

Warwickshire Joint Audit and Standards Committee Meeting Minutes - 26 November 2019

Date	Tuesday 26 th November 2019
Time	14.00
Location	Conference Room, Leek Wootton
Chair	John Anderson
Vice Chair:	Gavin McArthur
Minute Taker	Katie Baker/Nargis Begum

Audit Committee Members

Name:	Capacity:
John Anderson	Chair
David Carter	Member
Helen Knee	Member
Alastair Murdie	Member
Gavin McArthur	Vice Chair

Offices of the Police and Crime Commissioner

Name:	Capacity:
Philip Seccombe (PS)	Police & Crime Commissioner
Neil Hewison (NH)	Chief Executive, OPCC
Sara Ansell (SA)	Treasurer, OPCC
Debbie Mullis (DM)	Development Lead for Standards & Integrity, OPCC

Force

Name:	Capacity:
Martin Jelley (MJ)	Chief Constable
Jeff Carruthers (JC)	Chief Finance Officer
Richard Moore (RM) (in attendance from 14 30 pm)	Deputy Chief Constable
Steve Russell (SR)	Hd of ASI
Andy Shipman	Dep Force Registrar

Internal Audit

Name:	Capacity:
Paul Clarke	Internal Auditor, Warwickshire

External Audit

Name:	Capacity:
Laurelin Griffiths (LG)	Grant Thornton
Alex Walling (AW)	Grant Thornton

	Name:	Capacity:
Apologies:	Neil Hewison	Chief Executive, OPCC



Open Session

No	Summary	Action
01/26/11/19	The Chair of the Committee welcomed everybody to the first meeting of the Warwickshire Joint Audit and Standards Committee and brief introductions were given	
02/26/11/19	Committee Members' Declaration of Personal Prejudicial Interests. There were no declaration of personal prejudicial interests declared.	
03a/26/11/19	Open Minutes of the meeting dated 25th July 2019 (Previous Joint meeting with West Mercia). It was agreed that the minutes of the last meeting dated 25 th July 2019 were a true and accurate record The were no matters arising	
04/26/11/19	External Audit Progress Report and Update – Alex Walling The Audit Progress Report and Sector update was presented by AW & LG The following was noted - <ul style="list-style-type: none"> • The 2018/19 Opinions remained outstanding Meeting had been held with SA/JC/AW earlier to ascertain the information that was still required due to the termination of the Alliance which would enable these to be finalised Timescale given for completion was early in the New Year, working towards the next Audit Committee Meeting on 23rd January 2020. • Opinions for both West Mercia and Warwickshire would be completed at the same time • Committee members raised the issue over a conflict of interest with the auditors finalising the accounts of the Alliance as well as moving forward to standalone Forces Assurance was given that a Support Partner within Grant Thornton, based in Liverpool, had been appointed to oversee/challenge the process and ensure independence. • For transparency, it was noted that the PCC had published on their website that the accounts had not been signed off • Discussion followed regarding the 2019/20 Accounts and forward planning 	<p>SA/JC to collate and send the required info to Grant Thornton</p> <p>AW to share info re final accounts training events to Warwickshire</p> <p>Summary report for Jan JASC meeting to include changes on the 2018/19 Statement of Accounts</p>



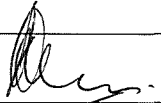
	<ul style="list-style-type: none"> A further discussion was required on additional external audit fees due to the complexity and additional work required. 	
05/26/11/19	<p>Internal Audit Progress Report 2019/20 - Paul Clarke, WCC</p> <p>Comprehensive briefing was given on the progress against the agreed internal audit plan and the proposed changes to that plan to cover the period to 31 March 2020.</p> <p>It was noted that responses to draft reports on budget management, contract management and business continuity were still awaited SA to liaise with West Mercia to expedite</p> <ul style="list-style-type: none"> PC / DC / RM /SR to work together to ensure that the outstanding recommendations from previous audits were still relevant and action It was noted that only 14 out of 68 portfolios in the Business Continuity Management Progress table had been fully completed and no evidence that any plans had been tested and could be carried out and recovered within the agreed recovery plan SA/PC to discuss need for follow up audit of Business Continuity in next year's Internal Audit plan 	<p>SA to liaise with LH and JC</p> <p>PC/DC/RM/ SR</p> <p>SA/PC follow up audit of Business Continuity in Internal Audit Plan</p>
06/26/11/19	<p>Corporate Governance Framework – Sara Ansell</p> <p>It was noted that the changes to the Corporate Governance Framework reflected the new structures and services for Warwickshire as a result of the ending of the Strategic Alliance. This document would be reviewed again in March 2020 as more services are transitioned out of the Alliance and further updates would be provided to the Committee</p>	<p>SA to keep document under review</p>
7/26/11/19	<p>Treasury Management Outturn report 2018/19 – Sara Ansell</p> <p>The Treasury Management Outturn Report for 2018/19 was noted by the Committee</p>	
8/26/11/19	<p>Treasury Management Mid-year review report 2019/20 – Sara Ansell</p> <p>The Treasury Management 2019/20 mid-year review report and the key treasury management issues were considered by the Committee</p> <ul style="list-style-type: none"> Committee Members sought assurance that there would be adequate capacity to undertake Treasury Management and it was noted that there was anticipated recruitment of 7 new positions for the Warwickshire team in April. In answer to a question raised by the Committee it was confirmed that the Reserves Strategy for Warwickshire was published on the OPCC website and to consider including 	<p>NB to email link</p>



