place to confirm whether they are still needed. Those that are retained will then be reviewed and updated as necessary.The Vetting intranet pages will also be reviewed and updated where	The review and update of the team's SOPs will be completed.	30/06/21	2	Significant demands on the unit have meant that tasks such as this have not yet been completed. However we have had a small internal re-structure which has seen the formation of a compliancy team who have this in their work flow to address. We have also discovered some issues with the move to SharePoint and links not working and a review of our	01/10/22

Finding and Risk	Agreed action	Original completion date	Priority	Current position	Revised completion date
necessary.				intranet pages has already started and is a work in progress as we get to grips with the new editing tool.	
Follow Up Testing					
Testing found that some, but not all of the team's Standard Operating Procedures (SOPs) have been reviewed and updated. The work has been captured via the Vetting Team's tasking process for completion by May 2021. <b>Risk:</b> Out of date or incomplete procedures, leading to the team applying incorrect or inconsistent processes.					
Payroll	Final report issued on: 18/05/21			CCMT Lead: Linda Waters	
Total number of agreed actions: 18 Number completed		mber not yet di	ue: 0 (0%)	Number overdue: 1 (6%)	
<ul> <li>Annual leave and TOIL calculations for leavers</li> <li>For each of the 20 sampled leavers the final salary/allowances calculations had been processed in line with the checklist. However, there were some queries identified with some of the annual leave/TOIL payments or deductions:</li> <li>The annual leave and TOIL entitlements are received from People Services and checked by a Payroll Officer. This calculation does not appear to be subject to a secondary check so in one case there had been a small underpayment for unused leave and in another case there had been an overpayment of over £2,000 for unused leave.</li> <li>For staff the annual leave calculation references the FTE figure input. This figure is set as 37 hours which applies to all roles with the exception of Security and Detention Officer. In the sample reviewed there was one Security Officer and the correct adjustment had been made. However, there were five other Detention Officers in the original leaver data where the hours had not been adjusted on the checklist. This had been picked up in all five cases via the gross pay review check by the authorising officer, however in one case the annual leave had been corrected but the TOIL payment had not (although the resulting overpayment was less than a £1 due to the very low TOIL balance being paid to the individual).</li> <li>Risk: Incorrect calculations, or approaches, are applied to annual leave calculations leading to underpayments or overpayments and</li> </ul>	It is not felt necessary to have a secondary check for the annual leave calculation. However, a review of the annual leave proforma/process will be undertaken to look at whether there is a more automated way of producing this from DMS/Pipkins to remove the potential for manual processing errors.	31/03/22	2	This task involves gathering data from Pipkins and DMS. Payroll have spoken to the various departments including the SSAMI team. All of these will need to come together to agree a process and sign up to the new way of working. An update is awaited from the DMS Team around their thoughts and considerations before this moves to the development of a report and a testing phase.	31/07/22
additional costs to the organisation. SIR Crime Review Improvements (Themes A)	Final report issued on: 22/11/21		1	CCMT Lead: Various	
Total number of agreed actions: 8 Number completed		mber not yet di	ue: 2 (25%)	Number overdue: 2 (25%)	
Stop and Search The SIR report includes a list of recommendations and actions have been developed and included within the SIP, along with Next Steps, Success Measures and Progress. Quarterly Stop and Search	An updated version of the SIP, and the actions noted (including completion dates), has been collated, which was mainly an administrative action.	31/03/22	2	The bulk of the requirements are largely complete, albeit four areas have been identified that will benefit from further development. The first three of these areas are in development as	31/10/22

Finding and Risk	Agreed action	Original completion date	Priority	Current position	Revised completion date
<ul> <li>meetings have been taking place to provide oversight and governance of the SIP, with the latest meeting during September 2021. Updates have also been provided to the I &amp; I meeting.</li> <li>The current SIP was reviewed and the only observation was that all of the dates had passed, but it did not appear that all the actions had been completed. It was commented that this was more an administrative point as most of the actions are due to be finalised soon, but the SIP just needed updating. A sample of six SIR observations / risks were tested in more detail to ensure they were being progressed. Evidence was provided that showed four had been completed and the remaining two would be addressed with the rollout of the Pronto application to support the Stop and Search process.</li> <li>The effectiveness of action taken will be monitored by the Quarterly Stop and Search meeting.</li> <li>Risk: Without a completed and signed off SIP Action Plan, there is the potential for the risks and issues identified not being effectively mitigated.</li> </ul>	There are a couple of actions that remain outstanding. Once a new Stop and Search lead has been identified, the remaining actions will be implemented and a final version of the SIP collated and signed off as complete.			<ul> <li>follows:</li> <li>Link to crime/harm – this forms part of the ongoing process with Service Improvement re: the data pack for stop &amp; search.</li> <li>Corporate memory – A method of recording our evidence base in D&amp;I has been set up and the key relationships to feed this process have been outlined (e.g. with PSD) but further work is required to ensure that the evidence base is consistently fed by relevant notifications.</li> <li>Procedural justice – this needs greater recognition in Legitimacy Board objectives. It has been discussed at the May Legitimacy Board and some proposals are being developed which, when finalised, will guide the Legitimacy Board's review.</li> <li>The fourth area (Niche module/Geocodes) needs further investigation.</li> <li>The Inspector that will be delivering key elements of these actions, among a range of other Legitimacy Board requirements, will start on 27th June with a target date of end of October to fully appraise the completion of the SIP.</li> </ul>	
Domestic AbuseThe SIR report includes a list of recommendations and actions have been developed and included within the SIP, along with Next Steps, Success Measures and Progress. Bi-monthly Domestic Abuse Working Group meetings take place to provide oversight and governance of the SIP, with the latest meeting during July 2021. Updates are yet to be provided to the I & I meeting.The current SIP was reviewed and the only observation was that all of the dates had passed and there were no dates for certain actions. Of the seven SIR recommendations, only one was noted as being completed, although there were updates for all seven. The work in the SIP is being completed alongside other actions and developments that the Domestic Abuse Working Group is overseeing.At the end of the audit it was commented that there needed to be a discussion about the outstanding recommendations and how to close down the actions if the Force accepts a certain level of risk with regards to its response to domestic abuse. <b>Risk:</b> Without a completed and signed off SIP Action Plan, there is the potential for the risks and issues identified not being effectively mitigated.	Discussions will take place with the Service Improvement Unit with a view to agreeing a final position of the SIR recommendations and SIP actions, as well as any further potential work required. Once agreed, a final version of the SIP, and the actions noted, will be collated and signed off as complete.	31/03/22	2	Progress has been made in terms of each of the actions within the SIP. The Service Improvement Unit will now review each one to determine which ones can be moved forward to the Recommendations Panel for closure. The SIP will then be updated and further work agreed in terms of any remaining open actions.	30/06/22



**AGENDA ITEM 12** 

The Police and Crime Commissioner for Thames Valley Group Year ended 31 March 2022 Audit planning report final June 2022







Private and Confidential

June 2022

The Office of Police and Crime Commissioner and Chief Constable Thames Valley Police Kidlington, OX5 2NX

Dear Matthew and John

We are pleased to attach our final Audit Plan which sets out how we intend to carry out our responsibilities as auditor. Its purpose is to provide the Joint Independent Audit Committee (JIAC) with a basis to review our proposed audit approach and scope for the 2021/22 audit in accordance with the requirements of the Local Audit and Accountability Act 2014, the National Audit Office's 2020 Code of Audit Practice, the Statement of Responsibilities issued by Public Sector Audit Appointments (PSAA) Ltd, auditing standards and other professional requirements. It is also to ensure that our audit is aligned with the Committee's service expectations.

This Plan summarises our initial assessment of the key risks driving the development of an effective audit for the Police and Crime Commissioner (PCC) and the Chief Constable (CC) of Thames Valley, and outlines our planned audit strategy in response to those risks. We have yet to complete our detailed audit planning and will report any changes to risks and areas of focus to the next Committee meeting.

This report is intended solely for the information and use of the JIAC and management, and is not intended to be and should not be used by anyone other than these specified parties.

We welcome the opportunity to discuss this report with you on 17 June 2022 as well as understand whether there are other matters which you consider may influence our audit.

Yours faithfully

Andrew Brittain Associate Partner For and on behalf of Ernst & Young LLP Enc

## Contents



Public Sector Audit Appointments Ltd (PSAA) issued the "Statement of responsibilities of auditors and audited bodies". It is available from the PSAA website (<u>https://www.psaa.co.uk/managing-audit-guality/statement-of-responsibilities-of-auditors-and-audited-bodies/</u>). The Statement of responsibilities serves as the formal terms of engagement between appointed auditors and audited bodies. It summarises where the different responsibilities of auditors and audited bodies begin and end, and what is to be expected of the audited body in certain areas.

The "Terms of Appointment and further guidance (updated July 2021)" issued by the PSAA (<u>https://www.psaa.co.uk/managing-audit-quality/terms-of-appointment/terms-of-appointment-and-further-guidance-1-july-2021/</u>) sets out additional requirements that auditors must comply with, over and above those set out in the National Audit Office Code of Audit Practice (the Code) and in legislation, and covers matters of practice and procedure which are of a recurring nature.

This report is made solely to the JIAC and management of the Thames Valley Police in accordance with the statement of responsibilities. Our work has been undertaken so that we might state to the JIAC and management of Thames Valley Police those matters we are required to state to them in this report and for no other purpose. To the fullest extent permitted by law we do not accept or assume responsibility to anyone other than the JIAC and management of Thames Valley Police for this report or for the opinions we have formed. It should not be provided to any third-party without our prior written consent.

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# 01 Overview of our 2021/22 audit strategy

## Overview of our 2021/22 audit strategy

The following 'dashboard' summarises the significant accounting and auditing matters outlined in this report. It seeks to provide the Joint Independent Audit Committee with an overview of our initial risk identification for the upcoming audit and any changes in risks identified in the current year.

Audit risks and areas of focus			
Risk / area of focus	Risk identified	Change from PY	Details
Misstatements due to fraud or error	Fraud risk	No change in risk or focus	There is a risk that the financial statements as a whole are not free from material misstatement whether caused by fraud or error. We perform mandatory procedures, regardless of specifically identified fraud risks.
Incorrect capitalisation of revenue expenditure	Fraud risk	No change in risk or focus	Under ISA 240, there is a presumed risk that revenue may be misstated due to improper revenue recognition. In the public sector, this requirement is modified by Practice Note 10 issued by the Financial Reporting Council, which states that auditors should also consider the risk that material misstatements may occur by the manipulation of expenditure recognition.
Inappropriate Revenue Recognition of Other Income - Recharges and collaboration	Fraud risk	New risk	ISA (UK and Ireland) 240 states, in paragraph 26, that material misstatements due to fraudulent financial reporting often result from a misstatement of revenues. Therefore, the auditor ordinarily presumes that there are risks of fraud in revenue recognition and considers which types of revenue, revenue transactions or assertions may give rise to such risks. Those assessed risks of material misstatement due to fraud related to revenue recognition are significant risks.
			Police bodies have a statutory duty to balance their annual budget and are operating in a financially challenged environment with reducing levels of government funding and increasing demand for services. Any deficit outturn against the budget is not a desirable outcome for TVP and management, and therefore this desire to achieve budget increases the risk that the financial statements may be materially misstated.
			In our judgement the risk of manipulation of these revenue streams lies in other income as this is reliant on the information produced by TVP which other Police authorities accept and send payments to TVP to cover for joint projects.

## Overview of our 2021/22 audit strategy

The following 'dashboard' summarises the significant accounting and auditing matters outlined in this report. It seeks to provide the Joint Independent Audit Committee with an overview of our initial risk identification for the upcoming audit and any changes in risks identified in the current year.

Audit risks and areas of focus			
Risk / area of focus	Risk identified	Change from PY	Details
Valuation of land and buildings	Inherent risk	No change in risk or focus	The fair value of land and buildings represents a significant balance in the PCC's accounts and is subject to valuation changes, impairment reviews and depreciation charges. Management is required to make material judgemental inputs and apply estimation techniques to calculate the year-end balances recorded in the balance sheet. The valuation of land and buildings remains an inherent audit risk.
Pension liability valuation	Inherent risk	No change in risk or focus	The pension fund deficit is a material estimate that is disclosed on the balance sheet. It involves significant estimation and judgement which management engages an actuary to undertake.
Going concern disclosure	Inherent risk	No change in risk or focus	The financial landscape for the PCC and CC remains challenging and they will need to undertake a going concern assessment covering a period up to 12 months from the expected date of final authorisation. They will also need to make an appropriate disclosure in the financial statements. In addition, the auditing standard on going concern requires a challenge from auditors on the assertions being made by management.
Insurance provision	Inherent risk	New inherent risk	<ul> <li>The PCC and CC have a provision to meet insurance claims under a self-insurance scheme. The adequacy of this scheme is assessed annually by a firm of actuaries.</li> <li>Accounting for these schemes involves significant estimation and judgement and therefore management engages an actuary to undertake the calculations on their behalf.</li> <li>ISAs (UK) 500 and 540 require us to undertake procedures on the use of management experts and the assumptions underlying fair value estimates.</li> </ul>

Note that the risk in relation to IFRS 16 has been removed from our audit plan in light of the decision, following the CIPFA/LASAAC consultation, by FRAB to defer the implementation of the standard to 1 April 2024.

## Overview of our 2021/22 audit strategy

#### Materiality

£m	Group	CC	PCC
Planning materiality – 1.8% gross revenue spend / gross assets of PC	£12.6m	£12.2m	£7m
Performance materiality - 75% above	£9.45m	£9.16m	£5.2m
Audit differences – 5% of planning materiality	£0.63m	£0.61m	£0.35m

We have made no changes to the basis of determining materiality or the percentages used. This assumes there have been now changes from the prior year and reflects our view that PCC and CC's financial statements are not under increased scrutiny from stakeholders (such as the Home Office) and we expect the quality of the financial statements to be good and that they will be free from material misstatement.

We will keep materiality under review and update our calculations on receipt of the draft statement of accounts.

We will report all uncorrected misstatements relating to the primary statements (comprehensive income and expenditure statement, balance sheet, movement in reserves statement, cash flow statement and police pension fund financial statements) greater than the audit difference figures quoted above. Other misstatements identified will be communicated to the extent that they merit the attention of the Joint Independent Audit Committee.

### Overview of our 2021/22 audit strategy

#### Audit scope

This Audit Plan covers the work that we plan to perform to provide you with:

- Our audit opinion on whether the financial statements of the PCC and CC give a true and fair view of the financial position as at 31 March 2022 and of the income and expenditure for the year then ended; and
- Our commentary on your arrangements to secure value for money in your use of resources for the relevant period. We include further details on VFM in Section 03.

We will also review and report to the National Audit Office (NAO), to the extent and in the form required by them, on the PCC and CC's Whole of Government Accounts return.

Our audit will also include the mandatory procedures that we are required to perform in accordance with applicable laws and auditing standards.

When planning the audit we take into account several key inputs:

- Strategic, operational and financial risks relevant to the financial statements;
- Developments in financial reporting and auditing standards;
- The quality of systems and processes;
- Changes in the business and regulatory environment; and,
- Management's views on all of the above.

By considering these inputs, our audit is focused on the areas that matter and our feedback is more likely to be relevant to the PCC and CC.

Taking the above into account, and as articulated in this Audit Plan, our professional responsibilities require us to independently assess the risks associated with providing an audit opinion and undertake appropriate procedures in response to that. Our Terms of Appointment with PSAA allow them to vary the fee dependent on "the auditors assessment of risk and the work needed to meet their professional responsibilities". PSAA are aware that the setting of scale fees has not kept pace with the changing requirements of external audit with increased focus on, for example, the valuations of land and buildings, the auditing of groups, the valuation of pension obligations, the introduction of new accounting standards such as IFRS 9 and 15 in recent years as well as the expansion of factors impacting ISA 540 (revised) and the value for money conclusion. Therefore to the extent any of these or any other risks are relevant in the context of the PCC and CC's audit, we will discuss these with management as to the impact on the scale fee.

Effects of climate-related matters on financial statements and Value for Money arrangements

Public interest in climate change is increasing. We are mindful that climate-related risks may have a long timeframe and therefore while risks exist, the impact on the current period financial statements may not be immediately material to an entity. It is nevertheless important to understand the relevant risks to make this evaluation. In addition, understanding climate-related risks may be relevant in the context of qualitative disclosures in the notes to the financial statements and value for money arrangements.

We make inquiries regarding climate-related risks on every audit as part of understanding the entity and its environment. As we re-evaluate our risk assessments throughout the audit, we continually consider the information that we have obtained to help us assess the level of inherent risk.

