

## Warwickshire Joint Audit and Standards Committee Meeting

### Open Minutes

Date:	Wednesday 6 July 2022
Time:	14:00
Location:	Conference Room, Leek Wootton
Chair:	John Anderson
Vice Chair:	Gavin McArthur
Minute Taker:	Lynn Aston

#### Attendees

#### Audit Committee Members

Name:	Capacity:	Person	Teams
John Anderson	Chair	X	
Gavin McArthur	Vice-chair	X	
David Carter	Member	X	
Helen Knee	Member	X	
Andy Heath	Member	X	

#### Offices of the Police and Crime Commissioner

Name:	Capacity:	Person	Teams
Sara Ansell (SA)	Treasurer, OPCC	X	
Philip Seccombe (PS)	Police & Crime Commissioner	X	
Emma Daniell (ED)	Deputy Police & Crime Commissioner	X	
Claire Morris (CM)	Head of Business Services & Assurance	X	
David Patterson (DP)	Assurance & Scrutiny Officer	X	

**Public Attendees**

Name:	Capacity:	Person	Teams
N/A			

**Force**

Name:	Capacity:	Person	Teams
Alex Franklin-Smith (AFS)	Deputy Chief Constable	X	
Jeff Carruthers (JC)	Director of Finance		X
Andrew Shipman (AS)	Crime & Incident Registrar		X
Stephen Russell (SR)	Head Analysis and Service Improvement	X	
Tania Coppola (TC)	Director of Enabling Services	X	

**Internal Audit**

Name:	Capacity:	Person	Teams
Paul Clarke (PC)	Head of Internal Audit for Warwickshire CC	X	

**External Audit**

Name:	Capacity:	Person	Teams
Jackson Murray	Grant Thornton	X	
Siobhan Barnard	Grant Thornton	X	

**Apologies**

Name:	Capacity:
Debbie Tedds (DT)	Chief Constable
Polly Reed (PR)	Chief Executive, OPCC

### Items for Discussion

No	Item	Actions
01/06/07/2022	Welcome and introductions were made.	
	There were no declarations of personal prejudicial interests.	
06/06/07/2022	<p style="text-align: center;"><b>Minutes of the open meeting of 16<sup>th</sup> March 2022</b></p> <p>The Minutes of the open meeting dated 16<sup>th</sup> March 2022 were agreed as a true and accurate record.</p> <p><b>Action: SA and LA to review the action list on the Open minutes.</b></p>	SA/LA
07/06/07/2022	<p style="text-align: center;"><b>Progress Update – Empower Programme</b></p> <p>AFS gave a verbal update on the Empower Programme which has three strands and followed on from the Evolve Programme update from DG who attended the pre-meet.</p> <p><b>Place</b> – This was regarding the police estate which was owned by the PCC and AFS confirmed that PR was heavily involved with this and is Co-Chair of the Place Board. This strand was the responsibility of TC and James Davies, and TC would be presenting on this further in the agenda.</p> <p>PS confirmed that he holds the estate in trust and confirmed recent sales of land around the headquarters in Leek Wootton and the planned sale of a disused Police Station in Southam. PS felt that there were two main issues regarding the estate from his perspective, ensuring the duty to protect the listed buildings at Leek Wootton and improving the operational estates for both officers, staff and visitors.</p> <p><b>Technology</b> – Whilst the Evolve programme developed a new Warwickshire ICT network with huge potential and significant improvements, which is seen as best practice by some other forces, there remains some legacy Evolve projects to finalise as well as prioritising which future ICT projects to pursue – this work is being developed through the Empower workstream.</p> <p><b>People</b> – This strand has progressed the furthest with the new operational model being presented to the entire workforce via engagement seminars. All directorates are being reviewed which is the first time since the split from the Alliance. The new model proposed is based on the 1100 Officers being in post so all elements will not come into force immediately and are based on the recruitment activity. A</p>	

