



Joint Audit and Standards Committee

OPEN Minutes 29th November 2022

Meeting Record:

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| Chair | John Anderson (JH), Audit Committee Member |
| Audit Committee | Attendees: John Anderson (JA), David Carter (DC), Helen Knee (HK), Andy Heath (AH) Apologies: Gavin McArthur (GM) – provided questions on agenda items |
| Police and Crime Commissioner | Attendees: Philip Seccombe (PCC), Polly Reed (PR), Sara Ansell (SA), David Patterson (DP) Apologies: Emma Daniell (DPCC), Claire Morris (CM) Minutes: Imogen Forrest |
| Warwickshire Police | Attendees: Alex Franklin-Smith (AFS), Jeff Carruthers (JC), Mike Kaine (MK), Steve Russell (SR), James Davies (JD), Helen Minett (HM), Andrew Shipman (AS) Apologies: Debbie Tedds (DT), Tania Coppola (TC) |
| Internal Audit | Attendees: Paul Clarke (PC) |
| External Audit | Attendees: Jackson Murray (JM), Siobhan Barnard (SB) |
| Date of Next Meeting | Wednesday 18 th January 2023 |

Actions and Matters Arising

| Reference | Discussion | Action |
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| 06.29/11/2022 | <ul style="list-style-type: none"> The minutes of the open meeting dated 6th July 2022 were agreed as a true and accurate record. | |

Warwickshire Police 12 month review

| Reference | Discussion | Action |
|---------------|--|--------|
| 07.29/11/2022 | <p>AFS advised that the CC will be presenting her 12-month review at the January 2023 meeting, but in the CC's absence he gave a brief overview of the forces current issues and a brief history of key events.</p> <p>Empower</p> <p>AFS highlighted that Empower has three elements: People, Place and Technology. Empower Technology and Place have been presented to the OPCC and Empower People will be presented in detail on 6th December 2022 at the monthly Governance and Performance Board meeting.</p> <p>AFS gave a brief overview of Empower People. The new model will ensure that policing is more localised to provide the most efficient and effective way to protect the residents of Warwickshire.</p> <p>HMIC</p> <p>AFS highlighted that HMIC had been inspecting the force for some time. The draft report was produced a few weeks ago and is in the process of being shared with key people. AFS stated that there were no areas of cause for concern but there were areas for improvement, which will be acted on. The report made fair assessments and an action plan has been produced with delivery leads assigned.</p> <p>AFS informed the JASC that HMIC had recently introduced a three-year cycle of inspections, resulting in Warwickshire potentially being re-inspected again in January 2023. The force is pushing back on this as it would not leave enough time for the force to act on the recent draft HMIC report recommendations.</p> <p>Vetting</p> <p>AFS highlighted that the CC is the national lead for Vetting, and this has a positive impact on the force. The current media coverage regarding the level of vetting for officers is being monitored.</p> | |

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| | <p>Professional Standards Department</p> <p>JASC members were advised that there is a PSD action plan and process whereby officers and staff are able to challenge inappropriate behaviour and actions that happen within the workplace or out on patrol.</p> <p>AFS highlighted the workforce contains a high number of young and inexperienced officers. Training is provided to them and students to ensure officers and students understand what is expected of them and how to adapt to becoming an officer. CC, AFS and the PCC do visit the student officers and reinforce the standards they are committing to.</p> <p>Operational Policing</p> <p>AFS advised that there has been an upturn in violence recently, but it is not obvious why this has occurred. There have been 2 murders and 2 attempted murders. However, a suspect has been arrested in relation to one of the murders, and has been remanded in custody and is awaiting trial.</p> <p>Vehicle Crime</p> <p>AFS stated that vehicle crime is increasing, and it is a challenge to the force. However, the force is cooperating with the West Midlands Police around this issue, who are also experiencing a spike.</p> <p>OCC</p> <p>AFS advised that the performance data has improved recently with 90% of calls being answered in 10 seconds. The demand of calls has been lower but it is expected the demand will increase over the Christmas period and new year.</p> <p>JASC noted the update.</p> | |
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Standards Update

| Reference | Discussion | Action |
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08.29/11/2022

DP presented the Standards Update report. This is in place to provide an update to the JASC on matters relating to police standards and ethics, and for them to have oversight and provide an independent review.