### Overview of our 2021/22 audit strategy

#### Value for money conclusion

We include details in Section 03, but in summary:

- > We are required to consider whether the PCC and CC have made 'proper arrangements' to secure economy, efficiency and effectiveness on its use of resources.
- Planning on value for money and the associated risk assessment is focused on gathering sufficient evidence to enable us to document our evaluation of the PCC and CC's arrangements, to enable us to draft a commentary under three reporting criteria (see below). This includes identifying and reporting on any significant weaknesses in those arrangements and making appropriate recommendations.
- > We will provide a commentary on the PCC and CC's arrangements against three reporting criteria:
  - > Financial sustainability How the PCC and CC plans and manages its resources to ensure it can continue to deliver its services;
  - > Governance How the PCC and CC ensures that it makes informed decisions and properly manages its risks; and
  - Improving economy, efficiency and effectiveness How the PCC and CC uses information about its costs and performance to improve the way it manages and delivers its services.
- > The commentary on VFM arrangements will be included in the Auditor's Annual Report.

#### Timeline

The Ministry of Housing, Communities and Local Government established regulations to extend the target date for publishing audited local authority accounts from 31 July to 30 September, for a period of two years (i.e. covering the audit of the 2020/21 and 2021/22 accounting years).

In December 2021, the Department for Levelling Up, Housing and Communities (DLUHC) announced proposals to extend the deadline for the publication of audited accounts to 30 November for 2021/22.

We are working with the PCC and CC to deliver the audit ahead of 30 November. In Section 07 we include a provisional timeline for the audit.





## Our response to significant risks

We have set out the significant risks (including fraud risks denoted by\*) identified for the current year audit along with the rationale and expected audit approach. The risks identified below may change to reflect any significant findings or subsequent issues we identify during the audit.

Misstatements due to fraud or error*	What is the risk?	What will we do?
	The financial statements as a whole are not free of material misstatements whether caused by fraud or error.	<ul> <li>Identifying fraud risks during the planning stages.</li> <li>Inquiry of management about risks of fraud and the controls put in place to address those risks</li> </ul>
	As identified in ISA (UK) 240, management is in a unique position to perpetrate fraud because of its ability to manipulate accounting records directly or indirectly and prepare fraudulent financial statements by overriding controls that otherwise appear to be operating effectively. We identify and respond to this fraud risk on every audit engagement.	<ul> <li>Understanding the oversight given by those charged with governance of management's processes over fraud</li> <li>Consideration of the effectiveness of management's controls designed</li> </ul>
dire fina oth ider		<ul> <li>to address the risk of fraud</li> <li>Determining an appropriate strategy to address those identified risks of fraud.</li> </ul>
		Perform mandatory procedures regardless of specifically identified fraud risks, including:
		• Testing the appropriateness of journal entries recorded in the general ledger and other adjustments made in the preparation of the financial statements
		<ul> <li>Assessing accounting estimates for evidence of management bias, and</li> <li>Evaluating the business rationale for significant unusual transactions.</li> </ul>
		We will utilise our data analytics capabilities to assist with our work. Having evaluated this risk we have considered whether we need to perform other audit procedures not referred to above. We concluded that only those procedures included under 'Inappropriate capitalisation of revenue expenditure' are required.

## Our response to significant risks (continued)

We have set out the significant risks (including fraud risks denoted by<sup>\*</sup>) identified for the current year audit along with the rationale and expected audit approach. The risks identified below may change to reflect any significant findings or subsequent issues we identify during the audit.

Incorrect capitalisation of revenue expenditure\*



#### Financial statement impact

We have assessed that the risk of misreporting revenue outturn in the financial statements is most likely to be achieved through:

► Revenue expenditure being inappropriately recognised as capital expenditure at the point it is posted to the general ledger.

► Expenditure being inappropriately transferred by journal from revenue to capital codes on the general ledger at the end of the year.

If this were to happen it would have the impact of understating revenue expenditure and overstating property, plant and equipment (PPE) additions and/or Revenue Expenditure Financed as Capital Under Statute

(REFCUS) in the financial statements.

#### What is the risk?

Under ISA 240 there is a presumed risk that revenue may be misstated due to improper revenue recognition. In the public sector, this requirement is modified by Practice Note 10 issued by the Financial Reporting Council, which states that auditors should also consider the risk that material misstatements may occur by the manipulation of expenditure recognition.

We have identified an opportunity and incentive to capitalise expenditure under the accounting framework, to remove it from the general fund. In arriving at this conclusion we have considered the continuing pressure on the revenue budget and the financial value of the annual capital programme, which is many times our materiality level.

This could result in funding of expenditure that should properly be defined as revenue, through inappropriate sources such as capital receipts, capital grants or borrowing.

#### What will we do?

We will:

► Test property plant and equipment (PPE) additions, and REFCUS if material, to ensure that the expenditure incurred and capitalised is clearly capital in nature or appropriate to be treated as REFCUS.

► Seek to identify and understand the basis for any significant journals transferring expenditure from revenue to capital codes on the general ledger at the end of the year.

We will utilise our data analytics capabilities to assist with our work, including journal entry testing. We will assess journal entries more generally for evidence of management bias and evaluate for business rationale.

## Our response to significant risks (continued)

We have set out the significant risks (including fraud risks denoted by<sup>\*</sup>) identified for the current year audit along with the rationale and expected audit approach. The risks identified below may change to reflect any significant findings or subsequent issues we identify during the audit.

Inappropriate Revenue Recognition of Other Income - Recharges and collaboration\*

#### Financial statement impact

We have assessed that the risk of misreporting revenue outturn in the financial statements is most likely to be achieved through:

► Revenue being inappropriately recognised

If this were to happen it would have the impact of overstating revenue.

#### What is the risk?

ISA (UK and Ireland) 240 states, in paragraph 26, that material misstatements due to fraudulent financial reporting often result from a misstatement of revenues. Therefore, the auditor ordinarily presumes that there are risks of fraud in revenue recognition and considers which types of revenue, revenue transactions or assertions may give rise to such risks. Those assessed risks of material misstatement due to fraud related to revenue recognition are significant risks.

Police bodies have a statutory duty to balance their annual budget and are operating in a financially challenged environment with reducing levels of government funding and increasing demand for services. Any deficit outturn against the budget is not a desirable outcome for TVP and management, and therefore this desire to achieve budget increases the risk that the financial statements may be materially misstated.

In our judgement the risk of manipulation of these revenue streams lies in other income as this is reliant on the information produced by TVP which other Police authorities accept and send payments to TVP to cover for joint projects.

#### What will we do?

We will:

► Test other income of recharges and collaboration using a lower level of materiality.

We will utilise our data analytics capabilities to assist with our work, including journal entry testing. We will assess journal entries more generally for evidence of management bias and evaluate for business rationale.

## Other areas of audit focus

We have identified other areas of the audit, that have not been classified as significant risks, but are still important when considering the risks of material misstatement to the financial statements and disclosures and therefore may be key audit matters we will include in our audit report.

We will:

#### What is the risk/area of focus?

#### What will we do?

#### Valuation of land and buildings (including investment properties)

At 31 March 2021, the value of PCC and CC's land and buildings was £210 million and represents the largest balance in the accounts. It is subject to valuation changes, impairment reviews and depreciation charges. Management is required to make material judgemental inputs and apply estimation techniques to calculate the year-end balances recorded in the balance sheet.

For 2021/22, the PCC and CC continue to engage an external valuation expert to support the valuation of these assets. As this is one of the largest accounting estimates on the balance sheet, and one dependent on a high degree of subjectivity, we deem the valuation of property, plant and equipment to represent an inherent risk of material misstatement.

At the time of writing this report, CIPFA has an emergency consultation in place to allow local authorities to pause professional valuations for operational property, plant and equipment. We will amend our audit approach accordingly if this is approved.

#### Pension liability valuation

The Local Authority Accounting Code of Practice and IAS19 requires the CC to make extensive disclosures within its financial statements regarding its membership of the Local Government Pension Scheme administered by Buckinghamshire Council. The PCC must also do similar in respect of the Police Pension Fund.

The PCC and CC's pension fund deficit is a material estimated balance and the Code requires that this liability be disclosed on the PCC and CC's balance sheet. At 31 March 2021, this totalled  $\pounds$ 5,062 million.

The information disclosed is based on the IAS 19 report issued to the PCC and CC by the actuary to Buckinghamshire Council and also the Police Pension Fund.

Accounting for these schemes involves significant estimation and judgement and therefore management engages an actuary to undertake the calculations on their behalf. ISAs (UK) 500 and 540 require us to undertake procedures on the use of management experts and the assumptions underlying fair value estimates.

- Consider the work performed by the PCC and CC's valuers, including the adequacy of the scope of the work performed, their professional capabilities and the results of their work;
- Sample testing key asset information used by the valuers in performing their valuation (e.g. floor plans to support valuations based on price per square metre);
- Consider the annual cycle of valuations to ensure that assets have been valued within a 5 year rolling programme as required by the Code for PPE and annually for investment properties. We will consider if there are any specific changes to assets that have occurred and that these have been communicated to the valuer;
- Review assets not subject to valuation in 2021/22 to confirm that the remaining asset base is not materially misstated;
- Consider changes to useful economic lives as a result of the most recent valuation; and
- Test accounting entries have been correctly processed in the financial statements
- Consider using our EY Real Estates team if we believe it is necessary.

#### We will:

- Liaise with the auditors of Buckinghamshire Council Pension Fund, to obtain assurances over the information supplied to the actuary in relation to Thames Valley Police;
- Assess the work of the Pension Fund actuary (Barnet Waddingham) and the Police Pension actuary (GAD) including the assumptions they have used by relying on the work of PWC - Consulting Actuaries commissioned by the National Audit Office for all Local Government sector auditors, and considering any relevant reviews by the EY actuarial team including the review of the PwC report;
- Evaluate the reasonableness of the Pension Fund actuary's calculations by comparing them to the outputs of our own auditor's actuarial model; and
- Review and test the accounting entries and disclosures made within the PCC and CC's financial statements in relation to IAS19.

## Other areas of audit focus (continued)

#### What is the risk/area of focus?

#### Going concern disclosure

There is a presumption that the PCC and CC will continue as a going concern for the foreseeable future. However, both the PCC and CC are required to carry out a going concern assessment that is proportionate to the risks they face. In light of the continued impact of Covid-19 on day to day finances, annual budgets, cashflow and the medium term financial strategy, there is a need for the PCC and CC to ensure their going concern assessments are thorough and appropriately comprehensive.

The PCC and CC are then required to ensure that their going concern disclosures within the statement of accounts adequately reflects their going concern assessment and in particular highlights any uncertainties identified. The auditing standard in relation to going concern (ISA570) requires a challenge from auditors on the assertions being made by management.

#### What will we do?

We will meet the requirements of the revised auditing standard on going concern (ISA 570) and consider the adequacy of the PCC and CC's going concern assessment and its disclosure in the accounts by:

- Challenging management's identification of events or conditions impacting going concern.
- Testing management's resulting assessment of going concern by evaluating supporting evidence (including consideration of the risk of management bias).
- Reviewing the cashflow forecast covering the foreseeable future, to ensure that it has sufficient liquidity to continue to operate as a going concern.
- Undertaking a 'stand back' review to consider all of the evidence obtained, whether corroborative or contradictory, when we draw our conclusions on going concern.
- Challenging the disclosure made in the accounts in respect of going concern and any material uncertainties.

#### Insurance provision

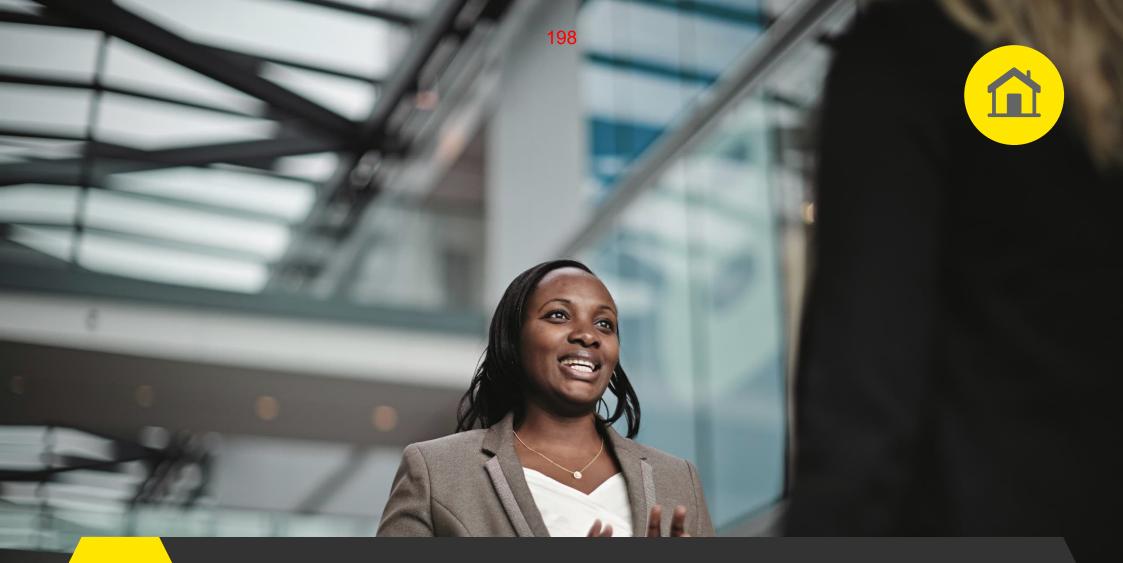
The PCC and CC have a provision to meet insurance claims under a self-insurance scheme. The adequacy of this scheme is assessed annually by a firm of actuaries.

Accounting for these schemes involves significant estimation and judgement and therefore management engages an actuary to undertake the calculations on their behalf.

ISAs (UK) 500 and 540 require us to undertake procedures on the use of management experts and the assumptions underlying fair value estimates.

#### We will:

• Evaluate the reasonableness of the actuary's calculations by reviewing the approach used by your actuary and using our own internal specialists.



## O3 Value for Money Risks



### Value for Money

#### PCC and CC's responsibilities for value for money

The PCC and CC are required to maintain an effective system of internal control that supports the achievement of their policies, aims and objectives while safeguarding and securing value for money from the public funds and other resources at their disposal.

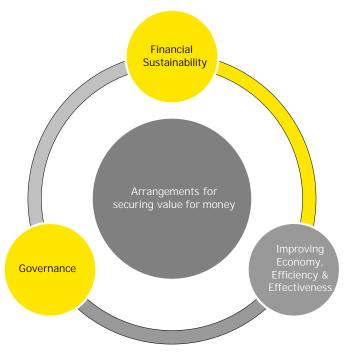
As part of the material published with the financial statements, both the PCC and CC are required to bring together commentary on the governance framework and how this has operated during the period in a governance statement. In preparing the governance statement, the PCC and CC tailor the content to reflect their own individual circumstances, consistent with the requirements of the relevant accounting and reporting framework and having regard to any guidance issued in support of that framework. This includes a requirement to provide commentary on arrangements for securing value for money from the use of resources.

#### Auditor responsibilities

Under the NAO Code of Audit Practice, we are required to consider whether the PCC and CC have put in place 'proper arrangements' to secure economy, efficiency and effectiveness in their use of resources. The Code requires the auditor to design their work to provide them with sufficient assurance to enable them to report to the PCC and CC a commentary against specified reporting criteria (see below) on the arrangements the PCC and CC has in place to secure value for money through economic, efficient and effective use of its resources for the relevant period.

The specified reporting criteria are:

- Financial sustainability How the PCC and CC plan and manages their resources to ensure they can continue to deliver their services.
- Governance How the PCC and CC ensures that they make informed decisions and properly manages risks.
- Improving economy, efficiency and effectiveness How the PCC and CC use information about their costs and performance to improve the way they manages and delivers services.



## Value for Money

#### Planning and identifying risks of significant weakness in VFM arrangements

The NAO's guidance notes requires us to carry out a risk assessment which gathers sufficient evidence to enable us to document our evaluation of the PCC and CC's arrangements, in order to enable us to draft a commentary under the three reporting criteria. This includes identifying and reporting on any significant weaknesses in those arrangements and making appropriate recommendations.

In considering the PCC and CC's arrangements, we are required to consider:

- The PCC and CC's governance statement;
- Evidence that the PCC and CC's arrangements were in place during the reporting period;
- Evidence obtained from our work on the accounts;
- The work of inspectorates and other bodies; and
- Any other evidence source that we regards as necessary to facilitate the performance of our statutory duties.

We then consider whether there is evidence to suggest that there are significant weaknesses in arrangements. The NAO's guidance is clear that the assessment of what constitutes a significant weakness and the amount of additional audit work required to adequately respond to the risk of a significant weakness in arrangements is a matter of professional judgement. However, the NAO states that a weakness may be said to be significant if it:

- Exposes or could reasonably be expected to expose the PCC and CC to significant financial loss or risk;
- Leads to or could reasonably be expected to lead to significant impact on the quality or effectiveness of service or on the PCC and CC's reputation;
- · Leads to or could reasonably be expected to lead to unlawful actions; or
- Identifies a failure to take action to address a previously identified significant weakness, such as failure to implement or achieve planned progress on action/improvement plans.