	<p>prioritised approach is being taken currently with senior leads being appointed in the next few weeks and then promotion boards will be held in September. The 21<sup>st</sup> July Change Board will review a roadmap for Empower as the funding for this project will then to be worked through with JC and SA.</p> <p>AFS advised that the engagement seminars had been a great opportunity for the SLT to have face to face interaction with the whole work force which took a brief look back but was mainly forward looking and focused on the Empower change programme. Key feedback had been around current demand, the inexperienced workforce and pay which received the most feedback.</p> <p>DC wanted to formally thank DG and the team for all the hard work in relation to the Evolve Project. JASC members concurred and AFS advised that he would pass on this message.</p> <p>JA asked about the technical interfaces with other partners and AFS advised of evidence.com and how this links with the CPS and they will continue to work on strengthening capabilities.</p> <p>JASC noted the report.</p>	
08/06/07/2022	<p style="text-align: center;"><b>Standards Update</b></p> <p>DP presented his paper and highlighted the main issues:</p> <ul style="list-style-type: none"> <li>• The journey the OPCC had been on with regard key staff changes and restructure. However, with the appointment of CM and Jemima Busby the team was now at full compliment.</li> <li>• Six complaint reviews had been received with 4 being undertaken and one currently under consideration. One review had been upheld.</li> <li>• A Complaint Review by Internal Audit had been received with 9 recommendations and an overall opinion of Moderate Assurance.</li> <li>• HK had assisted with Dip Sampling and some suggestions for improvement had been fed back to PSD.</li> <li>• In March 2022, PS had met with the Head of PSD and a further meeting is scheduled for 19 July.</li> <li>• The Police Ethics Committee had met in March 2022 and a further meeting is being scheduled.</li> <li>• A meeting had taken place between the IOPC Oversight Liaison Officer and representatives from the OPCC.</li> <li>• In May 2022 the IOPCs Q2 2021/22 performance report was released and due to the lateness will not be</li> </ul>	

	<p>publicly published.</p> <p>HK welcomed Jemima and Claire and thanked DP for all his work whilst the new members were recruited. HK was also pleased that the IOPC report was received to help us compare and benchmark.</p> <p>JASC noted the report.</p> <p>DP left the meeting.</p>	
09/06/07/2022	<p style="text-align: center;"><b>PCC's Annual Report 2021/22</b></p> <p>PS presented the PCC's Annual Report for 2021/22 on behalf of PR and asked for questions or comments.</p> <p>GM thanked PS for the report and suggested that in the cover report it would be helpful to explain if the requirement to publish an Annual Report was mandatory/statutory.</p> <p>PS believed this to be a statutory requirement and confirmed that the report had been to the Police and Crime Panel and would be made public. SA advised that this had not been presented to the JASC previously, but they would receive it from now on for informational purposes.</p> <p>GM sought clarification on whether the outturn figures included in Section 9, page 22 were draft and would not be finalised until the Statement of Accounts was produced and audited. SA confirmed this.</p> <p>A discussion took place regarding commercial vetting and the importance and utilisation of this income to support expenditure. SA advised that the previous Chief Constable Martin Jelley had approved a 3 year business plan to grow income by £1.5m. However, income had vastly exceeded that forecast and this needs to be accurately reflected in future budgets, but the commercial risk needs to be appropriately managed.</p> <p>AFS advised that he was the Chair of the Vetting Board and whilst the targeted income was originally £3.5m it was now more like £6m. Whilst the risks were considered, having the Chief Constable as the national lead did give further assurance.</p> <p>JASC noted the report.</p>	
10/06/07/2022	<p style="text-align: center;"><b>External Audit Plan 2021/22</b></p> <p>JM briefly took members through his paper and highlighted a</p>	

	<p>number of key points:</p> <ul style="list-style-type: none"> <li>• Audit quality of Grant Thornton.</li> <li>• Delivery and team changes.</li> <li>• Timetable for publication of the 2021/22 draft financial statements by end of July and audited by the end of November 2022.</li> <li>• Regular liaison with the Treasurer and Director of Finance, to discuss issues. Outstanding issues include the demise of Place Partnership Limited the pension liability, and valuations that were previously carried out by PPL.</li> <li>• Progress of the Financial Statements and opinions are currently on track in line with the regulations.</li> <li>• VFM is a key area requiring further probing around financial resilience and risks and rewards.</li> </ul> <p>JM then confirmed that the annual fees were circa £55/56k with minor changes which may be due to reallocation of hourly rates. Primarily face to face meetings were preferred for the audit and this was agreed by SA and JC.</p> <p>JC provided assurance advising that Mike Kaine is replacing Wendy Knox from next week. Whilst he is new to the role, he is experienced within police finance operations.</p> <p>JA asked JM if the Grant Thornton annual conference may take place again as this was greatly appreciated prior to the pandemic. JM confirmed that this was something other committees had asked for so he would seek further clarification.</p> <p><b>Action; JM to confirm if the annual Grant Thornton conference may take place.</b></p> <p>JASC noted the report.</p>	<p>JM to confirm if the annual Grant Thornton conference may take place.</p>
11/06/07/2022	<p><b>Internal Audit Progress report update</b></p> <p>PC outlined the report which summarised progress towards completion of the agreed Internal Audit plans 2021/22 and 2022/23 and an update on the implementation of agreed recommendations.</p> <p>DC asked within the Key Financial System audit about the reference to there being no KPIs in place. PC advised that this was a recommendation for KPIs to be developed and is being addressed. JC confirmed that this was being worked on.</p>	

