

To: Joint Audit Committee (JAC) meeting
Date: 13th November 2019
By: Damian Markland, Head of Policy and Commissioning (Interim)
Title: Summary of PCC Grant making decisions

Purpose of Report/Issue:

The purpose of this report is to set out commissioning activity undertaken by the OPCC during 2019/20, the process by which decisions are made and oversight of commissioned services.

Recommendation(s) - To note the content of the report.

Equalities / Human Rights Implications - None arising.

Risk - As discussed in the report.

Background papers -

OPCC Commissioning Strategy 2018-2020
https://funding.surrey-pcc.gov.uk/wp-content/uploads/2019/04/commissioning_strategy.pdf

Reducing Reoffending Strategy 2018-2020
<https://www.surrey-pcc.gov.uk/projects/reducing-reoffending/>

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1. Background

The overarching aims of the Office of the Police and Crime Commissioner's (OPCC) commissioning activities are set out in the publically available Commissioning Strategy 2018-2020, available on the OPCC's Funding Hub. (<https://funding.surrey-pcc.gov.uk>). As per the document, OPCC commissioning is built upon an evidence-base of local need and is guided by the following high level principles:

- Remember who we are commissioning for – whether that be a local resident, a victim of crime or an offender, they are at the centre of the service.
- Respond to the specific needs of Surrey's residents.
- Encourage and facilitate service providers to work together and provide clear user pathways.
- Be bold and innovative in our approach, whilst respecting and building on good practice already in place.
- Develop services which work hand-in-hand with Surrey Police, partners and the Criminal Justice System to improve a person's experience.
- Work with our partners to make the best use of our resources, commissioning services together when it is right to do so.
- Provide strong management, ensuring that all funding is allocated fairly and transparently against need, that services are outcome focussed, provide good value for money and continuously improve.
- Invest in future services by medium to long-term planning and building evidence of good practice.

The OPCC is responsible for commissioning and funding projects, initiatives and services across the following three key areas:

i. Services for Victims of Crime

In October 2014, Police and Crime Commissioners in England and Wales took on responsibility for the commissioning of support services for victims and witnesses of crime. This followed the Government consultation 'Getting it Right for Victims and Witnesses' and recognised that local services must have flexibility to meet the different and changing needs of the population and are therefore best commissioned at a local level.

Under the current arrangements, funding is provided to PCCs on an annual basis by the Ministry of Justice (MoJ). In Surrey, the OPCC allocates MoJ funding to two distinct areas of delivery:

- **Generalist Assessment and Support Service:** On 1 April 2019 Surrey Police opened its new Victim and Witness Care Unit, based out of Guildford Police Station. This professionally trained team has been established by the OPCC and Surrey Police to help victims of crime cope and, as far as possible, recover from their experience, putting in place care plans tailored to the needs of the individual. The

team is also able to provide support to witnesses of crime, linking with other criminal justice agencies, departments and charitable organisations in order to obtain information and ensure individuals are kept informed about the case and possible attendance at court.

- **Specialist Support Services:** The PCC is also responsible for commissioning local specialist services that meet the specific needs of the people of Surrey. Key services include Domestic Abuse Outreach, Independent Sexual and Domestic Violence Advisors and specific services for young people. These services are delivered by a range of local providers.

ii. **Community Safety:**

The Community Safety Fund (CSF) gives the PCC the ability to commission services that improve community safety in Surrey, including the reduction of ASB and crime. Unlike funding for victims of crime, this money is provided directly from the OPCC's budget, with an annual sum of £510,000 ring-fenced for this purpose.

iii. **Reducing Reoffending:**

Reoffending costs the UK taxpayer billions every year, damaging communities, creating victims and producing a significant drain on policing and a broad spectrum of other public services. The Reducing Reoffending Fund was established by the PCC to support projects and initiatives aimed at reducing reoffending in Surrey. As with the Community Safety Fund, this money is provided directly from the OPCC's budget, with an annual sum of £255,000 ring-fenced for this purpose.

The OPCC's Reducing Reoffending Strategy sets out how the office, in partnership with all relevant agencies, will work towards reducing reoffending by adults and young people. The key outcomes are as follows:

- Reducing the number of people who reoffend and relieving the burden on the prison service;
- Improving victim outcomes and satisfaction rates;
- Improving support and supervision of offenders who present the higher risks to society;
- Introducing more effective outcomes for people who are diverted from the formal justice system with better use made of community-based options.

2. Grant Giving Process

The majority of funding awarded by the OPCC to organisations is provided via a formal grant giving process. The OPCC operates two separate grant giving procedures, depending on the level of funding required – Standard Grants and Small Grants. Both procedures are outlined below and have previously been independently assessed by internal auditors RSM in May 2016 and December 2017. The resulting recommended actions that came from these audits have since been actioned.

