

# **Joint Audit and Standards Committee Information**

## **1. Further Information**

The Joint Independent Audit and Standards Committee provides advice and reassurance on the overall arrangements for governance in respect of the Offices of the Police and Crime Commissioners (PCCs) and Warwickshire and West Mercia Police ('the Force').

The Joint Audit Committee has been in place for 6 years, with a separate PCC Trust, Integrity and Ethics Committee (TIE) in place for the last 4 years. The decision was made to merge the ethical functions of the TIE in to the Joint Audit Committee that will now be named the Joint Audit and Standards Committee. To ensure that the standards role receives appropriate scrutiny, 2 additional members are required to lead on this area for the Committee.

The terms of reference for the Committee set out a statement of purpose and the key responsibilities in respect of audit, regulation, financial reporting, risk management, and ethics and standards.

The role profile for Committee members sets out the job purpose and key responsibilities for this role, including how members will contribute to the achievement of the Committee's purpose, the conduct of meetings and Committee culture.

These are important roles that make a significant contribution to public reassurance about the integrity, internal controls and standards that are adhered to within these public offices.

The conduct of the Committee will also inform the opinion of the internal and external auditor in respect of the Annual Governance Statement. The work of the Committee will be subject to an annual review of its effectiveness and all members will be expected to undertake due diligence in scrutinising Committee papers and actively participating in Committee meetings to support and challenge the individual and collective arrangements of the PCCs and Chief Constables.

The arrangements for the Committee are set out below, including eligibility for Committee membership. These have been developed to ensure that the Committee can operate in a way that is objective and impartial, ensuring independence.

## **2. Overall Arrangements**

The audit arrangements are based on the requirements of the Home Office Financial Management Code of Practice ('the code') and the Chartered Institute of Public Finance and Accountability (CIPFA) Audit Committee guidance (including terms of reference). The Committee is a joint Committee of the PCCs and Forces as advocated by the Code.

The standards arrangements are based on the requirements of the PCCs and Chief Constables to oversee the embedding of ethics and integrity in the Forces.

## **3. Size of the Committee and Committee Meetings**

The Committee comprises 6 independent members, which will grow to 8 independent members upon appointment of the two members leading on standards. The Committee will have a quorum of 4 members.

Committee meetings will normally be held four/five times a year in line with CIPFA guidance. Dates will be provided in advance. Additional meetings may be convened as and when necessary.

Meetings will normally commence at 2pm and will be held at either Police Headquarters, Hindlip, Worcester or the Warwickshire Police Leek Wootton site, near Warwick.

The agenda, reports and minutes of all Committee meetings will be published on the PCCs' websites. Members of the press and public shall be excluded from a meeting whenever it is likely that confidential information will be disclosed. Confidential information is defined as:

- a) Information furnished to the Committee by a Government department upon terms (however expressed) which forbid the disclosure of the information to the public; and
- b) Information the disclosure of which to the public is prohibited by or under any enactment or the order of a Court.

#### **4. Remuneration**

Committee members will receive an annual allowance of £2,000.

The Committee Chair will receive a higher allowance of £2,500 and the Vice Chair will receive £2,250.

Committee members will be reimbursed reasonable expenses including travel and subsistence in line with police staff pay rates.

#### **5. Tenure**

Committee members will be appointed for a tenure of either 2 years or 4 years, with a maximum of 8 years' service subject to re-application, reappointment and successful completion of police vetting every 3 years (or sooner if circumstances require).

#### **6. Restrictions and Disqualifications**

The following restrictions will apply to ensure the complete independence and objectivity of members of the Committee in conduct of business. Committee members should not be:

- Aged under 18.
- Serving police officers, police staff and staff employed by the PCC (or Metropolitan Police Service equivalent). A person who has been so employed must have a minimum 1 year break before being appointed to serve on the Committee.
- A person who is on the Warwickshire or West Mercia Police and Crime Panel or who is a Councillor or an employee of a council which is represented on the Panel.
- Individuals who have significant business or personal dealings with the Force/OPCC.
- Individuals who have close relationships with any of the above including immediate family members.
- Political activity in itself is no bar to appointment. However, candidates will be asked to declare any significant political activity (which includes holding office, public speaking, making a recordable donation or candidate for election) which they have undertaken in the last 5 years. This information will only be provided to the recruitment panel for those applicants selected for interview. Details of the successful candidates' declared political activity will be published.

Standard disqualifications apply to ensure the avoidance of any reputational embarrassment, for example, individuals who have been removed from a trusteeship of a charity, anyone

under a disqualification order under the Company Directors Disqualification Act or a person who is an un-discharged bankrupt.

Before an appointment to the Committee is confirmed candidates will need to be successfully vetted. Any arrests, cautions and convictions must be declared on the vetting form whether or not they are 'spent' under the terms of the Rehabilitation of Offenders Act.

All appointees must agree to their name, photo and declaration of interests being made publically available, including on the PCCs' and Forces' websites.

## **7. Role Profile and Person Specification**

The role profile and person specification set out the responsibilities, expected conduct, skills, knowledge and aptitudes that form the basis of the recruitment process. Individuals should have or acquire as soon as possible after appointment an understanding of the objectives and current significant issues for the Police Service at a national and local level and an understanding of the objectives, responsibilities and current significant issues for the PCCs and Police Forces.

## **8. Recruitment Practice**

Equality and diversity monitoring will be given full due regard at every stage of the recruitment process. Appointments will be based on the role profile and person specification requirements in addition to the need to ensure a balance of skills and expertise across all fields of Committee responsibility.