	<p>AH felt that there was inconsistency between the business continuity scope and the actual audit undertaken. GM suggested that the title of the audit should be caveated in some way to reflect the work scope undertaken and timing. Committee members felt that risks regarding business continuity remained and questioned whether this area needed to be included in the 2023/24 audit plan.</p> <p>JA noted that pre-covid only about 14 out of approximately 60 business continuity plans had been completed and tested and a brief review may be the way forward to clarify where we were 2 years on. However, as the working environment is different and we now have an OCC, which is business critical, it may be worthwhile repeating a business continuity plan review.</p> <p>AFS advised that during the pandemic all business continuity plans were tested in full, However he was not resistant to business continuity being explored further and would look to SA to build in usually around Feb 2023. So this could form part of the conversation and would be brought back to the Committee for comment in March 2023.</p> <p><b>Action: AFS/SA to reconsider the inclusion of a business continuity audit in 2023/24 plan.</b></p> <p>HK asked for clarification around the Publication Compliance audit that some of the information was not easy to access or could be assumed not available. PC confirmed this was the assumption from a member of the public's view.</p> <p>JASC Members noted the contents of the report.</p>	<p><b>AFS/SA to reconsider the inclusion of a business continuity audit in 2023/24 plan.</b></p>
12/06/07/22	<p><b>2021/22 Internal Audit Report</b></p> <p>PC outlined the report which summarised the work of the Internal Audit during 2021/22.</p> <p>PC directed the JASC to the Audit Opinions for the whole year which showed that the split was 50/50 substantial and moderate assurances with no limited assurance opinions&gt; This was positive.</p> <p>The JASC noted the Annual Internal Audit Report.</p>	
13/06/07/2022	<p><b>2021/22 Outturn</b></p> <p>JC presented the 2021/22 Outturn Report which he felt was a very positive report and one for optimism as it marks the conclusion of the chapters around the end of the Alliance and the Evolve project and the move into a new chapter around the Empower project.</p>	

	<p>JC took the opportunity to thank PS for his relentless support to enable delivery of these projects.</p> <p>JC confirmed that capital was in a much better position and were now starting to look at the scale and scope not least delivery. This had been delivered along with s22 agreements with West Midlands Police.</p> <p>£4.7m had been taken out of the budget in 2021 which enabled the preservation of reserves. Given the revenue pressures this has placed the force in a strong financial position, coupled with the higher commercial vetting income. No additional savings were required in 2022/23 which gives time for reflection, and to consider the MTFP.</p> <p>Section 3 gives a summary snapshot.</p> <p>SA thanked JC and his team and confirmed that the quarterly reports are very detailed with the intervening reports less so but still very useful. These form the basis of the holding to account which PS and SA undertake at the Governance and Performance Boards and it does give optimism as outturn is better than anticipated.</p> <p>PS raised a small glitch with the local authority's regarding the Council Tax precept and collection fund surplus which was late being made available. SA has been engaging with the local authority over this, as it is a legal requirement that they are required to provide collection fund surpluses by 15 January each year and Council Tax by end January which is extremely tight within our budget setting process.</p> <p>DC asked if it was known how much the PPL pension liability may be and whether this would come from the Pension and Redundancy Reserve.</p> <p>JC advised that there are two options, one defer until the last person accesses their pension or pay up front which is circa. £700k and can be paid over 2/3 years. JC confirmed this would come from general reserves and they were awaiting information from Worcester CC around the treatment of this before a decision was made. If a decision is taken to pay, this will change the outturn figures accordingly. JC did advise that this needed to be concluded within the next two weeks.</p> <p>JASC noted the report.</p>	
14/06/07/2022	<p><b>ASI Assurance and Action Plan – Progress Report</b></p> <p>AS gave a brief overview of SR's report on progress with the</p>	



