

## Warwickshire Joint Audit and Standards Committee Meeting Minutes

Date:	Thursday 23 <sup>rd</sup> January 2020
Time:	14:00
Location:	Conference Room, Leek Wootton
Chair:	John Anderson
Vice Chair:	Gavin McArthur
Minute Taker:	Katie Baker, Nargis Begum

### Attendees

#### Audit Committee Members

Name:	Capacity:
John Anderson (JA)	Chair
David Carter (DC)	Member
Helen Knee (HK)	Member
Alistair Murdie (AM)	Member
Gavin McArthur (GM)	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:
Jeff Carruthers (JC)	Chief Finance Officer
David Gardner (DG)	T/ACC
Steve Russell (SR)	Hd of ASI
Nikki Greenway (NG)	Hd of ICT (in attendance until 14.36pm)

#### Internal Audit

Name:	Capacity:
Paul Clarke (PC)	Internal Audit Manager, Warwickshire

#### External Audit

Name:	Capacity:
Laurelin Griffiths (LG)	Grant Thornton

	Name:	Capacity:
<b>Apologies:</b>	Richard Moore (RM)	DCC Warwickshire Police
	Alex Walling (AW)	Grant Thornton
	Martin Jelley (MJ)	Chief Constable

No	Summary	Action
01/23/01/20	Welcome and Apologies	
02/23/01/20	There were no declaration of personal prejudicial interests	
03/23/01/20	<p><b>Minutes of the Open Meeting of Thursday 26<sup>th</sup> November 2019</b></p> <ul style="list-style-type: none"> <li>05/26/11/19 – second bullet point wording needs to be amended for clarity to read:</li> </ul> <p><b><i>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.</i></b></p> <p>Subject to the amendment above the Minutes were agreed as a true and accurate record.</p>	
14/23/01/20	<p><b>Deep Dive on ICT Risk</b></p> <p><b>Digital Services Transition Programme</b> Presentation and handout (DG/NG)</p> <p>Key tasks for Project Delivery are:-</p> <ul style="list-style-type: none"> <li>Reconfigure network infrastructure from the Alliance infrastructure to West Midlands Digital Support Services moving across 400 applications – proposed completion date of September 2020.</li> <li>Members asked if West Midlands provided IT hosting environment to any other force. It was confirmed Warwickshire will be the first.</li> <li>Re-platforming STORM applications to data centres ensuring a safe, secure network – proposed completion date of August 2020.</li> <li>In the process of recruiting and aiming to have a full ICT function managed and run by Warwickshire by April 2021</li> <li>No final end date of ICT functions at West Mercia agreed. This is still being negotiated along with any recoverable costs.</li> </ul>	
04/23/01/20	<p><b>External Audit Progress Update</b> (Verbal update by LG)</p> <p>Not in a position to sign off Financial Statements and no definitive date for sign off was available at this meeting.</p>	

	<p>Grant Thornton are still awaiting further cashflow and reserve information for their Going Concern and VFM Opinions</p> <p>2019/2020 planning has commenced.</p> <p>Members requested a written update at the next meeting.</p>	<p><b>SA/JC - Further cashflow/reserve and budget information to be provided</b></p>
05/23/01/20	<p><b>Internal Audit Progress Report 2019/20</b> (Summary Paper by PC).</p> <p>Members were briefed on the summary and progress made.</p> <p>Budget Management Report has been finalised and reported in draft stage in the Annual Report 2018/19</p> <p>Awaiting approval of:-</p> <ul style="list-style-type: none"> <li>• draft Business Continuity Audit Report</li> <li>• draft Contract Management</li> </ul> <p>The Revised Audit Plan 2019-20 was approved by the Committee Members.</p> <p><b>Internal Audit – Termination Arrangements</b></p> <p>A verbal update on the progress of this audit was provided. Committee Members requested an update on the progress of this audit and the start and finish numbers of the annual workplan at the March meeting.</p>	<p><b><i>Liaise with West Mercia to expedite responses to draft reports on budget management, contract management and business continuity – Ongoing</i></b></p> <p><b><i>PC – provide an update of Workplan at next meeting</i></b></p>
06/23/01/20	<p><b>Joint Audit and Standards Committee (WJASC) Terms of Reference (SA)</b></p> <p>Health and safety to be considered for inclusion in the Terms of Reference. RM is currently working on this Report and it will be brought to the Committee once complete</p>	<p><b><i>RM/DG - H&amp;S Report</i></b></p>
07/23/01/20	<p><b>HMIC Action Plan Summary (SR)</b></p> <p>Summary report presented and briefing given on how the Assurance Board oversee the responses/progress to HMIC</p> <p>Next HMIC informal inspection to sign off concerns is in March 2020.</p> <p>Summary Update against tracker to be brought to future meetings</p> <p>Committee Member HK to liaise with SR for simpler reports in the future</p>	<p><b><i>Summary Update against Tracker for future meetings – SR</i></b></p> <p><b><i>HK to liaise with SR for simpler HMIC Reports.</i></b></p>