DP highlighted the main points within the report:

- **Complaint Reviews** – DP explained what a complaint review was and advised that since the JASC meeting in March, reviews have been taken in house and a total of 18 applications have been made. 8 complaints have been upheld, 5 were not and 3 are awaiting completion.

DC, asked on behalf of GM, once a recommendation has been made to the force, how do you know if they have accepted and actioned those recommendations? DP summarised the process and advised that the force have 28 days to respond to the OPCC and he has access to the final outcome of the complaint.

Action: DP to provide JASC with a briefing note on the process.

- **Complaint review dip-sampling** – HK recently conducted dip-sampling of the completed complaint reviews to provide assurance regarding the quality of the decision making and the content of the correspondence. HK noted there has been significant improvement with the way in which the office corresponded with the public.
- **Internal complaint review audit** – DP advised that all 9 recommendations made in the Nov/Dec 2021 report to improve the position have now been completed.
- **PSD** – DP advised that a meeting took place in the summer with the PCC and head of PSD to discuss performance and issues. A further meeting will take place next week to discuss themes identified from complaint reviews, along with IOPC data. PCC advised this will also be discussed at his meeting with Derek Campbell.

DP

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| | <ul style="list-style-type: none"> • Police Ethics Committee – On 12 October 2022, a meeting of the Police Ethics Committee was held. Several issues were discussed and included the forces Empower programme and Annual Integrity test. • Empower – AFS advised officers expressed their preferences for where they will be posted within the new model. Everyone was asked and most were successful and got the position they requested but some did not, but it was considered. • Integrity Test – As part of the Annual Integrity Health Check (AIHC) all force personnel have been asked to disclose their use of substances, as per the force policy on drug use. <p>JASC noted the report.</p> <p><i>DP left the meeting.</i></p> | |
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Informing the Audit risk Assessment

| Reference | Discussion | Action |
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| 09.29/11/2022 | <p>JM discussed the report that had been circulated prior to the meeting. He advised the report related only to the matters brought to their attention and that needed to be reported back to this meeting. The report includes a series of questions on each area with the response received from the PCC and CC's management.</p> <p>DC highlighted GM's queries regarding missing responses provided but JM clarified it was a printing issue.</p> <p>DC stated that he did not feel that Q12's response answered the question clearly and adequately. JM undertook to have this amended.</p> <p>JA noted that in view of the high value of projects undertaken over the last 2 years, there were few questions in respect of procurement and contract</p> | |

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| | <p>management fraud and these areas needed to be covered.</p> <p>Action: JM undertook to review the procurement/contract management fraud questions for 2022/23.</p> <p>JASC noted the contents of the report.</p> | JM |
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2021/22 External Audit Annual report statement

| Reference | Discussion | Action |
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| 10.29/11/2022 | <p>JM provided an overview of the report. He outlined that there were no significant concerns, and the report generally indicates a positive direction of travel. With one improvement recommendation on governance regarding the review of policies. He noted that this is the lowest level of recommendation, which is positive.</p> <p>JASC noted the Annual External Audit Report.</p> | |

2021/22 Joint Audit Findings Report (AFR) – PCC and CC and Letters of Representation

| Reference | Discussion | Action |
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| 11.29/11/2022 | <p>JM discussed the AFR in more detail at the pre-meet. He anticipated giving an unmodified opinion on the financial statements. Some minor work is still outstanding, but the intention is that the accounts will be signed off by 30th November 2022.</p> <p>Action: JC/SA to finalise and sign off the accounts with JM by 30/11/2022.</p> <p>The JASC noted the contents of the report and Letters of Representation and welcomed the completion of the audited accounts by 30/11/2022.</p> <p>Action: SA to keep JA updated on progress.</p> | <p>JC/SA</p> <p>SA</p> |