We should also be informed by a consideration of:

- The magnitude of the issue in relation to the size of the PCC and CC;
- Financial consequences in comparison to, for example, levels of income or expenditure, levels of reserves (where applicable), or impact on budgets or cashflow forecasts;
- The impact of the weakness on the PCC and CC's reported performance;
- Whether the issue has been identified by the PCC and CC's own internal arrangements and what corrective action has been taken or planned;
- · Whether any legal judgements have been made including judicial review;
- Whether there has been any intervention by a regulator or Secretary of State;
- Whether the weakness could be considered significant when assessed against the nature, visibility or sensitivity of the issue;
- The impact on delivery of services to local taxpayers; and
- The length of time the PCC and CC has had to respond to the issue.

## Value for Money

#### Responding to identified risks of significant weakness

Where our planning work has identified a risk of significant weakness, the NAO's guidance requires us to consider what additional evidence is needed to determine whether there is a significant weakness in arrangements and undertake additional procedures as necessary, including where appropriate, challenge of management's assumptions. We are required to report our planned procedures to the Joint Independent Audit Committee.

#### Reporting on VFM

Where we are not satisfied that the PCC and CC has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources the Code requires that we should refer to this by exception in the audit report on the financial statements.

In addition, the Code requires us to include the commentary on arrangements in the Auditor's Annual Report. The Code states that the commentary should be clear, readily understandable and highlight any issues we wish to draw to the PCC and CC's attention or the wider public. This should include details of any recommendations arising from the audit and follow-up of recommendations issued previously, along with our view as to whether they have been implemented satisfactorily.

#### Status of our 2021/22 VFM planning

We have completed our detailed VFM planning.

We have not identified any risks of significant weaknesses in arrangements.



## Reality Audit materiality

## Materiality

#### Materiality

For planning purposes, materiality for the PCC Group and CC Single Entity for 2021/22 has been set at £12.6 million and £12.2 million respectively. This represents 1.8% of the PCC Group and CC Single Entity's prior year gross expenditure on provision of services. We have set materiality for the PCC Single Entity at 1.8% of prior year net assets at £7 million. Materiality will be reassessed throughout the audit process. This is no change from the prior year on the basis PCC and CC meets the Local Audit & Accountability Act 2014 criteria for a major local audit based on its size. We have provided supplemental information about audit materiality in Appendix C.



We request that the Joint Independent Audit Committee confirm its understanding of, and agreement to, these materiality and reporting levels.

#### Key definitions

Planning materiality – the amount over which we anticipate misstatements would influence the economic decisions of a user of the financial statements.

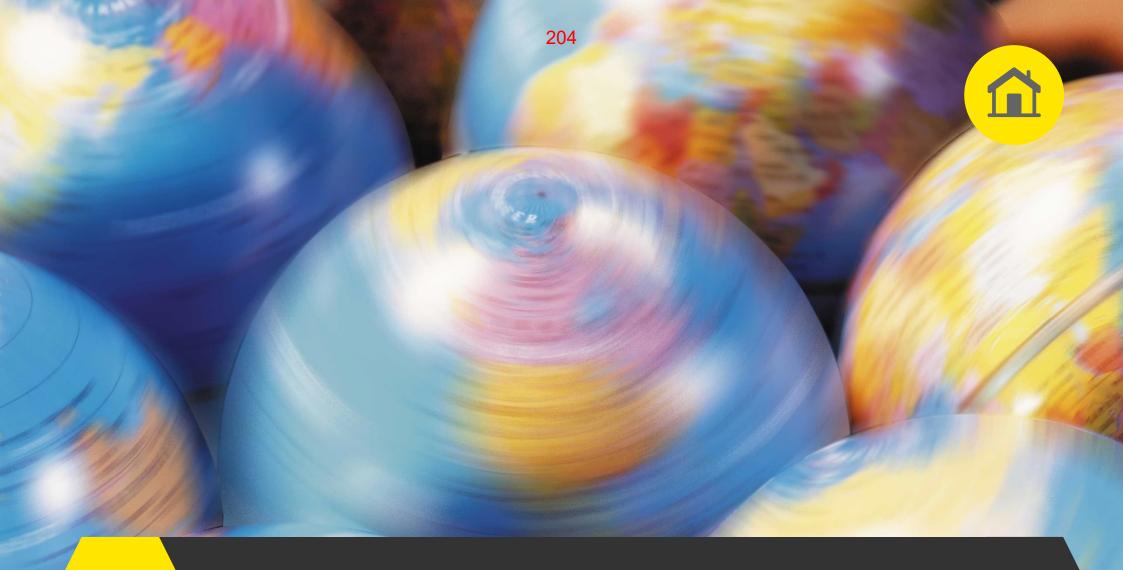
Performance materiality – the amount we use to determine the extent of our audit procedures. We have used the same basis for assessment as the prior year.

Component performance materiality range – we determine component performance materiality as a percentage of Group performance materiality based on risk and relative size to the Group.

Audit difference threshold – we propose that misstatements identified below this threshold are deemed clearly trivial. The same threshold for misstatements is used for component reporting. We will report to you all uncorrected misstatements over this amount relating to the comprehensive income and expenditure statement, balance sheet and police pension fund financial statements that have an effect on income or that relate to other comprehensive income.

Other uncorrected misstatements, such as reclassifications and misstatements in the cashflow statement and movement in reserves statement or disclosures, and corrected misstatements will be communicated to the extent that they merit the attention of the Joint Independent Audit Committee, or are important from a qualitative perspective.

Specific materiality – We can set a lower materiality for specific account balance/disclosure e.g. remuneration disclosures, related party transactions and exit packages which reflects our understanding that an amount less than our materiality would influence the economic decisions of users of the financial statements in relation to this. Where we do this we will notify you.



## 05 Scope of our audit



## Scope of our audit

## Our Audit Process and Strategy

#### Objective and Scope of our Audit scoping

Under the Code of Audit Practice, our principal objectives are to undertake work to support the provision of our audit report to the audited body and to satisfy ourselves that the audited body has made proper arrangements for securing economy, efficiency and effectiveness in its use of resources to the extent required by the relevant legislation and the requirements of the Code.

We issue an audit report that covers:

1. Financial statement audit

Our opinion on the financial statements:

- whether the financial statements give a true and fair view of the financial position of the audited body and its expenditure and income for the period in question; and
- whether the financial statements have been prepared properly in accordance with the relevant accounting and reporting framework as set out in legislation, applicable accounting standards or other direction.

Our opinion on other matters:

- whether other information published together with the audited financial statements is consistent with the financial statements; and
- where required, whether the part of the remuneration report to be audited has been properly prepared in accordance with the relevant accounting and reporting framework.

Other procedures required by the Code:

• Examine and report on the consistency of the Whole of Government Accounts schedules or returns with the body's audited financial statements for the relevant reporting period in line with the instructions issued by the NAO.

2. Arrangements for securing economy, efficiency and effectiveness (value for money)

As outlined in Section 03, we are required to consider whether the PCC and CC has put in place 'proper arrangements' to secure economy, efficiency and effectiveness on its use of resources and report a commentary on those arrangements.

## Scope of our audit

## Our Audit Process and Strategy (continued)

#### Audit Process Overview

Our audit involves:

- Identifying and understanding the key processes and internal controls; and
- Substantive tests of detail of transactions and amounts.

For 2021/22, we plan to follow a substantive approach to the audit as we have concluded this is the most efficient way to obtain the level of audit assurance required to conclude that the financial statements are not materially misstated.

#### Analytics:

We will use our computer-based analytics tools to enable us to capture whole populations of your financial data, in particular journal entries. These tools:

- · Help identify specific exceptions and anomalies which can then be subject to more traditional substantive audit tests; and
- Give greater likelihood of identifying errors than random sampling techniques.

We will report the findings from our process and analytics work, including any significant weaknesses or inefficiencies identified and recommendations for improvement, to management and the Joint Independent Audit Committee.

Internal audit:

We will review internal audit plans and the results of their work. We will reflect the findings from these reports, together with reports from any other work completed in the year, in our detailed audit plan, where they raise issues that could have an impact on the financial statements.

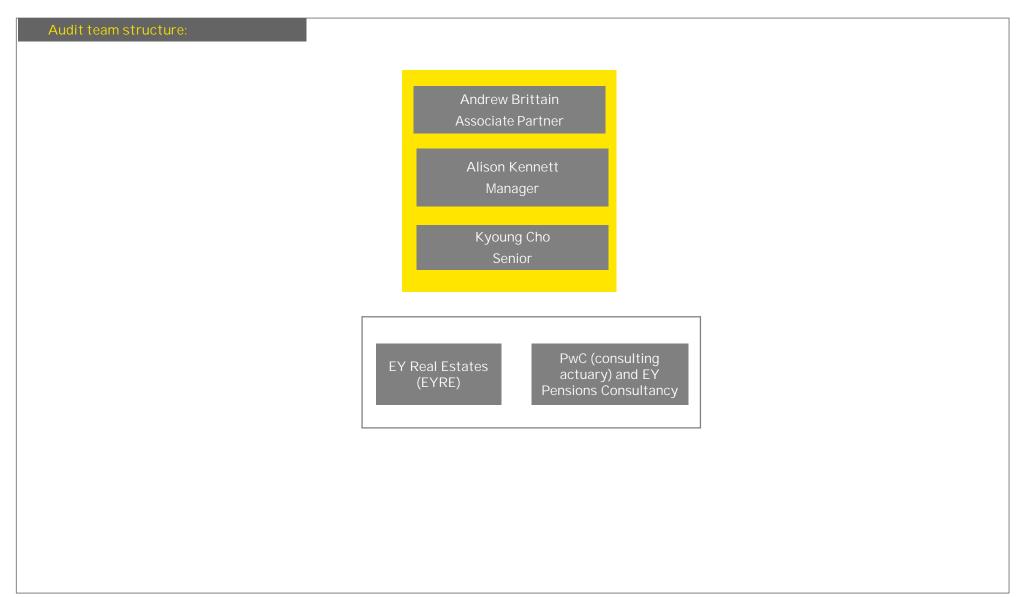




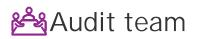


## Audit team کی

## Audit team



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## Audit team Use of specialists

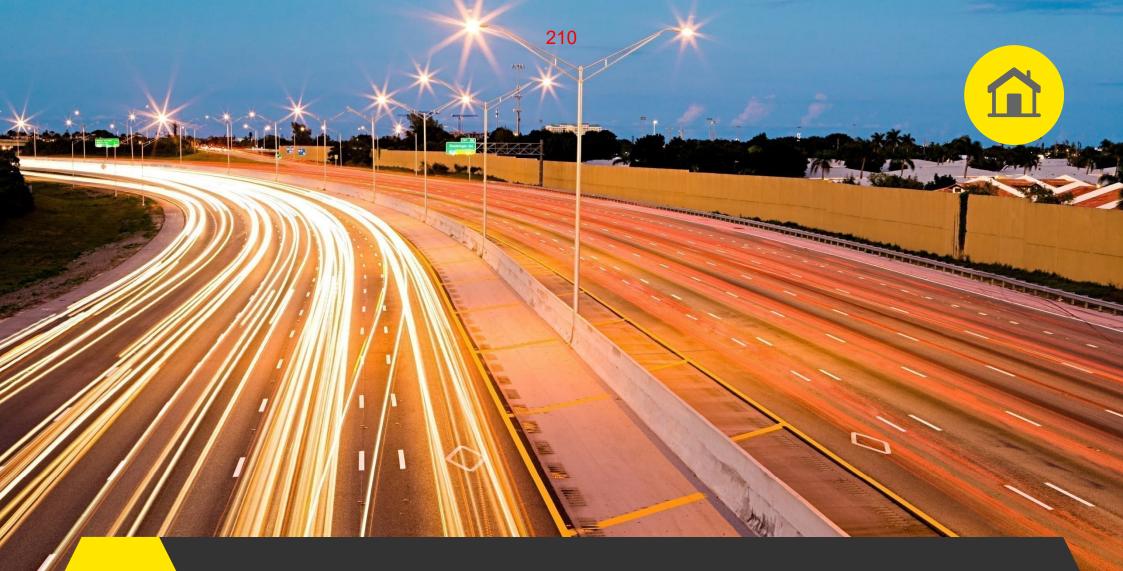
When auditing key judgements, we are often required to rely on the input and advice provided by specialists who have qualifications and expertise not possessed by the core audit team. The areas where either EY or third party specialists provide input for the current year audit are:

Area	Specialists
Valuation of land and buildingsManagement's third party specialists - Lambert Smith HamptonEY Valuations Team - EY Real Estates	
Pensions disclosure	Management's third party specialists – Barnett Waddingham and Government Actuarial Department (GAD) Grant Thornton LLP – auditor at Buckinghamshire Council Pension Fund (administrators of the Local Government Pension Scheme of which the PCC and the CC is an admitted member ) EY Pensions Consultancy and PWC (commissioned by the NAO to undertake a review of Local Government Actuaries)
Insurance fund valuation	Management's third party specialist – Marsh

In accordance with Auditing Standards, we will evaluate each specialist's professional competence and objectivity, considering their gualifications, experience and available resources, together with the independence of the individuals performing the work.

We also consider the work performed by the specialist in light of our knowledge of the PCC and CC's business and processes and our assessment of audit risk in the particular area. For example, we would typically perform the following procedures:

- Analyse source data and make inquiries as to the procedures used by the specialist to establish whether the source data is relevant and reliable;
- Assess the reasonableness of the assumptions and methods used;
- Consider the appropriateness of the timing of when the specialist carried out the work; and ٠
- Assess whether the substance of the specialist's findings are properly reflected in the financial statements. ٠



## 07 Audit timeline



## X Audit timeline

## Timetable of communication and deliverables

#### Timeline

Below is a timetable showing the key stages of the audit and the deliverables we have agreed to provide to you through the audit cycle in 201x/xx.

From time to time matters may arise that require immediate communication with the Audit Committee and we will discuss them with the Audit Committee Chair as appropriate. We will also provide updates on corporate governance and regulatory matters as necessary.

Audit phase	Timetable	Audit committee timetable	Deliverables
Initial Planning:	March 2022	Joint Independent Audit Committee	Outline Audit Plan
Risk assessment and setting of scopes.		Meeting	
Walkthrough of key systems and processes	March		
Completion of initial planning	March		
Interim audit testing	March		
	April		
	May		
Year end audit	June	Joint Independent Audit Committee	Updated Audit Plan
Audit Completion procedures		Meeting	
Year end audit	July	Joint Independent Audit Committee	Audit Results Report
Audit Completion procedures		Meeting	Audit opinions and completion certificates
	August		
	September		
	October	Joint Independent Audit Committee Meeting	Auditor's Annual Report
	November		
	*		



## 08 Independence





The FRC Ethical Standard and ISA (UK) 260 "Communication of audit matters with those charged with governance", requires us to communicate with you on a timely basis on all significant facts and matters that bear upon our integrity, objectivity and independence. The Ethical Standard, as revised in December 2019, requires that we communicate formally both at the planning stage and at the conclusion of the audit, as well as during the course of the audit if appropriate. The aim of these communications is to ensure full and fair disclosure by us to those charged with your governance on matters in which you have an interest.

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#### Required communications

#### Planning stage

#### Final stage

► The principal threats, if any, to objectivity and ▶ In order for you to assess the integrity, objectivity and independence of the firm and each covered person, independence identified by Ernst & Young (EY) we are required to provide a written disclosure of relationships (including the provision of non-audit including consideration of all relationships between services) that may bear on our integrity, objectivity and independence. This is required to have regard to you, your affiliates and directors and us; relationships with the entity, its directors and senior management, its affiliates, and its connected parties and the threats to integrity or objectivity, including those that could compromise independence that these The safeguards adopted and the reasons why they create. We are also required to disclose any safeguards that we have put in place and why they address are considered to be effective, including any such threats, together with any other information necessary to enable our objectivity and independence to Engagement Quality review; be assessed: The overall assessment of threats and safeguards; Details of non-audit/additional services provided and the fees charged in relation thereto; Information about the general policies and process ▶ Written confirmation that the firm and each covered person is independent and, if applicable, that any within EY to maintain objectivity and independence. non-EY firms used in the group audit or external experts used have confirmed their independence to us; Details of any non-audit/additional services to a UK PIE audit client where there are differences of professional opinion concerning the engagement between the Ethics Partner and Engagement Partner and where the final conclusion differs from the professional opinion of the Ethics Partner ▶ Details of any inconsistencies between FRC Ethical Standard and your policy for the supply of non-audit services by EY and any apparent breach of that policy; Details of all breaches of the IESBA Code of Ethics, the FRC Ethical Standard and professional standards, and of any safeguards applied and actions taken by EY to address any threats to independence; and • An opportunity to discuss auditor independence issues.