A recruitment panel comprising representatives of the Offices of PCCs and Forces will conduct the interviews. All appointments will be subject to confirmation by the PCCs and Chief Constables.

Applicants must submit a CV and covering letter. These will be used as the basis of shortlisting. Appointments will be made following a formal interview.

## **9. Applicant Timeline**

Application closing date: Friday 5<sup>th</sup> October, 2018 12pm

Interviews: Tuesday 16<sup>th</sup> October, 2018

First Meeting: 21<sup>st</sup> January 2019.

Successful applicants will be expected to attend the 21<sup>st</sup> January 2019 meeting of the Committee in their official capacity.

There will also be induction and training sessions taking place upon appointment.

## **Appendix A**

### **Joint Audit and Standards Committee - Role Profile Committee Members**

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#### **1. Purpose / Key Responsibilities**

To contribute to the effective discharge of the duties and responsibilities of the Committee as set out in the Committee terms of reference.

To maintain effective working relationships with Committee members, the PCCs, the Chief Constables, the PCCs' Chief Executives (as the statutory 'Monitoring Officer'), Chief Finance Officers (Section 151 officers) and both internal and external auditors.

To be diligent in preparing for Committee meetings and making an effective contribution to those meetings to provide independent assurance of the governance, internal control and finance, risk and performance management arrangements of the offices of the PCCs (OPCCs) and the Forces.

#### **2. Conduct of Committee Meetings**

Contribute to the business of each Committee meeting in a manner which supports all matters on the agenda being dealt with effectively and appropriately.

Address the Committee on all matters where an opinion or decision is required and in such a manner that does not inhibit other members of the committee wishing to express a different opinion.

Advise the Committee Chair where an interest or potential conflict of interest may exist in respect of a matter to be discussed at a meeting and act on the advice of the Chair.

#### **3. Committee Culture**

As a member of the committee, contribute to a culture that supports:

- Each member to use his or her best efforts in carrying out his or her duties as a member of the Committee;
- The highest level of integrity, accountability and honesty in the actions of the Committee and of the PCCs, Chief Constables and the other officers of the OPCCs/Forces;
- Respect and dignity among the members, officers, and the external and internal auditor;
- The candid and timely sharing of information among the members of the Committee, management and the external auditor;
- Acceptance by all members of the Committee of the right of every member to hold and express a dissenting opinion; and
- A commitment to best governance practices.

#### **4. Miscellaneous Matters**

When necessary or desirable, to facilitate the effective performance of the Committee's duties, attend other meetings and/or PCC/Force briefings.

## **Appendix B – Joint Audit and Standards Committee – Competencies, Personal Skills and Qualities**

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This section sets out the competencies, personal skills and qualities which are particularly relevant to the work that will be undertaken by Audit and Standards Committee members.

There is no expectation that all individual members will have all of these qualities, but the PCCs and Chief Constables will wish to assure themselves that, between the totality of the membership, all these qualities are available to them as a Committee. All members can make a valuable contribution to the work of the Offices of the PCCs and Warwickshire and West Mercia Police from the start, drawing on their background and expertise gained in their working life, their involvement in the community, voluntary work or other experiences.

In order to fulfil its objectives the Joint Independent Audit and Standards Committee should collectively possess:

- (a) Financial awareness.
- (b) Awareness of current accounting issues.
- (c) Understanding of relevant statutory duties and legislative requirements.
- (d) Understanding of the principles of risk management.
- (e) Knowledge of modern principles relating to audit, scrutiny and assurance.
- (f) Knowledge and experience of the principles of Corporate Social Responsibility (which includes financial and economic stewardship (including Value for Money), people and communities (including Diversity, Equality and Human Rights), and environmental sustainability, and health & safety).
- (g) Awareness of Transformation Programmes.
- (h) Knowledge of corporate services such as Information and Communications Technology (ICT), Estates and Legal Services.
- (i) Awareness of Treasury Management.
- (j) Understanding of integrity and ethical issues in public services.
- (k) Knowledge of complaints and misconduct processes.
- (l) Customer service experience.

Individuals should have and be able to demonstrate:

- Integrity - the necessity to embrace high standards of conduct and ethics and be committed to upholding human rights and equality of opportunity for all.
- A balanced and proportionate approach in preparing and giving advice.
- Independent thought - to show resilience, even in challenging circumstances, remaining calm and confident and able to make difficult decisions or articulate alternative views.
- A constructive but challenging approach – to take a balanced, open minded and objective approach, whilst being able to challenge accepted views constructively without becoming confrontational.
- The ability to be analytical - to interpret and question complex written material, including financial and statistical information and identify the salient points.

- The ability to scrutinise - to be able to rigorously scrutinise and challenge constructively to support good governance and strong public financial management in Warwickshire and West Mercia Police, using appropriate data, evidence and resources and adopting appropriate risk management arrangements.
- Professional curiosity – the ability to look beyond the initial information provided and to develop ideas on further areas to explore and scrutinise.
- Self confidence - the skill to challenge accepted views constructively without becoming confrontational.
- Respect for others - the capacity to treat all people fairly and with respect; value diversity and respond sensitively to difference.

Individuals should have or acquire as soon as possible after appointment:

- (a) An understanding of the objectives and current significant issues for the police service at both a national and local level.
- (b) An understanding of the objectives, responsibilities and current significant issues for the PCCs and Chief Constables.
- (c) An understanding of the various inspection regimes which impact upon the work of the PCCs and the Chief Constables.