	<p>Force Crime Data Integrity and Assurance Audit Schedule.</p> <p>AS confirmed that the audit activity over last quarter, presented in March, has been implemented and was in line with this plan.</p> <p>AS further advised that the paper contained a summary from the audits undertaken and confirmed that a copy had been presented to Assurance Board each quarter. The compliance data integrity audit is on course to maintain overall compliance.</p> <p>The JASC noted the contents of the paper.</p>	
15/06/07/2022	<p><b>HMICFRS Action Plan Update – Progress Report</b></p> <p>SR outlined his paper which was an overview of activity in relation to HMICFRCS, specifically the PEEL inspection, which had been undertaken during late 2021 and throughout 2022 to date.</p> <p>SR further advised that Warwickshire were also subject to an unannounced custody inspection in late 2021 and a specific thematic inspection in Child Protection in February 2022.</p> <p>Whist a debrief regarding the PEEL inspection had recently taken place, no score was provided at present. Generally, the Chief Officers team were happy with the comments received and were as expected.</p> <p>SR had been advised that the final report will be available late autumn a draft being published early September 2022.</p> <p><b>Action; SR to send link to JASC members prior to publication.</b></p> <p>With regard to the Child Protection inspection there were no undue concerns, with some areas of good practice and some areas of improvement.</p> <p>The Custody thematic inspection does not give a score and there were some recommendations which are underway.</p> <p>GM mentioned that within the custody inspection there were some immediate actions and asked for confirmation that these had been rectified.</p> <p>SR/AFS were not able to confirm this and would report back.</p> <p><b>ACTION; SR to report back to JASC regarding whether</b></p>	<p><b>SR to send link to JASC members prior to publication.</b></p> <p><b>SR to report back to JASC regarding</b></p>

	<p><b>the Custody inspection immediate actions were completed.</b></p> <p>JASC noted the report.</p>	<p><b>whether the Custody inspection immediate actions were completed.</b></p>
16/06/07/2022	<p><b>To consider an update report on Health, Safety &amp; Wellbeing</b></p> <p>TC took members through her presentation which focused on the approach, governance and the areas of main focus around Health &amp; Wellbeing.</p> <p>JA asked whether screening for specific roles is new, TC confirmed that it was.</p> <p>TC confirmed that the Chief Constable chairs a new Health &amp; Wellbeing Board and there is also a business case for additional resources.</p> <p>HK asked if there was any data which compares forces regarding Health &amp; Wellbeing. SR confirmed that this was not the case only sickness absence was available for comparison.</p> <p>TC advised that she would be speaking with HK outside of the meeting to clarify the level of detail and information required by JASC members on Health and Safety moving forward.</p> <p>JASC members noted the presentation.</p>	
17/06/07/2022	<p><b>To receive a report updating the position on Estates and Sustainability</b></p> <p>TC took members through the two presentations which focussed on:</p> <p><b>Sustainability</b> This was identified as a key theme within 'Fit for the Future' and had 5 sustainability pillars, each with their own lead.</p> <p>AFS added that he had recently attended a Warwickshire event and there were a number of experimentation projects ongoing with lots of different angles. AFS confirmed that there was plenty of funding available but as PS had advised we needed to ensure there was a return on investment and it aligned with our other ongoing projects.</p>	

	<p><b>Estates</b></p> <p>TC confirmed that this was a long-term strategy, 5 year plus, and outlined the strategic intent.</p> <p>PS advised that the facilities management function had been transferred well from PPL and the right contracts have been maximised. Now it is more around the asset management side of estates, and we need to review things such as the two empty Court buildings, North Lodge in Leek Wootton and ensure all assets produce income. PS concluded by saying we are in a good place but there is a lot more work to be done.</p> <p>JA thanked TC for her presentations which were noted by JASC.</p>	
18/06/07/2022	<p><b>Draft Joint Annual Governance Statement 2021/22</b></p> <p>SA presented the draft Annual Governance Statement which she advised did require some final refinement, but it would be submitted as part of the draft accounts at the end of the month.</p> <p>SA advised it is a statutory document and explained the procedures and what we have done to comply with the governance framework. SA advised that this will be audited to confirm it accurately reflects the position and will be brought back to JASC in November prior to final sign off by the PCC and Chief Constable and their key staff. SA thanked those that had commented already and asked for further comments.</p> <p>DC advised that this was a good approach and clearly demonstrates compliance with the corporate governance framework.</p> <p>DC questioned 3.1 where it mentions that there will be a set of KPIs which will go to the Police and Crime Panel. CM advised that this was on her workplan and hopefully would be ready for the next meeting. PS confirmed these would be made public.</p> <p>HK mentioned para 3.1, page 5 around her work with dip sampling and suggested that as other JASC members have responsibility for specific areas, this might be useful to reference in the document as well.</p> <p>SA asked for any further comments to be sent direct and advised that she will then collate and finalise the document.</p> <p><b>Action: SA to finalise the draft AGS based upon any</b></p>	<p><b>SA to finalise the draft AGS based upon any feedback received.</b></p>