	the reserves position in the treasury management report to the Committee	
9/26/11/19	<p>HMIC Action Plan Summary – S Russell</p> <p>A comprehensive briefing was given to the Committee outlining the grading and recommendations from the recent Integrated Annual PEEL inspection by HMICFRS together with the plans to address those recommendations</p> <p>It was noted that the Force had established a Warwickshire Assurance Board, chaired by the Deputy Chief Constable, to ensure that the recommendations from the PEEL report were actioned appropriately.</p> <p>It was agreed that SR would present an action plan at the next meeting</p> <p>At the PCC/CC weekly meeting the HMICFRS recommendations were routinely discussed to ensure clear understanding of action plans / compliance</p> <p>HK to liaise with RM to look at those areas identified within Standards to be worked into the Committee's workplan</p>	<p>SR to present Action Plan at January mtg</p> <p>HK/RM to liaise</p>
10/26/11/19	<p>ASI Assurance and Action Plan – Progress Report</p> <p>The Audit and Assurance Report was discussed in detail and the committee noted the work and activity of the audit and assurance team and the recommendations from CDI and the OCC, Investigations and Custody audits</p> <p>Further to a question raised by the Committee the Chief Constable gave assurance that the Commissioner's office were represented at the Force Assurance Boards</p> <p>It was agreed that a deep dive on an area within the ASI would be placed as an agenda item onto a future meeting</p>	
11/26/11/19	<p>Standards Update – Debbie Mullis</p> <p>DM outlined the report and confirmed that HK had agreed to continue as Lead on Standards for the WJASC. RM to liaise with HK to look at work areas to focus on</p> <p>Complaint dip-sampling had been carried out on seven files and a report would be presented at the January meeting</p> <p>A briefing/report on ethics to be presented at the January meeting</p> <p>DM explained to the Committee that the new Appeal Complaints Referral Legislation would be coming into play in February 2020 whereby low-level complaints would now go to the OPCC office. A</p>	<p>RM/HK</p> <p>DM to provide dip-sampling report</p> <p>DM Ethics report</p>



	regional complaints manager was in the process of being appointed	
12/26/11/19	Joint Audit and Standards Committee workplan The WJASC Work plan was considered by the Committee It was agreed that an overview briefing would be beneficial for members together with an induction session The committee wish to consider their terms of reference at the January meeting, and the internal audit work plan item is to be moved back to the March Committee	SA/DM to organise
13/26/11/19	Members Points There were no additional items raised	
14/6/11/19	AOB None Meeting closed 16:11pm	
Next Meeting: Thursday 23rd January 2020, Conference Room at Leek Wootton.		

Formal Approval of Meeting Record	
Signature:	
Print Name	ROBERT JOHN ANDERSON
Date	20 JANUARY 2020

Proposed meeting dates for 2019/20 and 2020/21:

- Thursday 23rd January 2020 2pm – 4pm
- Tuesday 17th March 2020 2pm – 4pm
- Tuesday 28th July 2020 – 2pm – 4pm
- Wednesday 21st October 2020 – 2pm – 4pm
- Wednesday 13th January 2021 – 2pm – 4pm
- Wednesday 17th March 2021 – 2pm – 4pm
- Wednesday 28th July 2021 – 2pm – 4pm
- Wednesday 20th October 2021 – 2pm – 4pm