



Warwickshire Joint Audit and Standards Committee Meeting Minutes

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| Date: | Thursday 23 rd 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: |
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| Paul Clarke (PC) | Internal Audit Manager, Warwickshire |

External Audit

| Name: | Capacity: |
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| Laurelin Griffiths (LG) | Grant Thornton |

| | Name: | Capacity: |
|-------------------|--------------------|-------------------------|
| Apologies: | 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>Minutes of the Open Meeting of Thursday 26th November 2019</p> <ul style="list-style-type: none"> • 05/26/11/19 – second bullet point wording needs to be amended for clarity to read: <p><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></p> <p>Subject to the amendment above the Minutes were agreed as a true and accurate record.</p> | |
| 14/23/01/20 | <p>Deep Dive on ICT Risk</p> <p>Digital Services Transition Programme Presentation and handout (DG/NG)</p> <p>Key tasks for Project Delivery are:-</p> <ul style="list-style-type: none"> • Reconfigure network infrastructure from the Alliance infrastructure to West Midlands Digital Support Services moving across 400 applications – proposed completion date of September 2020. • Members asked if West Midlands provided IT hosting environment to any other force. It was confirmed Warwickshire will be the first. • Re-platforming STORM applications to data centres ensuring a safe, secure network – proposed completion date of August 2020. • In the process of recruiting and aiming to have a full ICT function managed and run by Warwickshire by April 2021 • No final end date of ICT functions at West Mercia agreed. This is still being negotiated along with any recoverable costs. | |
| 04/23/01/20 | <p style="text-align: center;">External Audit Progress Update (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> | |

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| | <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>SA/JC - Further cashflow/reserve and budget information to be provided</p> |
| 05/23/01/20 | <p>Internal Audit Progress Report 2019/20 (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"> • draft Business Continuity Audit Report • draft Contract Management <p>The Revised Audit Plan 2019-20 was approved by the Committee Members.</p> <p>Internal Audit – Termination Arrangements</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>Liaise with West Mercia to expedite responses to draft reports on budget management, contract management and business continuity – Ongoing</p> <p>PC – provide an update of Workplan at next meeting</p> |
| 06/23/01/20 | <p>Joint Audit and Standards Committee (WJASC) Terms of Reference (SA)</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>RM/DG - H&S Report</p> |
| 07/23/01/20 | <p>HMIC Action Plan Summary (SR)</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>Summary Update against Tracker for future meetings – SR</p> <p>HK to liaise with SR for simpler HMIC Reports.</p> |


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| 08/23/01/20 | <p align="center">ASI Assurance and Action Plan – Progress Report (SR)</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 align="center">Standards Update (DM)</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 align="center">Joint Audit and Standards Committee Workplan (SA)</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"> • Health & Safety Report • Accounts Brief | |
| 11/23/01/20 | <p align="center">Members Points</p> <p align="center">No points raised.</p> | |
| 12/23/01/20 | <p align="center">AOB</p> <p align="center">Meeting dates for 2019/20 and 2020/21:</p> <p align="center">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</p> <p align="center">Meeting Closed at 4pm</p> | |
| <p>Next Meeting : Tuesday 17th March 2020 at 2pm at Leek Wootton</p> | | |

MEETING ACTIONS – 28 July 2020

| Minute No/Agenda No | Actions | Status/ Timetable | Action owner |
|---------------------------------------|--|------------------------|-----------------|
| External Audit | | | |
| 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 |
| Internal Audit | | | |
| 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 |
| Terms of Reference | | | |
| 06/23/01/20 | H&S Report to be provided | Ongoing | DG/ RM |
| Corporate Governance Framework | | | |
| 06/26/11/19 | Corporate Governance Framework under review | Ongoing | SA |
| HMIC Action Plan Summary | | | |
| 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 |
| HMIC Action Plan | | | |
| 08/26/11/19 | Update Committee Plan | Ongoing | HK/RM |
| Committee Plan | | | |
| 12/26/11/19 | Overview briefing of WJASC Workplan | Ongoing | SA |

DISCHARGED ACTIONS – 23 January 2020

| 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: | John Anderson | Date : 17 March 2020 |

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