08/23/01/20	<p><b>ASI Assurance and Action Plan – Progress Report (SR)</b></p> <p>Committee were briefed on the proposed 3 year Warwickshire Audit Schedule for the Force Crime and Incident Registrar (FCIR) function. The schedule is risk based on the findings and areas of improvement from the October 2019 HMICFRS Crime Data Integrity Inspection (CDI) and results of internal data audits.</p> <p>Action plans are in place to improve crime data integrity with 2 full time audit officers conducting audits to test compliance and also to provide training to officers and staff involved in crime recording.</p> <p>The FCIR, CDI and governance map were noted by the Committee.</p>	
09/23/01/20	<p><b>Standards Update (DM)</b></p> <p>Briefing of Report given which included a dip sampling category breakdown requested at the last meeting.</p> <p>The Report was noted by the Committee.</p>	
10/23/01/20	<p><b>Joint Audit and Standards Committee Workplan (SA)</b></p> <p>Standing item. Committee Members to note and update at each JASC meeting.</p> <p>Committee Members requested the following to be added :-</p> <ul style="list-style-type: none"> <li>• Health &amp; Safety Report</li> <li>• Accounts Brief</li> </ul>	
11/23/01/20	<p><b>Members Points</b></p> <p>No points raised.</p>	
12/23/01/20	<p><b>AOB</b></p> <p><b>Meeting dates for 2019/20 and 2020/21:</b></p> <p><b>Tuesday 17<sup>th</sup> March 2020 : 2pm – 4pm</b>          Tuesday 28<sup>th</sup> July 2020 – 2pm – 4pm          Wednesday 21<sup>st</sup> October 2020 – 2pm – 4pm          Wednesday 13<sup>th</sup> January 2021 – 2pm – 4pm          Wednesday 17<sup>th</sup> March 2021 – 2pm – 4pm          Wednesday 28<sup>th</sup> July 2021 – 2pm – 4pm          Wednesday 20<sup>th</sup> October 2021 – 2pm – 4pm</p> <p>Meeting Closed at 4pm</p>	
<b>Next Meeting : Tuesday 17<sup>th</sup> March 2020 at 2pm at Leek Wootton</b>		

**MEETING ACTIONS**

Minute No/Agenda No	Actions	Status/ Timetable	Action owner
<b>External Audit</b>			
04/26/11/19	Share info re final accounts training events to Warwickshire	Outstanding	AW
04/23/01/20	SA/JC - Further cashflow/reserve & budget information to be provided	Ongoing	JC/SA
04/26/11/19	Summary report to include changes on the 18/19 statement of accounts	Outstanding 23/1/20	AW
<b>Internal Audit</b>			
05/26/11/19	Liaise with West Mercia to expedite responses to draft reports on budget management, contract management and business continuity	Ongoing	SA
05/26/11/19	Work to ensure outstanding (IA) recommendations from previous audits were still relevant and actioned.	Ongoing	PC/DC/R M/SR
05/26/11/19	Follow up audit of Business Continuity in next year's Internal Audit plan.	Ongoing	SA/PC
05/26/11/19	PC to provide an update of Workplan at next meeting	March 2020	PC
<b>Terms of Reference</b>			
06/23/01/20	H&S Report to be provided	Ongoing	DG/ RM
<b>Corporate Governance Framework</b>			
06/26/11/19	Corporate Governance Framework under review	Ongoing	SA
<b>HMIC Action Plan Summary</b>			
07/23/01/20	Summary Update against Tracker	Ongoing	SR
07/23/01/20	HK to liaise with SR for simpler HMIC Reports	Ongoing	HK/SR
<b>HMIC Action Plan</b>			
08/26/11/19	Update Committee Plan	Ongoing	HK/RM
<b>Committee Plan</b>			
12/26/11/19	Overview briefing of WJASC Workplan	Ongoing	SA

**DISCHARGED ACTIONS**

Minute No/Agenda No	Actions	Status/ Timetable	Action owner
04/26/11/19	<i>Collate and send the required info to Grant Thornton</i>	<i>Completed Early Jan.2020</i>	<i>SA/JC</i>
08/26/11/19	<i>Email link to Reserves Strategy for Warwickshire</i>	<i>Completed 05/12/19</i>	<i>NB</i>
08/26/11/19	<i>Present Action Plan - Recommendations from PEEL report</i>	<i>Completed 23/01/20</i>	<i>SR</i>
11/26/11/19	<i>Provide Dip Sampling Report and Ethics Report</i>	<i>Completed 23/01/20</i>	<i>DM</i>

**Formal Approval of Meeting Record**

Signature:	
Print Name:	
Date:	