	<p><b>feedback received.</b></p> <p>GM advised of his assurance map document, prepared for JASC to show the available assurances on key service areas. The assurance map outlines three different levels/sources of assurance that the JASC could draw upon. He noted this is a working document only for the committee (i.e. not a formal document of the Force or OPCC), evidence has not been sought in terms of the assurance sources ; it records the position and will continue to be updated. JA confirmed that it would be useful to share with JM. GM to update.</p> <p><b>Action: GM to update the assurance map and circulate to all, JASC Members, JM, SA and JC.</b></p>	<p><b>GM to update the assurance map and circulate.</b></p>
19/06/07/2022	<p><b>To receive a progress update following the previously reported independent CIPFA Finance Management Capability Review (FMCRC) report.</b></p> <p>JC presented the paper on the progress against the recommendations contained in the FMCRC.</p> <p>Specifically, JC commented on Financial Resilience:</p> <ol style="list-style-type: none"> <li>1. This has improved since the review where the force scored 3/5 which is as per the majority for other forces.</li> <li>2. Training for budget managers was undertaken last year.</li> <li>3. VFM regime, where there is a need to move into added value.</li> </ol> <p>GM enquired around the governance arrangements and JC confirmed that this falls into the Fit for the Future, Operational Policing, Protective Services and Neighbourhood Services so goes to Exec Board with deep dives as appropriate.</p> <p>JC concluded by saying that a further review is to take place next year with the report taking approximately 4 weeks to complete so should be available in the spring.</p> <p>JASC noted the report.</p>	
20/06/07/2022	<p><b>Joint Audit and Standards Committee workplan</b></p> <p>SA asked all for any comments regarding the existing workplan and included the change in timing of the next meeting to the end of November 2022.</p> <p>AH enquired about cyber security and SA advised that a report on this had been presented in September 2021 so had come off the workplan.</p>	

	<p>JA requested that an update on Vetting is brought to the January 2023 meeting.</p> <p><b>ACTION: SA to update the workplan.</b></p>	<b>SA to update the workplan.</b>
21/06/07/2022	<p style="text-align: center;"><b>Members Points</b></p> <p>GM discussed his recent observations from his attendance at the Police and Crime Panel, given the Committee's terms of reference which included advising on governance.</p> <p>PS advised that the remit of the Police &amp; Crime Panel is to hold him to account, whereas his role is to hold the Chief Constable to account. At times operational matters are raised, however, the responsibilities of the Police &amp; Crime Panel are in the process of being reviewed. PS also confirmed that a briefing with the Chief Constable and the Panel is due to take place in December 2022 to aide understanding and to showcase recent and planned work.</p> <p>GM asked whether as the Panel is serviced by WCC it is in their remit to train and induct Panel members and PS confirmed that this does happen, also advising the OPCC have also undertaken training of the Panel in the past.</p> <p>ED thanked GM and the JASC for their observations.</p>	
22/06/07/2022	<p style="text-align: center;"><b>AOB</b></p> <p>There were no items of AOB raised.</p>	
<b>Next Meeting: Wednesday 29 November 2022 at 2pm at Leek Wootton</b>		

### Meeting Actions

Minute No/Agenda No	Actions	Status/ Timetable	Action owner
<b>14/19/01/2022 / 15/06/07/22</b>	AFS/DP to deliver a briefing note around the Peel Inspection. SR to send link to JASC members prior to publication of the Peel Inspection report.	August / September 22	AFS/DP SR
<b>17/16/03/22</b>	SA to look into potential training for Treasury Management	Nov 22	SA
<b>06/06/07/2022</b>	SA and LA to review the action list on the Open minutes.	Nov 22	LA/SA
<b>10/06/07/2022</b>	JM to confirm if the annual Grant Thornton conference may take place	Nov 22	JM

<b>11/06/07/2022</b>	AFS/SA to reconsider the inclusion of a business continuity audit in 2023/24 plan.	Nov 22	AFS/SA
<b>18/06/07/2022</b>	GM to update the assurance map and circulate	August 22	GM
<b>18/06/07/2022</b>	SA to finalise the draft AGS based upon any feedback received.	August 22	SA
<b>20/06/07/2022</b>	SA to update the JASC workplan	July 2022	SA