2021/22 Audited Draft Statement of Accounts and Joint Annual Governance Statement (AGS) – PCC and CC

| Reference | Discussion | Action |
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| 12.29/11/2022 | <p>JM, SA, MK and JC all confirmed with JASC members that they had received a full and satisfactory update on the Statement of Accounts and draft AGS in the closed pre-meet session.</p> <p>JASC noted Accounts and draft AGS for signing by the PCC and CC.</p> | |

Internal Audit Progress report update

| Reference | Discussion | Action |
|---------------|--|----------|
| 13.29/11/2022 | <p>PC presented the Internal Audit Report which summarised the progress towards completion of the agreed internal audit plan 2022/23 and provided an update on the implementation of agreed recommendations.</p> <p>PC advised that there is good progress in addressing most actions, which puts the force in a positive position for the delivery of the plan within the year.</p> <p>JASC noted the Internal Audit report.</p> <p>Action: Force and OPCC staff to meet with internal audit to prepare 2023/24 internal audit plan, noting action re business continuity.</p> | WKP/OPCC |

OPCC Performance Framework Overview

| Reference | Discussion | Action |
|---------------|--|--------|
| 14.29/11/2022 | <p>PR advised that the OPCC has completed the new restructure of the office with all positions being filled. One of the PCC's main roles is to hold the force to account, so CM has produced a new performance</p> | |

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| | <p>framework which will be explained in detail at the January 2023 meeting.</p> <p>PR advised the framework is in place to enable the PCC to identify the performance of the force but also identify areas of required improvement.</p> <p>Each priority will be assessed every month via intelligence and feedback from the OPCC. Priority will then be given to specific target areas/topics via the monthly governance and performance board meetings. Whereby detailed information, accountability, scrutiny, and account of an efficient and effective police service takes place on progress towards achieving the key milestones; this is reflected by RAG ratings.</p> <p>AH asked how the Performance Framework would be assessed. PR advised that it would initially be reviewed by the OPCC, then presented to the force and PCP and JASC.</p> <p>AH asked the time frame for it being completed and added that if it was done well, it would be a good piece of work. PR advised that the intention is to bring a further report to the JASC January 2023 meeting.</p> <p>JASC noted the overview of the OPCC Performance Framework.</p> <p>Action: CM to present a more detailed update at 18th January 2023 meeting.</p> | <p>CM</p> |
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Evolve Programme Closure Report

| Reference | Discussion | Action |
|---------------|---|--------|
| 15.29/11/2022 | <p>SR advised the purpose of bringing the closure report to the JASC, was due to the extent of briefings and reports on Evolve at previous meetings.</p> <p>SR highlighted that the Evolve programme was a huge success and achievement for the force, which has now allowed the force to focus on the next</p> | |

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| | <p>transition journey as an independent force through the Empower programme.</p> <p>HK questioned if the Evolve programme was fully closed? SR advised the programme has been closed and any outstanding lessons learnt/deliverables have been rolled into the Empower programme.</p> <p>DC acknowledge all the hard work done by the force in difficult circumstances. JA agreed.</p> <p>JASC noted the contents of the report.</p> | |
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Empower Place Presentation

| Reference | Discussion | Action |
|---------------|--|--------|
| 16.29/11/2022 | <p><i>JD & HM joined the meeting.</i></p> <p>JD highlighted the prioritised activities discussed under the 5 key aims of the programme and gave a brief overview of each:</p> <p>Estate and location planning - to update the estate in line with policing requirements, post transition out of the Alliance, and into the future.</p> <p>Agile working – to maximise utilisation of our freehold estate by embracing new technologies and supporting agile working.</p> <p>Maintenance and modernisation – to improve working conditions and the appearance of the estate, with focus on safety and wellbeing, in line with staff and public expectations.</p> <p>Sustainability – to adapt our estate to ensure that we are fit for a sustainable future.</p> <p>Security – to align our psychical security provisions to modern information assurance requirements and physical threat profiles.</p> <p>JASC noted contents of the presentation.</p> | |