In addition, during the course of the audit, we are required to communicate with you whenever any significant judgements are made about threats to objectivity and independence and the appropriateness of safeguards put in place, for example, when accepting an engagement to provide non-audit services.

We ensure that the total amount of fees that EY and our network firms have charged to you and your affiliates for the provision of services during the reporting period, analysed in appropriate categories, are disclosed.

## Relationships, services and related threats and safeguards

We highlight the following significant facts and matters that may be reasonably considered to bear upon our objectivity and independence, including the principal threats, if any. We have adopted the safeguards noted below to mitigate these threats along with the reasons why they are considered to be effective. However we will only perform non –audit services if the service has been pre-approved in accordance with your policy.

#### **Overall Assessment**

Overall, we consider that the safeguards that have been adopted appropriately mitigate the principal threats identified and we therefore confirm that EY is independent and the objectivity and independence of Andrew Brittain, your audit engagement partner and the audit engagement team have not been compromised.

#### Self interest threats

A self interest threat arises when EY has financial or other interests in the PCC and CC. Examples include where we receive significant fees in respect of non-audit services; where we need to recover long outstanding fees; or where we enter into a business relationship with you. At the time of writing, there are no long outstanding fees.

We believe that it is appropriate for us to undertake those permitted non-audit/additional services set out in Section 5.40 of the FRC Ethical Standard 2019 (FRC ES), and we will comply with the policies that you have approved.

When the ratio of non-audit fees to audit fees exceeds 1:1, we are required to discuss this with our Ethics Partner, as set out by the FRC ES, and if necessary agree additional safeguards or not accept the non-audit engagement. We will also discuss this with you.

A self interest threat may also arise if members of our audit engagement team have objectives or are rewarded in relation to sales of non-audit services to you. We confirm that no member of our audit engagement team, including those from other service lines, has objectives or is rewarded in relation to sales to you, in compliance with Ethical Standard part 4.

There are no self interest threats at the date of this report.

#### Self review threats

Self review threats arise when the results of a non-audit service performed by EY or others within the EY network are reflected in the amounts included or disclosed in the financial statements.

There are no self review threats at the date of this report.

#### Management threats

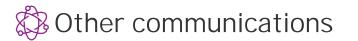
Partners and employees of EY are prohibited from taking decisions on behalf of management of the PCC and CC. Management threats may also arise during the provision of a non-audit service in relation to which management is required to make judgements or decision based on that work.

There are no management threats at the date of this report.

#### Other threats

Other threats, such as advocacy, familiarity or intimidation, may arise.

There are no other threats at the date of this report.



#### EY Transparency Report 2021

Ernst & Young (EY) has policies and procedures that instil professional values as part of firm culture and ensure that the highest standards of objectivity, independence and integrity are maintained. Details of the key policies and processes in place within EY for maintaining objectivity and independence can be found in our annual Transparency Report which the firm is required to publish by law. The most recent version of this Report is for the year end 30 June 2021: https://www.ey.com/en\_uk/about-us/transparency-report-2021



# 🖹 Appendix A

# Fees

The duty to prescribe fees is a statutory function delegated to Public Sector Audit Appointments Ltd (PSAA) by the Secretary of State for Housing, Communities and Local Government.

This is defined as the fee required by auditors to meet statutory responsibilities under the Local Audit and Accountability Act 2014 in accordance with the requirements of the Code of Audit Practice and supporting guidance published by the National Audit Office, the financial reporting requirements set out in the Code of Practice on Local Authority Accounting published by CIPFA/LASAAC, and the professional standards applicable to auditors' work.

	Planned fee 2021/22	Final Fee 2020/21
	£	£
Total Fee - Code work	78,552 (Note 1)	78,552 (Note 1)
Additional fees: (Note 2)		
- Additional work on land & buildings	TBC	-
- VFM additional procedures	TBC	10,346
- Going concern assessment & disclosure	TBC	3,858
- EY internal consultation on audit report	TBC	2,364
- Revised auditing standards for estimates	TBC	4,578
- Accounting for C-19 related grants	TBC	1,703
Total audit	TBC	101,401
Other non-audit services not covered above	-	-
Total other non-audit services	-	-
Total fees	TBC	101,401

All fees exclude VAT

(1) The scale fee increase has been agreed with officers but is yet to be determined by the PSAA. (PSAA fee £45,652 + Agreed additional scale fee £32,900 = £78,552)

(2) The 2020/21 additional fees have been agreed with officers and remain subject to approval by PSAA.

We are driving greater innovation in the audit through the use of technology. The significant investment costs in this global technology continue to rise as we seek to provide enhanced assurance and insight in the audit.

The agreed fee presented is based on the following assumptions:

- > Officers meeting the agreed timetable of deliverables;
- Our accounts opinion and value for money conclusion being unqualified;
- Appropriate quality of documentation is provided by the PCC and CC; and
- > The PCC and CC has an effective control environment.

If any of the above assumptions prove to be unfounded, we will seek a variation to the agreed fee. This will be discussed with the PCC and CC in advance.

Fees for the auditor's consideration of correspondence from the public and formal objections will be charged in addition to the scale fee.

# Required communications with the Joint Independent Audit Committee

We have detailed the communications that we must provide to the Joint independent Audit Committee.

		Our Reporting to you
Required communications	What is reported?	🗰 💡 When and where
Terms of engagement	Confirmation by the Joint Independent Audit Committee of acceptance of terms of engagement as written in the engagement letter signed by both parties.	The statement of responsibilities serves as the formal terms of engagement between the PSAA's appointed auditors and audited bodies.
Our responsibilities	Reminder of our responsibilities as set out in the engagement letter	The statement of responsibilities serves as the formal terms of engagement between the PSAA's appointed auditors and audited bodies.
Planning and audit approach	Communication of the planned scope and timing of the audit, any limitations and the significant risks identified. When communicating key audit matters this includes the most significant risks of material misstatement (whether or not due to fraud) including those that have the greatest effect on the overall audit strategy, the allocation of resources in the audit and directing the efforts of the engagement team	Outline Audit Plan, March 2022 meeting of the Joint Independent Audit Committee.
Significant findings from the audit	<ul> <li>Our view about the significant qualitative aspects of accounting practices including accounting policies, accounting estimates and financial statement disclosures</li> <li>Significant difficulties, if any, encountered during the audit</li> <li>Significant matters, if any, arising from the audit that were discussed with management</li> <li>Written representations that we are seeking</li> <li>Expected modifications to the audit report</li> <li>Other matters if any, significant to the oversight of the financial reporting process</li> </ul>	Audit results report, July 2022 meeting of the Joint Independent Audit Committee. Auditor's Annual Report, October 2022 meeting of the Joint Independent Audit Committee.

		Our Reporting to you
Required communications	What is reported?	When and where
Going concern	<ul> <li>Events or conditions identified that may cast significant doubt on the entity's ability to continue as a going concern, including:</li> <li>Whether the events or conditions constitute a material uncertainty</li> <li>Whether the use of the going concern assumption is appropriate in the preparation and presentation of the financial statements</li> <li>The adequacy of related disclosures in the financial statements</li> </ul>	Audit results report, July 2022 meeting of the Joint Independent Audit Committee.
Misstatements	<ul> <li>Uncorrected misstatements and their effect on our audit opinion, unless prohibited by law or regulation</li> <li>The effect of uncorrected misstatements related to prior periods</li> <li>A request that any uncorrected misstatement be corrected</li> <li>Material misstatements corrected by management</li> </ul>	Audit results report, July 2022 meeting of the Joint Independent Audit Committee.
Subsequent events	Enquiries of the Joint Independent Audit Committee where appropriate regarding whether any subsequent events have occurred that might affect the financial statements	Audit results report, July 2022 meeting of the Joint Independent Audit Committee.
Fraud	<ul> <li>Enquiries of the Joint Independent Audit Committee to determine whether they have knowledge of any actual, suspected or alleged fraud affecting the entity</li> <li>Any fraud that we have identified or information we have obtained that indicates that a fraud may exist</li> <li>Unless all of those charged with governance are involved in managing the entity, any identified or suspected fraud involving: <ul> <li>a. Management;</li> <li>b. Employees who have significant roles in internal control; or</li> <li>c. Others where the fraud results in a material misstatement in the financial statements</li> </ul> </li> <li>The nature, timing and extent of audit procedures necessary to complete the audit when fraud involving management is suspected</li> <li>Any other matters related to fraud, relevant to Joint Independent Audit Committee responsibility</li> </ul>	Audit results report, July 2022 meeting of the Joint Independent Audit Committee.

		Our Reporting to you
Required communications	What is reported?	When and where
Related parties	<ul> <li>Significant matters arising during the audit in connection with the entity's related parties including, when applicable:</li> <li>Non-disclosure by management</li> <li>Inappropriate authorisation and approval of transactions</li> <li>Disagreement over disclosures</li> <li>Non-compliance with laws and regulations</li> <li>Difficulty in identifying the party that ultimately controls the entity</li> </ul>	Audit results report, July 2022 meeting of the Joint Independent Audit Committee.
Independence	<ul> <li>Communication of all significant facts and matters that bear on EY's, and all individuals involved in the audit, objectivity and independence</li> <li>Communication of key elements of the audit engagement partner's consideration of independence and objectivity such as: <ul> <li>The principal threats</li> <li>Safeguards adopted and their effectiveness</li> <li>An overall assessment of threats and safeguards</li> <li>Information about the general policies and process within the firm to maintain objectivity and independence</li> </ul> </li> <li>Communication whenever significant judgements are made about threats to objectivity and independence</li> <li>Communication whenever significant judgements, communication of minimum requirements as detailed in the FRC Revised Ethical Standard 2019:</li> <li>Relationships between EY, the PCC and CC and senior management, its affiliates and its connected parties</li> <li>Services provided by EY that may reasonably bear on the auditors' objectivity and independence</li> <li>Related safeguards</li> <li>Fees charged by EY analysed into appropriate categories such as statutory audit fees, tax advisory fees, other non-audit service fees</li> </ul>	

		Our Reporting to you
Required communications	What is reported?	When and where
	<ul> <li>A statement of compliance with the Ethical Standard, including any non-EY firms or external experts used in the audit</li> <li>Details of any inconsistencies between the Ethical Standard and Group's policy for the provision of non-audit services, and any apparent breach of that policy</li> <li>Details of any contingent fee arrangements for non-audit services</li> <li>Where EY has determined it is appropriate to apply more restrictive rules than permitted under the Ethical Standard</li> <li>The Joint Independent Audit Committee should also be provided an opportunity to discuss matters affecting auditor independence</li> </ul>	
External confirmations	<ul> <li>Management's refusal for us to request confirmations</li> <li>Inability to obtain relevant and reliable audit evidence from other procedures</li> </ul>	Audit results report, July 2022 meeting of the Joint Independent Audit Committee.
Consideration of laws and regulations	<ul> <li>Subject to compliance with applicable regulations, matters involving identified or suspected non-compliance with laws and regulations, other than those which are clearly inconsequential and the implications thereof. Instances of suspected non-compliance may also include those that are brought to our attention that are expected to occur imminently or for which there is reason to believe that they may occur</li> <li>Enquiry of the Joint Independent Audit Committee into possible instances of non-compliance with laws and regulations that may have a material effect on the financial statements and that the Joint Independent Audit Committee may be aware of</li> </ul>	Audit results report, July 2022 meeting of the Joint Independent Audit Committee.
Internal controls	Significant deficiencies in internal controls identified during the audit	Audit results report, July 2022 meeting of the Joint Independent Audit Committee.

		Our Reporting to you
Required communications	What is reported?	When and where
Representations	Written representations we are requesting from management and/or those charged with governance	Assurance Letter to be received shortly after year-end
Material inconsistencies and misstatements	Material inconsistencies or misstatements of fact identified in other information which management has refused to revise	Audit results report, July 2022 meeting of the Joint Independent Audit Committee.
Auditors report	Any circumstances identified that affect the form and content of our auditor's report	Audit results report, July 2022 meeting of the Joint Independent Audit Committee. Auditor's Annual Report, October 2022 meeting of the Joint Independent Audit Committee.
Fee Reporting	<ul> <li>Breakdown of fee information when the audit plan is agreed</li> <li>Breakdown of fee information at the completion of the audit</li> <li>Any non-audit work</li> </ul>	Outline Audit Plan, March 2022 meeting of the Joint Independent Audit Committee. Audit results report, July 2022 meeting of the Joint Independent Audit Committee.
Value for Money	<ul> <li>Risks of significant weakness identified in planning work</li> <li>Commentary against specified reporting criteria on the VFM arrangements, including any exception report on significant weaknesses.</li> </ul>	Outline Audit Plan, March 2022 meeting of the Joint Independent Audit Committee. Audit results report, July 2022 meeting of the Joint Independent Audit Committee. Auditor's Annual Report, October 2022 meeting of the Joint Independent Audit Committee.

# 🖹 Appendix C

# Additional audit information

#### Objective of our audit

Our objective is to form an opinion on the PCC and CC financial statements under International Standards on Auditing (UK) as prepared by you in accordance with with International Financial Reporting Standards as adopted by the EU, and as interpreted and adapted by the Code of Practice on Local Authority Accounting.

Our responsibilities in relation to the financial statement audit are set out in the formal terms of engagement between the PSAA's appointed auditors and audited bodies. We are responsible for forming and expressing an opinion on the financial statements that have been prepared by management with the oversight of the Joint Independent Audit Committee. The audit does not relieve management or the Joint Independent Audit Committee of their responsibilities.

#### Other required procedures during the course of the audit

In addition to the key areas of audit focus outlined in section 2, we have to perform other procedures as required by auditing, ethical and independence standards and other regulations. We outline the procedures below that we will undertake during the course of our audit.

#### Our responsibilities required Identifying and assessing the risks of material misstatement of the financial statements, whether due to fraud or error, design and by auditing standards perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for our opinion. Obtaining an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the PCC and CC's internal control. Evaluating the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by management. Concluding on the appropriateness of management's use of the going concern basis of accounting. Evaluating the overall presentation, structure and content of the financial statements, including the disclosures, and whether the financial statements represent the underlying transactions and events in a manner that achieves fair presentation. Obtaining sufficient appropriate audit evidence regarding the financial information of the entities or business activities within the PCC and CC to express an opinion on the consolidated financial statements. Reading other information contained in the financial statements, the Joint Independent Audit Committee reporting appropriately addresses matters communicated by us to the Joint Independent Audit Committee and reporting whether it is materially inconsistent with our understanding and the financial

• Maintaining auditor independence.

statements; and

# Appendix C

# Additional audit information (continued)

Other required procedures during the course of the audit (continued)					
Procedures required by the Audit Code • Reviewing, and reporting on as appropriate, other information published with the financial statements, including the Ann Governance Statement.					
	<ul> <li>Examining and reporting on the consistency of consolidation schedules or returns with the PCC and CC's audited financial statements for the relevant reporting period</li> </ul>				
Other procedures	• We are required to discharge our statutory duties and responsibilities as established by the Local Audit and Accountability Act 2014 and Code of Audit Practice				
We have included in Appendix	Dia list of matters that we are required to communicate to you under professional standards				

We have included in Appendix B a list of matters that we are required to communicate to you under professional standards.

#### Purpose and evaluation of materiality

For the purposes of determining whether the accounts are free from material error, we define materiality as the magnitude of an omission or misstatement that, individually or in the aggregate, in light of the surrounding circumstances, could reasonably be expected to influence the economic decisions of the users of the financial statements. Our evaluation of it requires professional judgement and necessarily takes into account qualitative as well as quantitative considerations implicit in the definition. We would be happy to discuss with you your expectations regarding our detection of misstatements in the financial statements.

Materiality determines the level of work performed on individual account balances and financial statement disclosures.

The amount we consider material at the end of the audit may differ from our initial determination. At this stage, however, it is not feasible to anticipate all of the circumstances that may ultimately influence our judgement about materiality. At the end of the audit we will form our final opinion by reference to all matters that could be significant to users of the accounts, including the total effect of the audit misstatements we identify, and our evaluation of materiality at that date.

#### EY | Assurance | Tax | Transactions | Advisory

#### About EY

EY is a global leader in assurance, tax, transaction and advisory services. The insights and quality services we deliver help build trust and confidence in the capital markets and in economies the world over. We develop outstanding leaders who team to deliver on our promises to all of our stakeholders. In so doing, we play a critical role in building a better working world for our people, for our clients and for our communities.

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#### ED None

This material has been prepared for general informational purposes only and is not intended to be relied upon as accounting, tax, or other professional advice. Please refer to your advisors for specific advice.