Standard Grant Procedure (for sums larger than £5,000)

For both the **Community Safety Fund** and the **Reducing Reoffending Fund**, Standard Grant funding rounds are held quarterly, subject to there being available funding. The respective Policy and Commissioning Leads for these funds set the dates for each funding round at the start of the financial year and these are advertised on the OPCC's Funding Hub.

In the case of the **Victim Fund**, in order to comply with MoJ grant requirements the majority of funding is committed at the start of the financial year. As such, funding rounds for Standard Grants only take place in instances where funding is available. This is outlined on the Funding Hub and users are invited to join a mailing list to be informed should the Standard Grant process be opened.

The standard grant making process comprises of the following stages:

Pre-application

- The relevant Policy and Commissioning Lead must advertise when the Fund is open to receive applications, giving at least one month's notice of the application submission deadline.
- Funding rounds are, at a minimum, advertised on the Funding Hub and via the Funding Hub's mailing list.
- The Funding Hub provides applicants with access to the relevant application form¹, along with grant criteria and guidance for submission:

Victim Fund Criteria: <http://funding.surrey-pcc.gov.uk/apply-for-funding/victim-fund-grant-criteria-and-process/>

Community Safety Fund Criteria: <http://funding.surrey-pcc.gov.uk/apply-for-funding/community-safety-fund-grant-criteria-and-process/>

Reducing Reoffending Fund Criteria: <http://funding.surrey-pcc.gov.uk/apply-for-funding/reducing-reoffending-fund-grant-criteria-and-process/>

- Applicants can also see the remaining funding available from each funding stream using the Funding Hub's Funding Stats page (<http://funding.surrey-pcc.gov.uk/funding-stats/>)

Application

The pccfunding@surrey.pnn.police.uk inbox is used to receive all applications, with the relevant Policy and Commissioning Lead acting as gatekeeper.

The relevant Policy and Commissioning Lead is responsible for:

- acknowledging receipt of all applications, with an email sent to applicants providing a timescale for when they will receive a decision;
- logging each application received on the respective grant spreadsheet;

¹ From 2020/21, Standard Grants will be submitted via an online form as opposed to a downloadable form, as is the case with Small Grants.

- reviewing each application against the criteria, clarifying information provided and undertaking desktop research as necessary;
- preparing a summary of all grants for the respective funding panel and an individual score sheet for each application to be used during the approval process.

Approval for recommendation to the PCC

A grant approval panel then sits to assess each application in order to make a recommendation to the PCC as to whether funding should be awarded or not. The membership of the funding panel varies for each fund²:

- **Victim Fund:** OPCC's Head of Policy and Commissioning & Head of Public Protection at Surrey Police.
- **Community Safety Fund:** OPCC's Head of Policy and Commissioning, the Policy and Commissioning Lead for Community Safety, a senior police officer from Surrey Police and an Independent Member.
- **Reducing Reoffending Fund:** OPCC's Head of Policy and Commissioning, the Policy and Commissioning Lead for Criminal Justice and an independent expert by experience.

The relevant Policy and Commissioning Lead must:

- Convene a grant approval panel to sit 7 working days after the application submission deadline;
- Provide members of the panel with a copy of each application and comments in advance of the meeting to assess against the grant criteria;
- During the panel, administer the score sheet to record the panel's decision-making.

The score sheet must detail:

- Attendance at the panel;
- Panel membership conflict of interest and if prejudicial to the decision, the member should be removed from the process for the relevant application;
- Recommendation to the PCC on whether to award funding or not, with justification provided.

² For 2019/20 the OPCC has been trialling a new approval process for the Community Safety Fund, whereby relevant stakeholders within the Force or partner agencies are asked to share their views on the applications received, which are then transcribed and provided to the PCC as part of the next stage. The intention is to reduce an over-reliance on a small group of individuals whilst accessing wider knowledge base. If successful, we may look to emulate the approach across the other funds for 2020/21 onwards.

PCC decision to award

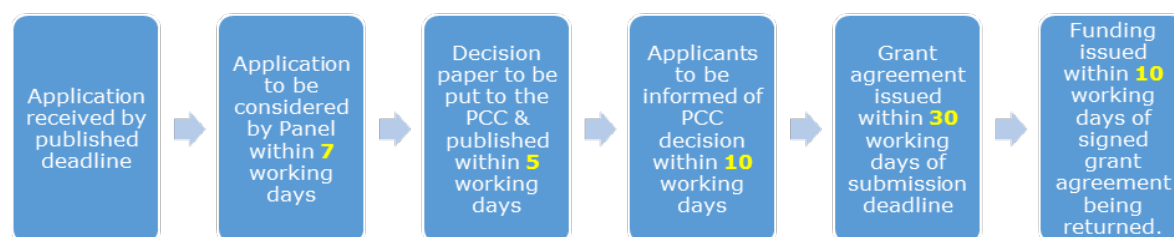
Post approval panel, the relevant Policy and Commissioning Lead must complete the following steps to process the application:

- Liaise with the OPCC Chief Finance Officer to conduct financial checks on accounts;
- A decision paper must be written within five working days from the panel date and made available to the PCC for approval of recommendations made by the panel. This should include details of all applications received – those recommended for approval, as well as those recommended not to be supported;
- Following the PCC's decision, email confirmation of the decision is sent to all applicants within 10 working days;

Evaluation

The OPCC Policy Officer must monitor all grants awarded, to include robust performance evaluation and compliance with the grant criteria, in accordance with the grant agreement. The respective grant spreadsheet allows deadlines for reporting to be entered and performance to be logged, allowing for easy oversight of all funding streams.

Visual Summary of process:



Small Grant Procedure Statement (for sums less or equal to £5000)

Organisations seeking funding of £5,000 or less can apply online through a small grant process – a streamlined procedure that allows for a faster turnaround.

Unlike the standard grant procedure, individuals and organisations can apply for a small grant at any point during the year as applications, subject to the availability of funding. The process of receiving, considering and processing small grants is as follows.

Application

- Applications for small grants have to be made online through the PCC's Funding Hub (<http://funding.surrey-pcc.gov.uk>).
- Once an application has been submitted, an automatic email is sent to the OPCC's dedicated funding mailbox with full details of the application;

- An automatic email is also sent to the applicant confirming submission, meaning there is no need for the Policy Officer to acknowledge receipt.

The relevant Policy and Commissioning Lead should:

- log each application received on the grant spreadsheet;
- review each application against the criteria, clarify information provided and undertake desktop research as necessary;
- file each application in the appropriate folder, to await approval;
- In the event that the Policy and Commissioning Lead believes they have a conflict of interest, they should raise the matter with their first line manager.

Consideration by PCC

- The Policy and Commissioning Lead should schedule a meeting with the PCC, to discuss the small grant application;
- Based upon work carried out during Stage 1, the Policy and Commissioning Lead should provide their recommendation to the PCC as to whether the application should be approved.

PCC decision to award

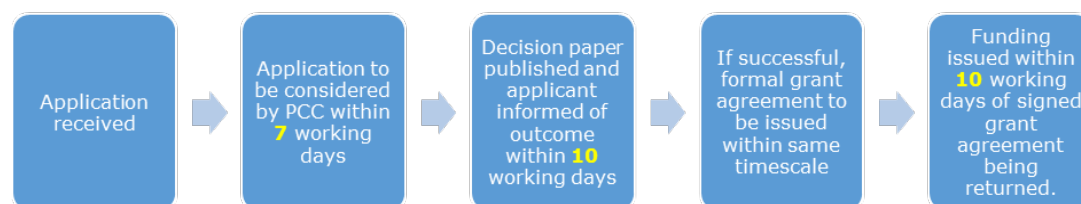
If the PCC supports the application, the Policy and Commissioning Lead must complete the following steps to process the application:

- Liaise with the OPCC Chief Finance Officer to conduct financial checks on accounts;
- The PCC should be asked to sign a formal decision paper, confirming the outcome of discussions and the agreement to fund;
- Following signing and publishing to the PCC's website, email confirmation of the decision must be sent to the applicant within 10 working days;

Evaluation

The OPCC Policy Officer must monitor all grants awarded, to include robust performance evaluation and compliance with the grant criteria, in accordance with the grant agreement. The respective grant spreadsheet allows deadlines for reporting to be entered and performance to be logged, allowing for easy oversight of all funding streams.

Visual Summary of process:



3. Alternative Funding Approaches

In some cases the OPCC has entered into alternative funding arrangements in order to jointly fund commissioned services with other agencies. Two prominent examples include:

Victim and Witness Care Unit: This internal Surrey Police Unit provides generalist support to all victims of crime in Surrey. The Unit is jointly funded by Surrey Police and the OPCC, with a formal Scheme of Consent in place setting out both organisation's financial and wider responsibilities to ensure continued delivery. Additional governance and oversight is provided via a formal Victim and Witness Care Unit Governance Board, chaired by the OPCC.

Surrey Domestic Abuse Outreach: The OPCC and Surrey County Council (SCC) have agreed to jointly fund a new Surrey Specialist Domestic Abuse Service, due to commence operation in April 2020. The OPCC has agreed for SCC to act as the contract owner for the entirety of the service delivery period, and to transfer the required level of funding to SCC to enabled delivery. Both organisations have signed a formal Funding Agreement setting out the expectations and responsibilities of both parties, with oversight provided by a joint DA Commissioning Group.

4. Activity during 2019/20

A full breakdown of all commissioning expenditure across the three OPCC funds has been provided in **Appendix A**.

5. Recommendations

Members of the Joint Audit Committee are requested to note the content of this report.