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# Risk Management and Business Continuity Introduction

Effective risk management and business continuity management are parts of the foundations of good governance. A sound understanding of risks and their management is essential if Thames Valley Police (TVP) is to achieve its objectives, use resources effectively, and identify and exploit new business opportunities. Such risks include risks to the interruption of business continuity. Consequently, in common with all significant public and private sector bodies, the Force has established frameworks for ensuring that areas of risk and business continuity are identified and managed appropriately across its activities.

TVP's Risk Management approach derives from the principles and guidelines set out in ISO31000:2018 (Risk Management) and the National Decision Model. The key TVP governance documents are: Risk Management Strategy & Framework (October 2021); and Risk Management Policy (July 2021).

TVP's Business Continuity Management approach derives from the principles and guidelines set out in ISO22301:2019 (Security and Resilience – Business Continuity Management) and the National Decision Model. The key TVP governance documents are: Business Continuity Management Strategy & Framework (October 2021); and Business Continuity Management Policy (April 2021).

The Risk Management and Business Continuity central functions within the Strategic Governance Unit (SGU) form part of the Deputy Chief Constable's portfolio.

Ongoing scanning by SGU, including reviews of departmental and operational risk registers, enables the identification of strategic risks that are then assessed and scored with relevant business leads. The product of this process, including recommended actions, is presented to the CCMT Force Risk Management Group (FRMG). The FRMG considers and makes corporate decisions in relation to those risks and recommendations. Strategic risks can be either longerterm, fundamental risks of strategic importance or shorter-term, operational risks that have a very substantial impact or likelihood. In some instances, strategic risks may have crystallised and become issues. Such issues have customarily been included in this report as risks; for this particular report, we have attempted to show issues more distinctly.

This Report further provides the information necessary for the Joint Independent Audit Committee (JIAC) to fulfil its function effectively. JIAC members are also welcome to review both the Force and local risk registers, or specific risk entries, by arrangement with the SGU team, who will arrange access to the live documents at Force headquarters.





### **Risk Assessment Strategic Context**

#### COVID-19

In February, the Government published "COVID-19 Response: Living with COVID-19", which directs that remaining domestic restrictions in England be removed (mostly from 24 February 2022), leaving basic guidance to reduce the risk of catching and spreading in future (viz. vaccination, fresh air, face covering in crowded, enclosed spaces). Infection rates have remained relatively high over recent months (around 5% of the public aged 12+ years were assessed to have been infected in the weekly ONS survey in February; this reduced to 2.9% in the last week of April and should continue to reduce) although the rates of severe symptoms and hospitalisation have been relatively low. Options such as further booster vaccinations and new restrictions may be decided by the Government should circumstances require. This is not to say that there are no longer any COVID-19 concerns for TVP. From a health and welfare perspective, management will continue to monitor the general situation and recommend appropriate steps should they be necessary. In addition, some individuals have "long COVID" symptoms that need to be taken into account.

In consequence, TVP has updated its Operational Guidance and given due consideration to the measures previously taken to enable police officers and staff to continue to provide a resilient policing service. There has been a cautious and careful call for employees who have been working from home to return to police workplaces for at least some of their working time.

Op Restore was stood down at the end of March 2022 and operations and oversight have moved back to business-as-usual processes and responsibilities. A final review of Op Restore risks was undertaken on 24 March 2022 and it was agreed that business-as-usual operational risk management would be sufficient to cover anything that might arise in relation to COVID-19 in future and that the COVID-19 risks could be closed.

Recommendation: In line with the decision regarding closure of Op Restore, the various COVID-19 related risks on the Strategic Risk register are recommended for closure. This has been agreed at CCMT.

#### For noting, these risks are:

- SR 87 COVID-19 critical activities
- SR 88 COVID-19 BAU and change activities
- SR 89 COVID-19 staff welfare and wellbeing
- SR 90 COVID-19 change in policing demand
- SR 91 COVID-19 remote working
- SR 92 COVID109 recovery of services





- SR 93 COVID-19 unintended legal and regulatory breaches
- SR 94 COVID-19 reputation and public confidence

# **Emerging Trends**

### **HMICFRS PEEL Report for TVP**

On 28 April 2022, the HMICFRS published its report setting out findings and areas for improvement from its PEEL inspection. From a risk perspective, most of the findings were positive (i.e. graded *Good* or *Adequate*), but there were two areas graded as *Requires Improvement* that CCMT may wish to track through Strategic Risks:

1. "*TVP requires improvement at operating efficiently*" – for noting, the outgoing HM Chief Inspector of Constabulary (Tom Winsor) has pointed out this out as a national area of concern in his recent State of Policing report.

#### Recommendation: To adopt a strategic risk. See below for details. This has been agreed by CCMT.

2. TVP requires improvement at responding to the public"

Recommendation: Review progress of improvement activities in next quarter but consideration to escalate if necessary.

### Violence Against Women and Girls (VAWG)

VAWG is a key area of concern nationally and locally. All police forces and the criminal justice system face major challenges to improve outcomes and support for victims substantially over the coming years. Further to the Policing VAWG national framework document published in December 2021, the NPCC published in April 2022 a VAWG outcomes and performance framework. The first national performance report (which will include TVP data) is due to be published in November 2022. In March 2023, the NPCC plans to publish a strategic threat and risk assessment. In May 2023, the second national performance report is due to be published.





Recommendation: For VAWG to be added to risk radar so to monitor and potential strategic risks. This has been agreed by CCMT.

#### **Neighbourhood Policing Resilience**

Neighbourhood policing resilience is increasingly becoming a concern. There is already a strategic risk around protected learning time and more recently in the HMICFRS PEEL inspection, understanding neighbourhood abstractions has been raised as an area for improvement. In addition, we are seeing a reduction in PCSOs due to the opening of IPLDP entry route into policing and are likely to see this trend continue for some months. There is going to be increasingly stretched neighbourhood teams and further resilience issues are likely.

Recommendation: Due to continued pressures on neighbourhood policing and abstractions CCMT have requested this is to be escalated from an emerging risk to a strategic risk in the next quarter. Agreed by CCMT.

### **Global Context – Potential Futures Risks**

#### Conflict between Russia and Ukraine – Global Inflation

The Bank of England has summarised its latest view (Monetary Policy Report, 5 May 2022) as: "Global inflationary pressures have intensified sharply following Russia's invasion of Ukraine. This has led to a material deterioration in the outlook for world and UK growth. These developments have exacerbated greatly the combination of adverse supply shocks that the United Kingdom and other countries continue to face. Concerns about further supply chain disruption have also risen, both due to Russia's invasion of Ukraine and to Covid-19 developments in China."

- There is the potential for further supply chain issues that may directly impact upon TVP's procurement of goods.

#### **Cost of Living Increases**

The very rapid and significant increase in cost of living/inflation will have a direct impact on organisations too and this will directly impact on short and medium term budget plans.

- The cost of fuel and goods.





- Increases to the costs of borrowing and mortgages and variable interest rate changes.
- Unemployment may increase.
- Impact on public behaviours; potential to impact crime, disorder and policing demands.
- Impact on officers and staff directly.

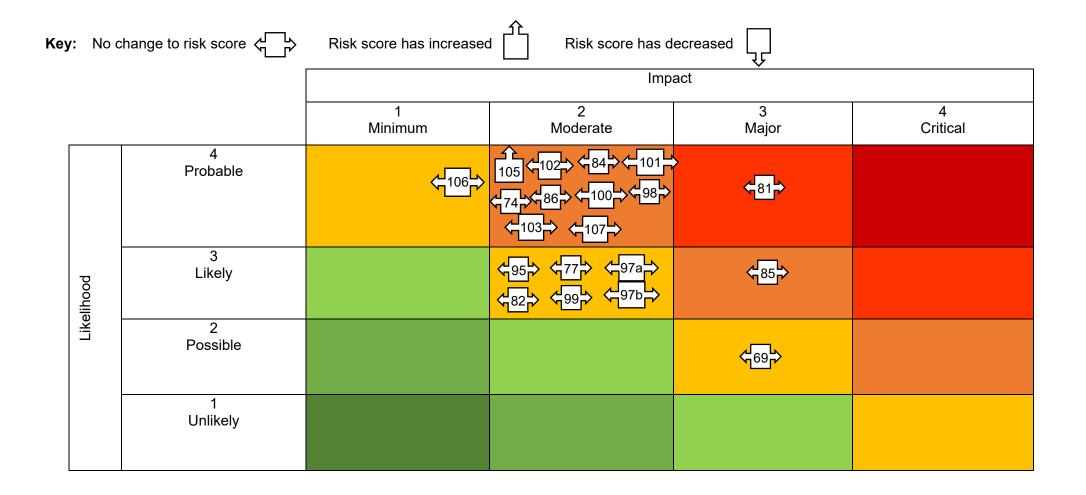
# **Risk Heat Map**

This map identifies the current strategic risks, and maps them in terms of priority based on current risk scores. The main movements since the last assessment (as at end-January 2022) are as follows: SR 107 (Contractor Appointment) following agreement to include as a new risk; SR 105 (ICT Resourcing) has an increased score; SR 99 (Crime Data Integrity) is closed as a Strategic Risk following assurance from an HMICFRS inspection; SR 97 (Missing & Exploitation) has been split into two separate risks (SR 97a and SR 97b) to enable clearer focus on the different aspects as agreed with CCMT.

THAMES VALLEY

POLICE









### **Overview of the Strategic Risks**

The table below shows the direction of travel of each risk score and the current risk management status as considered by risk owners and to be reviewed and agreed by the FRMG.

Risk	Previous Risk Score (I x L)	Current Risk Score (I x L)	Trend	Risk Owner	Date raised	Current Risk Action
<u>SR 81 – ESMCP (Emergency Services Mobile</u> Communications Programme) Finance	<b>12</b> (3x4)	<b>12</b> (3x4)		ACC Akehurst	Aug 2019	TREAT
<u>SR 98 - Custody</u>	<b>11.2</b> (2.8x4)	<b>11.2</b> (2.8x4)		ACC Murray	Feb 2021	TREAT
<u>SR 103 – Disclosure</u>	<b>11.2</b> (2.8x4)	<b>11.2</b> (2.8x4)		ACC Murray	July 2021	TREAT
SR 101 – IIOC Referrals	<b>10.7</b> (2.7x4)	<b>10.7</b> (2.7x4)		ACC Murray	July 2021	TREAT
<u>SR 100 – Court backlog</u>	<b>10</b> (2.5x4)	<b>10</b> (2.5x4)		ACC Murray	Apr 2021	TREAT
SR 85 - CSI Accreditation	<b>9</b> (3x3)	<b>9</b> (3x3)		ACC Murray	Feb 2020	TREAT
SR 102 – Public Protection Unit (PPU) demand	<b>8.4</b> (2.1x4)	<b>8.4</b> (2.1x4)		ACC Murray	July 2021	TREAT
SR 84 – Predicted abstraction rates	<b>8</b> (2x4)	<b>8</b> (2x4)		ACC De Meyer	Aug 2019	TREAT
SR 86 - Retention	<b>8</b> (2x4)	<b>8</b> (2x4)		T/ACO Kirby	Oct 2017	TREAT
SR 74 - Recruitment	<b>8</b> (2x4)	<b>8</b> (2x4)		T/ACO Kirby	Oct 2017	TREAT
<u>SR 105 – ICT Resourcing</u>	<b>6</b> (2x3)	<b>8</b> (2x4)		ACO Lattanzio	July 2021	TREAT
<u>SR 95 - MASH backlog</u>	<b>7.5</b> (2.5x3)	<b>7.5</b> (2.5x3)		ACC Murray	Aug 2020	TREAT





SR 69 - Funding	<b>7.5</b> (3x2.5)	<b>7.5</b> (3x2.5)	ACO Waters	Jan 2015	TREAT
<u>SR 97a – Missing</u>	<b>7.5</b> (2.5x3)	<b>7.5</b> (2.5x3)	ACC Murray	Nov 2020	TREAT
<u>SR 97b – Exploitation</u>	<b>7.5</b> (2.5x3)	<b>7.5</b> (2.5x3)	ACC Murray	Nov 2020	TREAT
SR 77 - Released Under Investigation (RUI)	<b>6</b> (2x3)	<b>6</b> (2x3)	ACC Murray	Sept 2018	TREAT
SR 82 - ESMCP Technical	<b>6</b> (2x3)	<b>6</b> (2x3)	ACC Akehurst	Aug 2019	TREAT
SR 106 - Management of information assets in regional policing units	<b>6.8</b> (1.7x4)	<b>6.8</b> (1.7x4)	ACO Lattanzio	Dec 2021	TREAT
<u>SR 107 – Contractor Appointment</u>	<b>8</b> (4x2)	<b>8</b> (4x2)	ACO Waters/ T/ACO Kirby	Feb 2022	TREAT

For noting: Following CCMT meeting, ESMCP Finance (SR81) and ESMCP Technical (SR82) will be merged into one overcharging strategic risk on ESMCP. This risk will be reviewed for the next quarter and the owner will change to ACC Akehurst.

#### **COVID Strategic Risks – for closure**

This document sets out the eight Strategic Risks added in 2020 in response to the COVID-19 pandemic and the risks faced by TVP as a consequence. The risk scores (impact x likelihood) shown in the table below relate to when each particular risk was last reviewed (ranging from mid-2021 to January 2022). Were these risks to have been formally reassessed in the last period, they would have either remained unchanged or reduced.

Risk	Risk Score when last assessed (Impact x Likelihood)
SR 87 - COVID-19 - Critical activities	<b>3</b> (3x1)
SR 88 – COVID-19 BAU and Change activities	<b>1.5</b> (1.5x1)





SR 89 - COVID-19 - Staff welfare and wellbeing	<b>6</b> (3x2)
SR 90 - COVID-19 - Change in policing demand	<b>3</b> (3x1)
SR 91 - COVID-19 - Remote working	<b>4.4</b> (2.2x2)
SR 92 - COVID-19 - Recovery of services	<b>2</b> (2x1)
SR 93 - COVID-19 - Unintended legal and regulatory breaches during COVID-19.	<b>2</b> (2x1)
SR 94 - COVID-19 - Reputation and public confidence damaged	<b>4</b> (2x2)

### Strategic Risk Summary

This report contains updates for the period 1 February 2022 – 30 April 2022, the nearest quarter/month end to the May CCMT meeting. The report reflects the statistical and narrative information available at the month end. Any more recent matters requiring CCMT input may also be included. All supporting documents (for example, Programme Board risk registers and additional papers) can be made available.

Scoring of a strategic risk is based on the 4x4 matrix (see <u>Appendix A</u>), and the direction of travel and the risk scores from the last quarter are included to provide an indication of the magnitude and direction of any change. All risks have been scored with input from the nominated risk owners, or risk leads where this responsibility has been delegated, and the SGU risk lead.

As noted in the introduction, in line with Op Restore being stood down, the previous risks that were related to COVID-19 have been closed and are no longer reported; for noting, their scores were all been relatively low at the point of closure. In addition, following assurance findings from an HMICFRS inspection, it has been decided that risk SR 99 (Crime Data Integrity) can be closed and this has been removed from the report.

The following two new risks have been adopted by CCMT for inclusion on the Strategic Risk register:

• There is a risk that TVP fails to recruit and maintain sufficient police officers to meet Uplift targets over the medium to longer term.





• Increases in demand as well as an escalation of volume and complexity of that demand, could overwhelm officers and staff unless TVP is operating as efficiently as possible. Short, medium and long term considerations are needed to ensure there is capacity and capability to deal with the demands.

Proposed risk:	There is a risk that TVP fails to recruit and maintain sufficient police officers to meet Uplift targets over the medium to longer term.	Proposed risk owners: Risk score: (impact x likelihood)	T/ACO Kirby 6 (3x2)	
Cause:		Consequence	s:	
<ul> <li>Insufficie</li> <li>Higher p</li> <li>from the</li> <li>Higher n</li> </ul>	o attract sufficient applicants, over the longer term. ent proportion of applicants are capable and appointed. proportion than expected of police officers seeking retirement Force. numbers of non-retiring leavers than expected (whether to elsewhere or exit policing careers)	<ul> <li>Additional effort to promote policing careers.</li> <li>Pressure on recruitment function.</li> <li>Pressure on remuneration packages.</li> <li>Additional effort to focus on factors conducive to police officer satisfaction and organisational belonging.</li> </ul>		
Current Miti		-	Owner	Completion date
Continuation	Continuation and strengthening of existing activities in respect of Uplift and recruitment.			In progress
Future Mitig	ations			

			DCC Hogg
risk:	complexity of that demand, could overwhelm officers and staff	risk owners:	
	unless TVP is operating as efficiently as possible. Short,	Risk score:	
	medium and long term considerations are needed to ensure	(impact x	
	there is capacity and capability to deal with the demands.	likelihood)	







Cause:	Consequences:		
Increases in volume and complexity of demand are creating unmanageable workloads across departments.	This is having an impact on our ability to function efficiently and effectively and is also having an impact on the wellbeing of staff and officers.		
Two areas for improvement have been noted on this in the recent HMICFRS PEEL Inspection for TVP.			
Current Mitigations	L	Owner	Completion date
Managing Frontline Demand programme – short term programme of works.		C/Supt Bunt	In progress
Service Delivery and Crime Management Review programme - medium term		Ed Herridge	
Force Review – long term	C/Supt Paine		
Future Mitigations			





### Important areas to note

The table below summarise the updates provided on the strategic risks covered in this report.

Risk	Previous risk score	Current risk score	Risk Owner / Lead	Latest Mitigation Status
<u>SR 69 - Funding</u>	<b>7.5</b> (3x2.5)	<b>7.5</b> (3x2.5)	ACO Waters	The funding for 2022/23 has been agreed. With the increase in council tax precept of £10 and with continued government support for the PUP, the force is a good position to continue to provide and improve the policing service to our communities over the next year. Hence the funding risk for the next 12 months has been removed and for the following 12 months the risk level is significantly reduced.
				The CSR has provided clarity on the level of government funding over the next 3 years and the flexibility for the PCC to increase council tax precept. The PCC has only approved the £10 increase in council tax precept of 2022/23, so there is a risk relating to the following 2 years if the full £10 increase is not again approved, with cuts/savings would consequentially be required. There are also potential significant risks going forward in relation to the level of inflation and particularly pay awards and the financial impact on the organisation. This risk therefore increases with time as the level of uncertainty and the potential financial impact increases; 2023/24 sees a higher risk to our service levels than 2022/23, and likewise 2024/25. Beyond 2025/26, we do not have visibility of the level of Government funding or the flexibility the PCC may or may not have in relation to Council Tax hence the risk in year 4 onwards is significant.





				complexity or scope. Based on current assumptions, funds may not be sufficient beyond 2023 to avoid additional cuts. The savings required to mitigate any funding shortfalls may affect service level provision.
<u>SR 74 – Recruitment</u>	<b>8</b> (2x4)	<b>8</b> (2x4)	T/ACO Kirby	This risk has not changed since its last review date. However, it has been updated to reflect the recruitment risk outside of the Police Uplift Programme (officer recruitment) and staff recruitment in ICT. The force continues experience significant difficulties in recruiting to police staff roles in particular, resulting in the force carrying significant police staff vacancies (230 FTE vacancies).
				Proportionally, the largest number of vacancies are held in Force Crime (Forensics), and LP due to moving internal PCSO applicants onto March officer intakes (32) and insufficient numbers available on PCSO intakes this year. PCSO recruitment remains open with a targeted attraction campaign to increase the number of applicants and new joiners.
				The People Directorate is reviewing the force's approach to police staff recruitment, reward and conditions with a view to identifying changes that will improve attraction to the force. The force will also examine how it can better utilise a vacancy factor for both officers and staff to manage overall establishment. However, recruiting police staff in the current economic environment remains particularly challenging.
SR 81 ESMCP Finance	<b>12</b> (3x4)	<b>12</b> (3x4)	ACO Simkin / ACO Waters	The Integrated Programme Plan (IPP) Version 5/6 from the national programme was due March 2022. IPP Version 4.5 now expected during Q2 2022 but not expected to have sufficient detail to enable mobilisation. Further IPP v5 / 6 will be released once re-lotting negotiations and Competition & Markets Authority (CMA) review complete. Delay to Gate 5 (ready for deployment) on ESN Beta to February 2023.
				National Programme indicating that there will be an impact on ESN Version 1 delivery date of 6-12 months due to ongoing National supplier re-lotting and





				<ul> <li>CMA investigation (draft report due approx. June and formal report July/August 2022.)</li> <li>IPP Version 7 will provide the plan until the end of transition, which will be a collaborative piece of work with UO's, rather than being issued from the centre. There is no firm delivery date yet.</li> <li>Linda Waters sits on the National Finance Reference Group to influence and report back as necessary on the overall direction of the costs for ESMCP.</li> </ul>
<u>SR 84 - Abstraction</u>	<b>8</b> (2x4)	8 (2x4)	T/ACO Kirby	Although the force is starting to see small but consistent improvements to deployability, the risk scoring for this risk has not changed. T&R has a dynamic forecast model for all ICR abstractions across the force until Nov 2023 and is using this data to guide response actions. A range of immediate activities to increase deployable personnel and support response delivery to the public are being implemented via the ICR Programme T&R Work Stream. These include: Temporary backfill into ICR from non-ICR functions with rotas being populated to Nov 22; Standing down of the force's Op Reserve; The return of over 60 seconded officers to ICR (Jan to Mar); Consistent application of the 90 day rule for movement off ICR with capacity to extend where necessary; Prioritising release of officers from ICR to other force functions and releasing officers when they can be replaced by a new/student officer where possible; Working with JOU around various 'weeks of action' which require ICR support or overtime and training schedules where this is a draw on resilience. +75% of Inspectors have also been returned to the PACE rota, reducing the abstraction impact on ICR Inspectors.





<u>SR 85 - CSI</u> <u>Accreditation</u>	<b>9</b> (3x3)	<b>9</b> (3x3)	Kay Hannam/ ACC Murray	<ul> <li>all LP functions with a view that this methodology can be applied to other areas of the force.</li> <li>Potential deployability risks to other areas of the organisation are being mitigated by the Uplift project and T&amp;R by prioritising the release of officers for Uplift posts.</li> </ul>
SR 86 Retention	<b>8</b> (2x4)	<b>8</b> (2x4)	T/ACO Kirby	
<u>SR 100 – Court backlog</u>	<b>10</b> (2.5x4)	<b>10</b> (2.5x4)	D/Supt Kirby	In summary, as the pandemic evolves TVP have been made aware that the courts across the Thames & Chiltern (TVP, Beds & Herts) area are recovering at a slower rate than the rest of the country. This slower rate of recovery is now improving and recent data shows the area being much closer to the national average. The rate in the Magistrates Courts will be further mitigated by an intensive Trial Blitz period during the first two weeks of November at High Wycombe and Reading. The wording of the risk was previously amended to include the Magistrates Court to reflect the backlog concern of a high volume of ongoing cases. A Recovery and Trial Blitz plan has driven many of the improvements necessary to address the backlog and this continues to be monitored through fortnightly CJS Bronze calls. Crown Court volumes have stabilised, now reducing and capacity has significantly increased from levels pre-COVID / Reduced Sitting Days to early 2019 levels. This is allowing far more trials to be listed and heard than previously was the case. There is high demand nationally on Judicial Recorder's (Judges) availability to sit in the extra Crown Court capacity, which in Thames Valley is hampering full trial loadings and impacting on the Witness Care Unit, who have warned





wł	the relevant witnesses, but then have to cancel the witness attendance nen a trial is cancelled at late notice. The case is then having to be ljourned and re-listed.
co the ha rel ve	PS had highlighted that the volume of repeated adjournments was ontributing to the backlogs, which they had identified some being linked to e number of late files and further work submissions received from TVP. This as been a significant focus on Police teams with support through the latively new Justice Gateway and improvements are being noted. CPS main robust to avoid constantly chasing and reworking the case files and e continue to monitor the volume of case discontinuances with the sociated impact on victim satisfaction, risk management and safeguarding.
	/P continue to chair the weekly CJS Bronze Group which has been actively orking on the multi-agency recovery action plan which is currently focusing n:
	<ul> <li>HWMC and week 2 RMC)</li> <li>Focus on prioritisation of vulnerable cases – included in the Trial Blitz and beyond.</li> <li>Improving PSR writing and sentencing to reduce backlog of incomplete cases – TV Probation still struggling with 'in court' resources and timeliness of report writing.</li> <li>Work to address adjournment culture – CPS being more robust in court.</li> </ul>

# POLICE



				The TVP Witness Care Unit has successfully recruited a dedicated RaSSO Witness Care Officer to provide focused support to victims and witnesses in these cases to mitigate the impact of delay and associated disengagement
SR 85 CSI Accreditation	9 (3x3)	9 (3x3)	Kay Hannam/ ACC Murray	<ul> <li>Following a UKAS assessment of the CSI department (Aylesbury), TVP failed to be recommended for accreditation to the ISO standard 17020. The Forensic Regulator requires CSI units to be accredited by October 2020. A revisit by UKAS was planned for Summer 2020; however, due to COVID-19, this was delayed to April 2021. This date had been further extended to October 2021 and CSI was looking to move their assessment date to June/July 2021. UKAS has now postponed this assessment and we await further instructions from UKAS/FSR as to the revised planned timings. Recruitment of roles into the CSI and Quality team continues to address the shortfall experienced. Progress towards accreditation remains steady with some challenges around COVID-19 restrictions.</li> <li>FSR has extended the deadline to October 2022 and CSI remain on track to meet this target.</li> </ul>
<u>SR 105 – ICT</u> <u>Resourcing</u>	<b>6</b> (2x3)	<b>8</b> (2x4)	ACO Lattanzio	Noticeable increase in difficulty in recruiting due to widening salary gaps in some "hot skills" area mainly the technical areas. Some attrition due to much higher salaries available in private sector.





### **Risk Radar**

#### **Cyber Attacks**

Although not yet specified as a Strategic Risk, discussions over recent weeks have highlighted a significant national threat of **malicious cyber attacks**; TVP would be vulnerable to such attacks. Mike Lattanzio has set up a new Cyber Threat and Response Management Board which will help to assess risks and oversee the adequacy of mitigation measures. This covers Hampshire constabulary as well as TVP. Further work is planned and it is expected that a new Strategic Risk will be proposed in due course.

#### Violence Against Women and Girls (VAWG)

VAWG is a key area of concern nationally and locally. All police forces and the criminal justice system face major challenges to improve outcomes and support for victims substantially over the coming years.

#### **Neighbourhood Policing Resilience**

Neighbourhood policing resilience is increasingly becoming a concern, combined with the HMICFRS AFI on neighbourhood abstractions and PCSO attrition due to IPLDP, we are likely going to see further challenges. This will be escalated to a strategic risk in the next quarter.

There are no particular additional risks from programmes, projects and local risk registers for noting at this time.

We plan to take a fresh look at **Future Risks** over the coming period (i.e. risks that have a horizon of 3 to 5 years or more). This will consider external sources (such as the Future of Policing report and the National Risk Register) as well as local sources (such as the P&CC's Police & Crime Plan for 2021-2025, TVP's own business plans, and the recent HMICFRS PEEL Report).





### **Business Continuity Introduction**

Business continuity is about ensuring that, as an organisation, we are able to continue providing important public services in the event of some major disruption to our organisation. Clearly if the Force is unable to maintain its own services, it will not be in a position to best serve the public.

The Civil Contingencies Act 2004 provides the statutory framework which places a responsibility on the police service, as "Category 1 Responders", to have in place effective Business Continuity Management (BCM) processes. Thames Valley Police (TVP) follows the principles within "ISO22301 Societal Security – Preparedness and Continuity Management Systems" which was published in May 2012.

Guidance on organisational resilience was published in November 2014 (BS65000:2014) which defines organisational resilience as the ability to anticipate, prepare for, respond and adapt to events – both sudden shocks and gradual change.

Oversight of the management of Business Continuity (BC) is provided by the Strategic Business Continuity Co-ordinating Group. This Group includes senior members from Property Services, ICT, Corporate Communications, HQ Operations, Health and Safety, and the Corporate Governance Officers.

Business Continuity Plans are maintained, tested and refreshed in respect of front line services and support functions. These are refreshed in order to reflect changes in personnel, dispositions, and core business processes. This proactive approach is supplemented by organisational learning from exercises and actual incidents.

This Report is provided to the CCMT for consideration and corporate decision making. It further provides the information necessary for the Joint Independent Audit Committee to fulfil their function effectively. Members are welcome to review the details of specific business continuity incidents or exercises by arrangement with the Strategic Governance team.





### Force Business Continuity Incidents and Exercises

During this quarter the following incidents have occurred.

#### **Storm Eunice**

On 18th February, TVP area was affected by an amber-warning Storm Eunice, which was predicted to cause localised disruptions with risk to life and power outages. Duty Silver and Gold were managing the incident and no BC issues were identified throughout. In the aftermath of the Storm some facilities concerns were raised across the TVP estates, which have now been addressed.

#### Abingdon

On 21 March, a company employed by our provider Mitie were checking the fire alarms in Abingdon Custody. On two occasions, the fire alarms were accidently set off and everyone in the building evacuated as per protocol. Contact Management staff including operators evacuated the building and system automatically transferred calls to other available rooms. As a result of large number of operators logging off some 101 calls might have been dropped. This is a normal risk in all contact centres, and is only applicable to the 101 line as if this is cut off as a non-emergency line there is no back up for clearing a line. This risk does not apply to the 999 line due to the system in place with BT. Fire evacuation Business Continuity plans have been updated for Contact Management as a result of this.

During this quarter SGU have conducted the following exercise:

- CCMT the scenario for this exercise was inspired by a Ransomware attack that took place in February 2020 targeting the Redcar and Cleveland Council. CCMT held an insightful conversation bringing in department heads to make informed decisions and led the incident through a strongly developed Gold command structure. There was a good consideration for varied comms to the public, internally, partners, victims and media during the incident. The exercise has shaped the future work for the Force to develop its organisational and ICT response to any potential cyber threats that is being taken forward within the SGU but also in cyber working group led by ICT.
- Windsor and Maidenhead LPA the scenario was based on a loss of power in the area due to bad weather, with the back-up generator at Maidenhead station not kicking in. SMT gave immediate consideration to the safety and security of the LPA sites during the electricity outage. During the exercise, there was a good deliberation of the involvement of Local Resilience Forum and Metropolitan Police with regards to the Windsor Castle. Communication with LPA staff, local community and other departments like health and safety, and facilities was discussed at length. The SMT has considered staff welfare and the impact of extended shifts that would be likely during this incident.





 Finance and Procurement – the scenario for this exercise was inspired by a Ransomware attack that took place in February 2020 targeting the Redcar and Cleveland Council. As initial response SMT aimed to identify the most crucial outstanding actions and created a rota system for the different teams in order to secure best working pattern and outcomes for the Force. SMT appropriately made decisions with the wider consideration of the Gold Command structure, and stressed to issue appropriate communication to its internal staff, the wider force and external partners and suppliers. Key vulnerabilities were identified in this process, and as a result actions to strengthen the departments' response to working without access to key systems.

Overall, there was a good engagement from all of the stakeholders participating in this quarter's exercises. There was an excellent consideration of TVP's partners, suppliers and the Local Resilience Forum when exercising the scenarios. Introducing the cyber-based scenario to CCMT has prompted us to expand the exercise to other organisational departments. This will lead to the enhancement of the 'loss of ICT' section in Business Continuity Plans with further contingencies. The CCMT exercise was very well perceived across the organisation and as a result, Operation Bridge and Criminal Justice Business Continuity Plans are scheduled to be tested in the next quarter.

Reflecting back since restarting the BC exercises in quarter 2 of 2021/22, SGU has completed exercises with six LPAs and seven organisational ones. The scenarios varied, however, a good proportional of LPAs were exercised on the loss of premise due to fire or loss of electricity whilst back-up generator fails to work. The themes will continue into the new cycle in order to draw up comprehensive BC plans for the nature of those two incidents. Organisationally, SGU will continue to address departmental needs but also expand to test other areas of the Force like systems and Operational Response plans and Gold/Silver Command. As the program behind the launch of Pronto finalises, SGU will exercise the loss of the application in quarter three this year together with Hampshire Constabulary.

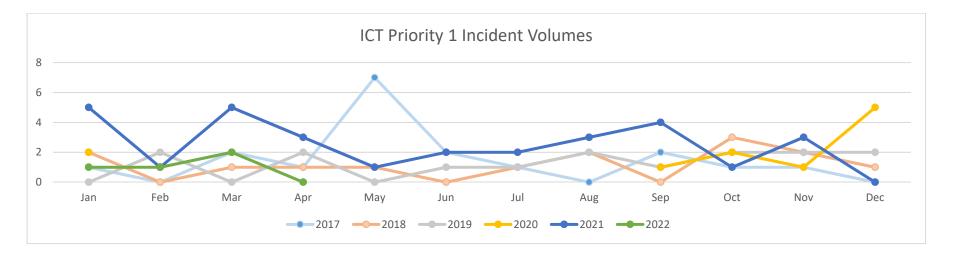
# **ICT Priority Incidents**

For the purposes of ICT incident reporting, a P1 incident is defined as "an ICT event which impacts the whole force, with a fix time required of less than 4 hours." Whilst not all ICT events impact the whole Force, they are captured in this report because they involve a system which has been identified as critical by the Force.

#### **ICT P1 Incident Volume Trend**

During the last 3 months, ICT recorded 3 P1 incidents which is a decrease of 1 from the previous quarter.





A summary of the P1 incidents arising in this period.

THAMES VALLEY

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Date & Time	P1 Incident Summary	Affected Force	Business Impact & Action Taken	Root Cause & Learning	Time to Restore	Resolved
Force-wide						
17/02/2022 03:05	Pronto unavailable	HC	Management services & a decrease in workforce effectiveness.	Third party supplier (Motorola) hardware failure in their hosted environment. Following RCA, the supplier are adding additional hardware to provide resilience. Due to complete W/C 11th March.	3hrs 8mins	Yes
Contact Mana	gement					

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#### CHIEF CONSTABLE'S MANAGEMENT TEAM (CCMT) AND JOINT INDEPENDENT AUDIT COMMITTEE (JIAC) REPORT Official Risk Management & Business Continuity update 1 February 2022 – 30 April 2022



21/03/2022 19:30	CMP down for all users with users reporting 'SQL Server Error'	unavailable – ČMU invoked Service Continuity Plan		5hrs 35mins	Yes
29/03/2022 01:30	Telephony issues affecting CMU and ICT Service Desk	and Service Desk users unable to use call option	5	2hrs 30mins	Yes

In this quarter, there have been two P1s impacting Contact Management as they experience CMP performance issues and disruption to their telephony during planned ICT works on the HQ North network switch. There is a dedicated CMP Silver Group managing changes and interactions with the suppliers to reduce the number of P1 and P2 incidents and reduce the disruption experienced by staff.

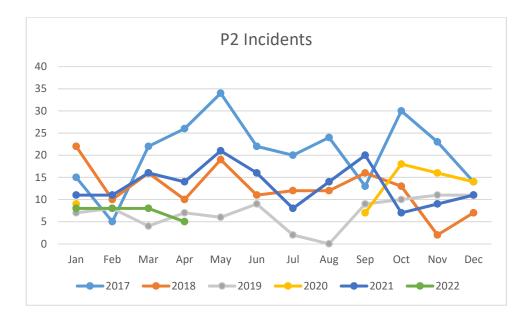
#### ICT P2 Incident Volume Trend

P2 incidents are reported in order to allow assessment of any underlying trend or issue that might, if not addressed, lead to a business continuity incident. For the purposes of ICT incident reporting, a P2 incident is defined as "an ICT event which impacts on a single department or site, with a fix time required of less than 8 hours."

During the period 1 February 2022– 30 April 2022, ICT recorded 21 P2 incidents.







During this quarter, the number of priority incidents continued to reduce as focussed work on improving the Problem and Change Management processes are made live. The number of Priority 2 incidents decreased from 28 in the previous quarter to 21 in the current quarter.

### **Business Continuity activities**

BC Incident form was discussed at the South East Regional Group and SGU liaised with City of London Police on their development and success of a Teams form for more accessibility. Launch of the incident debrief form can be supported by placards across the force, as City of London experienced more interaction with such campaign and easily accessible QR code. SGU re-joined the Thames Valley Local Resilience Forum Business Continuity group where the BC maturity model of each participating organisation was discussed and good practise exchanged. Internal BC Practitioner Meeting took place in February. This forum was an opportunity to discuss any issues arising from Storm Eunice, and as a result, Facilities raised two concerns





discussed earlier in the report. No items have been identified to be raised to CCMT. The group continues to develop a TVP widespread electricity loss plan in time for LFR exercise in quarter two this year.

### **BC Internal Audit**

It should be noted that an internal Business Continuity audit has concluded. Various recommendations have been made but assurance rating overall was Reasonable. Priority one issues arising from the audit are around keeping BC plans up to date for all TVP departments, OCUs, LPAs and the bi-lateral departments residing within TVP or units non-collaborated. Another priority identified during the audit is to commence work on Business Impact Analysis for all departments and LPAs, but most importantly those without a current plan. Lastly, there was a concern around lack of tracking of actions and learning post a BC exercise. To date, SGU has introduced a tracker spreadsheet attached to exercise debrief form. The spreadsheet is shared with the departments, and actions, target dates and owners are assigned to help track the progress.

#### OFFICERS' APPROVAL

 We have been consulted about the proposal and confirm that financial and legal advice have been taken into account in the preparation of this report. We are satisfied that this is an appropriate request to be submitted to the Joint Independent Audit Committee.

 Chief Constable
 Date

 Director of Finance
 Date

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CHIEF CONSTABLE'S MANAGEMENT TEAM (CCMT) AND JOINT INDEPENDENT AUDIT COMMITTEE (JIAC) REPORT Official Risk Management & Business Continuity update 1 February 2022 – 30 April 2022



### Appendix B - Risk scoring matrix

likelihood	simple description	guidance
score		
4	Probable	80% to 100% chance this will happen or the matter has already become an issue
3	Likely	50% to 80% chance this will happen
2	Possible	10% to 50% chance this will happen
1	Unlikely	less than 10% chance this will happen

impact score	public impact	reputation	economic	legal	organisational resilience	disruption (based on the Force's ability to manage the risk with current resources)
4	of 999 service.	Failure to meet a number of local and national performance indicators - possibility of intervention or special measures. Picked up in the national media.		HSE brings charges or serves a Prohibition Notice.	Loss of technology which impacts on	No existing processes in place to manage the risk. Significant levels of immediate investment in resources are required to mitigate the risk.
3	public facing services. Significant/long-term (more than 3 days)	Failure to meet a series of critical targets which impacts on a number of performance indicators. Adverse external audit report prompting immediate action. Highlighted in the local media.		financial cost. Intervention by the PCC.	impacts on Force ability to deliver internal functions and services. Prevention of access to intelligence placing prosecutions, placing front line officers and staff at risk. ICT issue which impacts across the whole Force.	Existing processes have a limited impact on mitigating the issue, and significant new processes are required to manage similar risks in the future. Long-term planned investment in resources required to manage future risks.
2	critical public facing services.	Failure to meet a series of operational targets or a critical target. Adverse internal audit report prompting timed improvement/action plan.	Financial impact from £1m to £5m	HSE involved in investigating a significant incident. Civil litigation receiving adverse publicity and financial cost to the Force or PCC. Loss or disclosure of information marked OFFICIAL-SENSITIVE.	across the Force.	Existing processes can mitigate the immediate elements of the issue, but some work is required to change processes for the future. Risk can be managed within existing Force resources and additional spending can be approved within existing budgets.
1	services.	Failure to meet individual operational targets. Minor contravention of internal policies.			Short-term loss of non-critical ICT locally. Short-term impact on local and departmental staffing levels.	Risk can be managed using existing processes. Risk can be managed within existing departmental resources.



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# Appendix C - Assurance criteria

Risk summaries include an assurance level, using the following definitions:

Substantial	The governance, risk management and control arrangements are strong, although some minor action may be required to improve efficiency or effectiveness.
Reasonable	The governance, risk management and control arrangements are good, although some action is required to improve efficiency or effectiveness.
Limited	The governance, risk management and control arrangements are limited and action is required to improve efficiency or effectiveness.
Minimal	The governance, risk management and control arrangements are weak and significant action is required to improve efficiency or effectiveness.

The levels of assurance provided are based on the risk summary and input from the risk owner and/or risk lead, the additional documents supplied which outline the more detailed activities, and benchmarking where this is available. This also includes how effective mitigating actions have been in the past, and confidence around the potential effectiveness of future actions.

# Appendix D - Managing risks criteria

Projected completion and target dates are recorded based on the following:

	Action completed
	Action on target
	Deadline missed



# OPCC STRATEGIC RISK REGISTER UPDATE

June 2022

# JIAC Summary

In accordance with the Operating Principles of the Joint Independent Audit Committee (JIAC), the Committee has the following responsibilities in respect of the management of risk and business continuity:

- Consider and comment upon strategic risk management and business continuity management processes, and
- Receive and consider assurances that business continuity and organisational risks are being managed effectively and that published goals and objectives will be achieved efficiently and economically, making recommendations as necessary

The attached report provides an overview of risk management and business continuity management policy and processes adopted by the Office of the PCC (OPCC) together with the most recent quarterly progress update report.

Based on the latest progress update contined in this report, it is recommended that the Committee endorses the officer proposal to **close** risk number 'OPCC 33' (i.e. '*Inability to recruit appropriately qualified and experienced finance staff* )

Recommendation:							
The Committee is invited to review and note the report, and endorse the proposal to close risk number OPCC 33, as appropriate.							
Chairman of the Joint Independent Audit Committee							
I hereby approve the recommendation above.							
Signature Date							

# **Risk Management Introduction**

Effective risk management is one of the foundations of good governance. A sound understanding of risks and their management is essential if the PCC is to achieve his objectives, use resources effectively, and identify and exploit new business opportunities. Consequently, in common with all significant public and private sector bodies, the Office of the PCC has an established control framework - which mirrors that used by the Force - for ensuring that areas of risk are identified and managed appropriately across its activities.

# **OPCC Risk Scoring**

Scoring is based on a 4 x 4 risk assessment matrix and the direction of travel, and the risk scores from the last quarter are included to provide a clear indication of the magnitude and direction of any change.

All risks have been reviewed and re-scored with input from the relevant OPCC risk owners.

likelihood score	simple description	guidance
4	Probable	80% to 100% chance this will happen or the matter has already become an issue
3	Likely	50% to 80% chance this will happen
2	Possible	10% to 50% chance this will happen
1	Unlikely	less than 10% chance this will happen

impact score	public impact	reputation	economic	legal	organisational resilience	disruption (based on the Force's ability to manage the risk with current resources)
4		Failure to meet a number of local and national performance indicators - possibility of intervention or special measures. Picked up in the national media.	Financial impact over £10m	HSE brings charges or serves a Prohibition Notice. Home Office intervention. Loss/disclosure of information marked TOP	impacts on Force ability to deliver critical	No existing processes in place to manage the risk. Significant levels of immediate investment in resources are required to mitigate the risk.
3	Major impact (1 to 3 days) on non-critical public facing services. Significant/long-term (more than 3 days) impact on central services, which affect public services	Failure to meet a series of critical targets which impacts on a number of performance indicators. Adverse external audit report prompting immediate action. Highlighted in the local media.	Financial impact from £5m to £10m	financial cost.	functions and services. Prevention of access to intelligence placing prosecutions, placing front line officers and staff at risk. ICT issue which impacts across the whole Force.	Existing processes have a limited impact on mitigating the issue, and significant new processes are required to manage similar risks in the future. Long-term planned investment in resources required to manage future risks.
2	Moderate impact (less than 1 day) on non- critical public facing services. Impact on central services across more than one area.	Failure to meet a series of operational targets or a critical target. Adverse internal audit report prompting timed improvement/action plan.	Financial impact from £1m to £5m	HSE involved in investigating a significant incident. Civil litigation receiving adverse publicity and financial cost to the Force or PCC. Loss or disclosure of information marked OFFICIAL-SENSITIVE.	Loss of non-critical internal ICT services across the Force.	Existing processes can mitigate the immediate elements of the issue, but some work is required to change processes for the future. Risk can be managed within existing Force resources and additional spending can be approved within existing budgets.
1	Minor impact on local or departmental services.	Failure to meet individual operational targets. Minor contravention of internal policies.	Financial impact up to £1m	No legal or regulatory breaches.	Short-term loss of non-critical ICT locally. Short-term impact on local and departmental staffing levels.	Risk can be managed using existing processes. Risk can be managed within existing departmental resources.

Assurance Criteria

Substantial	The governance, risk management and control arrangements are strong, although some minor action may be required to improve efficiency or effectiveness.
Reasonable	The governance, risk management and control arrangements are good, although some action is required to improve efficiency or effectiveness.
Limited	The governance, risk management and control arrangements are limited and action is required to improve efficiency or effectiveness.
Minimal	The governance, risk management and control arrangements are weak and significant action is required to improve efficiency or effectiveness.

The levels of assurance provided are based on the risk summary and input from the risk owner, the additional documents supplied which outline the more detailed activities and benchmarking where this is available.

## **OPCC Current Strategic Risk Summary**

There are seven current strategic risks identified on the OPCC risk register, as listed in the table below.

The table shows the direction of travel of each risk score and the current risk management status as agreed by the OPCC Senior Officer Group (SOG). A more detailed description of the risk, including rationale for any change in risk level, is then provided in the individual risk summaries which follow.

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Risk Summary - description and link to full document	Previous risk and score (I x L)	June 2022 Risk Score (I x L)	Trend	Risk Owner	Current Risk Action
<b>OPCC 19 - Victim services</b> The demand for victim services could exceed the supply available from PCC- commissioned contracts / service providers	<b>6.2</b> (2.1*3.0)	<b>4.5</b> (2.1*2.2)		Helen Wake	TREAT
OPCC 35 - Police misconduct hearings may not be able to take place due to lack of Legally Qualified Chairs (LQCs) Possible lack of LQCs to sit on misconduct hearings resulting in police misconduct hearings being unable to take place	<b>4.8</b> (2.0*2.4)	<b>4.4</b> (2.0*2.2)		Vicki Waskett	TREAT
<b>OPPC 36 – Victim Services contracts end dates</b> Possible risk to specialist victim service provision from March 2023 when the initial term of the PCC-commissioned service contracts end	<b>3.6</b> (3.0*1.2)	<b>3.6</b> (3.0*1.2)		Helen Wake	TREAT
<b>OPCC 37 – Mis-filing of legal property deeds</b> The potential inability to locate deeds to properties owned by the PCC and other related documentation in a timely manner	<b>4.9</b> (2.4*2.0)	<b>3.2</b> (2.7*1.2)		Vicki Waskett	TREAT
<b>OPCC 33 – Inability to recruit appropriately qualified and experienced</b> <b>finance staff</b> The potential inability to recruit appropriately qualified and experienced finance staff to critical vacant roles (e.g. 'Chief Finance Officer & Deputy Chief Executive' post) may result in the PCC being unable to discharge his statutory duties (e.g to prepare and publish the annual statement of accounts in accordance with statutory deadlines)	<b>7.2</b> (2.6*2.8)	<b>2.6</b> (2.6*1.0)		lan Thompson	CLOSE
<b>OPCC 34 - Inability to secure staff</b> The potential inability to recruit and retain staff within the context of the changing employment market place may undermine the OPCC's ability to deliver the PCC's Police and Criminal Justice Plan 2021-2025	<b>3.9</b> (1.9*2.0)	<b>2.4</b> (2.0*1.2)		Paul Hammond	TREAT
<b>OPCC 23 - New demands on OPCC</b> Failure to respond to new additional statutory responsibilities; increased volume of service demand and/or changes in type of service demand for services provided and/or commissioned by the OPCC	<b>3.5</b> (2.0*1.8)	<b>2.4</b> (2.0*1.2)		Paul Hammond	TREAT

The above risks are listed in current priority order, as identified by current scoring. Individual risk summaries, below, include a 'Level of Assurance', using the definitions shown in the 'Assurance Criteria' section, above.

# **OPCC 19 – Victims services**

## Risk summary: The demand for victims' services exceeds the supply available from PCC-commissioned contracts / service providers

#### **Consequences:**

- The demand for victims services could exceed current supply
- The quality and/or quantity of service provided to victims is adversely affected
- Reputational damage for the PCC

#### **Risk Owner: Helen Wake**

## Reviewed: 06/06/2022 Next Review Date: September 2022

**Context:** Although small changes in demand for services are to be expected, larger changes outside expected and planned limits could stretch resources, affecting the quality of services provided. Furthermore, there is a national concern about the incidence of 'hidden' crime such as domestic and sexual abuse. Close monitoring of referral rates and demand on services is undertaken through OPCC contract management of commissioned services, aided by the in-house Victims First Hub. Strategic approaches to managing demand through the Hub have been introduced at times of peak volume, such as prioritisation of serious crime and vulnerable people. Service contracts have been varied as necessary and waiting lists introduced for some services. Specialist victims' services contracts (Young Victims and Adult Specialist Services), launched in April 2020, mitigate the risks by introducing a strategic partner to coordinate provision and allow a more flexible approach.

• Level of Assurance: Reasonable. There are robust contract management processes in place to ensure quality of service provision, and good relationships exist between the OPCC and service providers. Some of our service providers are operating at peak capacity and we are working to reduce their demand and waiting lists, this includes additional funding for young people's service and the OPCC accessing all grant funding opportunities. The PCC initiated an end-to-end review of the current victims services delivery model which has recently been completed. The review contained a range of recommendations to improve pathways, increase efficiency and improve timely access to provision. These recommendations are now being implemented.

#### Risk Score Trend:

The risk score has **reduced** since the last meeting but it remains **TREATED**.

request will be met but we expect another significant investment in this area. Additional funding secured for MoJ • critical support fund. • A review of Rape Referrals in the VF Hub and VFSS has been completed and proposed recommendations will be implemented • The processes relating to victims of Action Fraud have been amended following research from the Victims Commissioner's Office • SAFE! have employed a Referral Liaison Officer and a have a new website to support an easier referral process • OPCC is working with SAFE! to assist them in applying to the Home Office 'children affected by domestic abuse' fund • An end-to-end review of our current victims services delivery model has been completed which includes a range of recommendations to improve pathways and improve access to provision.

## **OPCC 35** - Inability to hold police Misconduct Hearings

# Risk summary: Police misconduct hearings may not be able to take place due to lack of Legally Qualified Chairs (LQCs)

## **Consequences:**

- Police officers may be suspended for prolonged periods of time as there would be no LQCs available.
- Reputational damage for, and loss of public confidence in, the Police and the PCC.
- Cost implications in terms of paying for police officers who are suspended.
- Loss of service of police officers who may be found to have no case to answer but have been placed on suspension or restrictive duties for prolonged periods of time.

## **Risk Owner: Vicki Waskett**

Reviewed: 06/06/2022 Next Review Date: September 2022

## Context

The context to this risk relates to the legal case of The Chief Constable of Avon and Somerset Constabulary v Eckland.

The Chief Constable of Avon and Somerset sought to establish that the individual members of Panels (being Legally Qualified Chairs (LQCs) and Independent Panel Members (IPMs)) conducting police misconduct hearings are personally liable for any awards made to officers/former officers in terms of breaches of the Equality Act 2010, should such a case be brought to an Employment Tribunal.

As such, LQCs nationally are deeply concerned by the prospect arising from this case of being faced with unlimited personal liabilities while carrying out their duties. The Home Office accepted a year ago that primary legislation would be required to address this liability issue. However, at this time, no such legislation has been enacted and it is the belief of many LQCs that the Home Office is, for whatever reason, procrastinating. Whilst the National Association of LQCs (NALQC) acknowledges that indemnities currently provided by individual PCCs may offer sufficient indemnity cover, it is suggested by NALQC, however, that many PCCs may not have adequate insurance provision or financial reserves for such an eventuality. This matter has been further identified in the submissions of the Association of Police and Crime Commissioners (APCC) within the *Eckland* case, that some PCCs may not be in a position to meet these financial liabilities, should they arise. As such, at a meeting held on 26 November 2021, members of the NALQC voted in favour of not taking on any more misconduct hearings prior to the relevant assurances from the Home Office being provided in terms of adequate immunity from suit.

In terms of other panel members refusing to sit (such as IPMs and police officers), this has not been raised as an issue but it is acknowledged that it could yet represent a potential increase in risk in view of the eventual final outcome of the *Eckland* case. Following Judgment of the Court of Appeal in January 2022, the status quo prevails and Chief Officers, acting as the Appropriate Authority, remain liable for the acts and/or omissions of the police disciplinary panel insofar as they relate to claims for unlawful discrimination. However, the final decision could, pending further appeal, lie with the Supreme Court. As such, the situation remains static that the majority of LQCs are still unwilling to sit on misconduct panels; however, some have already returned and other LQCs are sitting in several areas to alleviate the national shortage.

## **Level of Assurance:** Limited assurance has been provided at present.

Of 19 LQCs on the Thames Valley list, 5 are still willing to sit on a misconduct panel. As such, misconduct hearings can still go ahead but with limited capacity. Responses are awaited from the majority of LQCs.

#### **Risk Score Trend:**

This risk score has reduced since the last meeting but the risk continues to be TREATED

Current mitigating actions	Owned by	Completion date	Future Actions required / agreed	Owned by	Target date
<ul> <li>Thames Valley PCC had previously provided, and continues to provide, the indemnity as requested by the NALQC.</li> <li>As such, at the time of writing, 5 LQCs are still willing to conduct TVP hearings on the basis of that indemnity.</li> <li>LQCs with prior commitments are honouring those commitments in relation to pending hearings.</li> <li>The Court of Appeal ruled that the Chief Constable of a force remains vicariously liable for acts/omissions of a misconduct panel in relation to claims for unlawful discrimination.</li> </ul>	Vicki Waskett	Not known	Dependant on the final outcome of the <i>Eckland</i> case	Vicki Waskett	September 2022

- National assurance is awaited in terms of confirmation of judicial immunity from the Home Office pending **final** outcome of the *Eckland* case, which may lie with the Supreme Court.
- It is understood that primary legislation - if supported by the Home Office - will be introduced no earlier than June 2022 in terms of judicial immunity and in fact is likely to take much longer.
- Further enquiries can be made with other LQCs in other force areas as to their willingness and availability to sit on misconduct panels within Thames Valley.
- An emergency list of 4 more LQCs has been esbalished within the South-East area.
- Meetings are taking place with South East area colleagues to gather a more comprehensive list of LQCs in other regions who may be willing to travel to the Thames Valley.
- The APCC Transparency and Integrity group is looking at this matter and the wider issues of LQC indemnities. They have asked the Home Office to consider a number of options. These include a shift back to Chief Constables of police discipline or making indemenities from PCCs

mandatory. Both of these options would require secondary legislation.			
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#### **OPCC 36 - Victim Services contract end dates**

## Risk summary: Possible risk to victim service provision from March 2023 when the initial term of the PCC-commissioned contracts end

#### **Consequences:**

- Possible reduction in specialist victims services across the Thames Valley
- The quality and/or quantity of service provided to victims adversely affected
- Reputational damage for the PCC

## **Risk Owner: Helen Wake**

## Reviewed: 06/06/2022 Next Review Date: September 2022

**Context:** The PCC currently provides a range of victim support services, including in-house provision, the Victims First Hub and externally provided specialist commissioned services. The specialist service provision consists of one in-house counselling service and three commissioned services (being two specialist adult services, i.e. the Victims First Emotional Support and Advocacy service (VFESS) and the Victims First Adult Specialist Service (VFSS), and SAFE!, a service specialising in support for young people). The initial contract term of two of the contracts (SAFE! and the VFSS) ends on the 31<sup>st</sup> March 2023, albeit both have contract extension options of up to two years. The VFESS contract has already been extended to March 2023, with no option for further extension; however, a procurement concession was sought and agreed, allowing for a further one year extension to the contract to align all the victims' service contract end dates. A further decision has been taken by the PCC to extend all contracts until March 2024 to allow for a robust procurement process to be undertaken.

#### Level of Assurance: Reasonable.

The PCC initiated an end-to-end review of the current victims' services delivery model, which has recently been completed. The review provided an opportunity to evaluate current service delivery, advise on possible changes to the current model/contracts and inform future commissioning intentions. The review recommended that all current contracts are extended until March 2024 to allow for effective re-commissioning. The timeframe to undertake this work by March 2024 is realistic and deliverable.

**Risk Score Trend:** 



The risk score has **not reduced** since the last meeting and remains **TREATED**.

Current mitigating actions	Owned by	Completion date	Future Actions required / agreed	Owned by	Target date
<ul> <li>All three service contracts are to be extended to March 2024 to allow for a robust re-commissioning and procurement process.</li> <li>A phased approach can be taken to any adaptations required to the inhouse service provision, providing stability to the system and allowing OPCC officers to focus on the highest presenting priorities.</li> <li>Within the team at the OPCC there is extensive commissioning experience and specialist subject level knowledge.</li> </ul>	Helen Wake	March 2024			

# OPCC 37 – Mis-filing of legal property deeds

# Risk summary: The potential inability to locate deeds to properties owned by the PCC and other related documentation in a timely manner

#### **Consequences:**

- Unable to sell property, especially if the land is unregistered as difficulties in proving ownership and root of title.
- Financial implications due to being unable to finalise a sale in a time-critical situation.
- Unable to resolve property disputes in relation to land already owned by the PCC, and extra cost and inconvenience of attempting to establish boundaries and any other related matters such as prescriptive easements.

## Risk Owner: Vicki Waskett

## Reviewed: 06/06/2022 Next Review Date: September 2022

**Context:** As Thames Valley Police have been disposing of surplus property, acting on behalf of the PCC, it has become apparent that the physical location of deeds is not always possible. The deeds register does not always accurately reflect the precise location of the deeds and on occasion extensive searches have been conducted to find the deeds packets, sometimes without success.

**Level of Assurance**: **Reasonable**. The OPCC Governance Team have implemented a new filing system. This entails re-scheduling all of the deeds held by the PCC and liaising with TVP Property Services about any discrepanices at an early stage prior to location of the deeds becoming critical. The Governance Team have been working extra hours (overtime) to ensure that this new system is complete by Summer 2022. In addition, it is unlikely that there are any properties still owned by the PCC that are not registered with the Land Registry as confirmation has been provided by Property Services that all of the properties owned by TVP have been registered.

#### **Risk Score Trend:**

This risk score has reduced since the last meeting but the risk continues to be TREATED

Current mitigating actions	Owned by	Completion date	Future Actions required / agreed	Owned by	Target date
The PCC has implemented a new filing system to identify every deeds packet which is held by the PCC and to alert TVP Property Services about any deeds which may be located elsewhere, such as with external solicitors, prior to a situation becoming time critical.	Vicki Waskett	April 2022 (completed)	Re-scheduling all of the deeds held by the OPCC and liaising with TVP Property Services about any discrepanices	Vicki Waskett	June 2022

## OPCC 33 - Inability to recruit appropriately qualified and experienced finance staff

Risk Summary: The potential inability to recruit professionally qualified and suitably experienced finance staff to critical vacant roles (e.g. 'Corporate Accountant' and 'Chief Finance Officer & Deputy Chief Executive' posts) may result in the PCC being unable to discharge his statutory duties (e.g to prepare and publish the annual statement of accounts in accordance with statutory deadlines)

**Consequences:** 

- Unable to deliver statutory functions in accordance with national deadlines
- Qualified audit opinion
- Reputational damage public criticism of PCC
- Additional work to be undertaken by those staff still in post

#### **Risk Owner: Ian Thompson**

#### Reviewed: 06/06/2022 Next Review Date: September 2022

**Context:** The OPCC 'Corporate Accountant' post required three recruitment exercises before we were able to appoint a part-qualified candidate. The current 'Chief Finance Officer and Deputy Chief Executive' is retiring on 31<sup>st</sup> August 2022; however, his replacement is starting on 8<sup>th</sup> August, allowing a handover period. Looking ahead, the 'Senior Assistant Accountant' is due to retire next March 2023.

Level of Assurance: Reasonable. The 'Corporate Accountant' and 'Chief Finance Officer & Deputy Chief of Staff' posts were both filled.

**Risk Score Trend:** 



The score has **reduced** since the last meeting and it is proposed that this risk be **CLOSED** 

Current mitigating actions	Owned by	Completion date	Future Actions required / agreed	Owned by	Target date
The Corporate Accountant position was advertised via the Force's premium Linked In service, social media, as well as Public Finance magazine (daily circulation of circa 70,000 finance professionals). In addition, Reed Finance were asked to identify suitable individuals. In the event, the new Corporate Accountant started on 2 <sup>nd</sup> February 2022	lan Thompson	Complete			
<ul> <li>The recruitment process for the new 'CFO and Deputy Chief of Staff' was able to commence in good time to secure a replacement before the current post-holder retires.</li> <li>The post was advertised on the TVP website. This recruitment advert was also shared widely on social media, including the Force's premium 'Linked In' service.</li> <li>A public advert was placed in the CIPFA Public Finance magazine.</li> <li>In addition to the above public advertising process, recruitment specialists Reed Finance were approached and asked to identify suitable candidates.</li> </ul>	Paul Hammond	Complete	The new 'CFO & Deputy Chief of Staff' is scheduled to start on Monday 8 <sup>th</sup> August 2022		

#### OPCC 34 - Inability to secure staff

Risk summary: The potential inability to recruit and retain staff within the context of the changing employment market place may undermine the OPCC's ability to deliver the PCC's Police and Criminal Justice Plan 2021-2025

#### **Consequences:**

- Unable to deliver the PCC's Police and Criminal Justice Plan in full
- Reputational damage, e.g. criticism from the Police and Crime Panel

#### **Risk Owner: Paul Hammond**

#### Reviewed: 06/06/2022 Next Review Date: September 2022

**Context:** The PCC published his Police and Criminal Justice Plan in June 2021, setting out his strategic priorities, aims and objectives. To deliver all elements within the Plan with require a full complement of staff as well as the co-operation of all key stakeholders and partners.

**Level of Assurance**: **Reasonable**. The Police and Criminal Justice Plan was published at the end of June 2021 and, therefore, the OPCC Strategic Delivery Plan 2021/22 was reviewed and updated with effect from July 2021. Since taking up his role in May 2021, the PCC has implemented a new staffing structure to align activities with the strategic priorities and objectives set out in the new Plan, and additional staff have been recruited to key vacant and new posts.

#### **Risk Score Trend:**

The score has reduced since the last meeting but the risk continues to be TREATED

Current mitigating actions	Owned by	Completion date	Future Actions required / agreed	Owned by	Target date
The PCC has implemented a new staffing structure to align activities with the new Police and Criminal Justice Plan, and key posts have been, and continue to be, appointed to.	P Hammond	Dec 2021	Appointment of new OPCC 'Chief of Staff' Deadline for applications: 5 June 2022	PCC	Dec 2022

# OPCC 23 – New demands on OPCC

Risk summary: Failure to respond to new additional statutory responsibilities, increased volume of service demand and/or changes in type of service demand for services provided and/or commissioned by OPCC

#### **Consequences:**

- Failure of PCC to discharge statutory responsibilities
- Reputational damage public criticism by, e.g. Home Secretary, Ministry of Justice, Victims Commissioner, statutory partners and Police and Crime Panel

#### **Risk Owner: Paul Hammond**

#### Reviewed: 06/06/2022 Next Review Date: September 2022

**Context:** There has been an incremental shift in actual or proposed PCC additional responsibilities over recent years, e.g.

- Taking on role of police complaints appellate body the volume of Reviews to be undertaken has been greater than anticipated.
- Gathering performance data regarding criminal justice agencies to facilitate accountability within local criminal justice boards.
- Strengthening the role of PCCs within future probation service arrangements.
- Home Office review of PCC model:
  - part 1 of the review promotes the proposal to allow PCCs to take on responsibility for the governance of the local fire and rescue service(s), and
  - part 2 of the review is considering further ways "to strengthen and expand the role of PCCs, including the role PCCs play in tackling reoffending to help reduce crime."

Such developments could have resource implications for PCCs (staff and budget) that may not be specifically funded by the Government.

**Level of Assurance**: **Reasonable**. These developments and associated implications are monitored and considered internally within the OPCC (via SOG, SMG and discussions with the Chief Constable, as appropriate) and externally via relevant, well established, representative bodies (e.g. APCC, NPCC), professional bodies (e.g. APAC<sup>2</sup>E, PaCCTS) and other stakeholders (e.g. Home Office, Police and Crime Panel, HMICFRS, LCJB).

#### **Risk Score Trend:**

The score has reduced since the last meeting but the risk continues to be TREATED

Current mitigating actions	Owned by	Completion date	Future Actions required / agreed	Owned by	Target date
OPCC service planning informed by Home Office / APCC / APACE / PACCTS / HMICFRS / LCJB / TVP / OPCC information, advice and guidance	P Hammond	Ongoing			
<ul> <li>Ongoing / annual OPCC actions:</li> <li>Monitor and review new HO / MoJ policy initiatives</li> <li>Annual review of internal OPCC Strategic Delivery Plan</li> <li>Annual review of Police and Criminal Justice Plan</li> <li>Annual review of OPCC capacity (staff and budget) and capability</li> </ul>	P. Hammond	Ongoing			
PCC chairs LCJB	PCC	Ongoing			
External scrutiny by Police and Crime Panel.	PCC	Ongoing			
OPCC internal monitoring of performance and service delivery	P. Hammond	Ongoing			
Home Office review of PCC model (parts 1 and 2): Monitor and respond to Home Office proposals	PCC / P Hammond	Ongoing to May 2024 PCC elections	<ul> <li>Fire Reform White Paper was published on 18 May 2022:</li> <li>Proposed that the governance of fire and rescue services should transfer to a 'single, directly-elected, individual who is accountable to the public for the fire and rescue service', and that this person could be:</li> <li>a Mayor (who could delegate the responsibility to a deputy mayor), or</li> </ul>	PCC / Chief of Staff	Deadline for responses to HO consultation – 26 July 2022

	<ul> <li>a County Council Leader (who could delegate this responsibility to a Cabinet member), or</li> <li>a Police, Fire and Crime Commissioner.</li> <li>The Home Office proposals are currently out for consultation.</li> </ul>	