Sustainability Work Presentation

| Reference | Discussion | Action |
|---------------|---|--------|
| 17.29/11/2022 | <p>JD briefly discussed the forces current sustainability position. JD stated that sustainability is identified as a key theme within the 'fit for future plan' which includes committing to a greener force to positively contribute to a sustainable environment.</p> <p>JD identified the 5 pillars to this plan and explained briefly each one:</p> <ol style="list-style-type: none"> 1. Sustainability culture and governance within the force – establish a clear and recognised sustainability culture within the force and ensure they understand their sustainability obligations as an individual and an organisation. 2. Carbon emission reduction – adapt physical infrastructure and working practices to reduce the overall ecological impact. 3. Waste reduction – minimise overall creation of waste and ensure we are applying the waste hierarchy effectively. 4. Sustainable, ethical, and compliant procurement - evidence a clear and transparent commitment to our responsible procurement obligations. 5. Supporting the prosperity of local organisations. charities and people - play a role in developing a prosperous community in Warwickshire and surrounding areas. <p>JD then presented the improvement plan which included short, medium/long term examples of ways in which it would contribute to a sustainable environment. There are 86 potential activities across the 5 pillars.</p> <p>JASC Members noted contents of presentation.</p> | |

Health and Safety Presentation

| Reference | Discussion | Action |
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| 18.29/11/2022 | <p>HM introduced herself to the meeting and presented the health and safety report which had been circulated prior to the meeting.</p> <p>HM highlighted the main points, which included:</p> <ul style="list-style-type: none"> • Between 1st April – September 2022, 629 incidents were reported. 229 reports of being ‘physically assaulted by a person’ and 129 near misses. Although some might expect Police Officer assaults to be part of the role, it should not be tolerated, and the numbers outlined are high. • Between 1st July – 30 September 2022, 46 incidents were reported. Again being ‘physically assaulted by a person’ was the highest reported incident. • 11 health and safety inspections took place between July - September 2022. Findings were that there were housekeeping issues. So the estates team have had several skips delivered and is in the process of getting rid of a lot of unnecessary equipment. • A new action plan has been created and gaps have been identified. There are 72 actions on the plan currently. It will be monitored and reported to H&S committee meeting quarterly. <p>ACTION: HM to provide an annual update on H&S to JASC.</p> <p>JASC noted contents of presentation.</p> <p><i>JD & HM left the meeting.</i></p> | HM |
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AS&I Assurance and Action Plan

| Reference | Discussion | Action |
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| 19.29/11/2022 | SR discussed the report which had been circulated prior to the meeting. The report provides an overview of progress with the Force Crime Data Integrity and Assurance Audit Schedule. The current | |

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| | <p>progress is noted along with the findings of recent audits.</p> <p>The report was presented and accepted at the Warwickshire Assurance Board in September 2022.</p> <p>JASC noted the report.</p> | |
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HMICFRS Update Report

| Reference | Discussion | Action |
|---------------|---|--------|
| 20.29/11/2022 | <p>SR advised that the report has been brought to the meeting so that the current activity is reviewed by the JASC. The report provides an overview of activity in relation to the HMICFRS inspection which assessed the effectiveness and efficiency of the force.</p> <p>Warwickshire Police has had a significant amount of HMCIFRS inspections throughout the last financial year 2021/22. Details of each inspection are recorded in the report:</p> <ul style="list-style-type: none"> • National Child Protection Inspection • Custody Inspection • PEEL Inspection <p>JASC noted the report.</p> | |

JASC Letter to the PSAA

| Reference | Discussion | Action |
|---------------|---|--------|
| 21.29/11/2022 | <p>Following circulation to JASC of a letter from the PSAA on the appointment of external auditors for 5 years from 2023/24. SA advised a letter had been received from JASC members with a recommendation for Grant Thornton to continue as external auditors. Assurances on the procurement process applied by the PSAA were also requested by the JASC. SA confirmed that PSAA had been written to and a subsequent initial response received. PSAA have more recently confirmed that they will be recommending the external auditor</p> | |

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| | <p>appointment of Azets Audit Services Ltd for Warwickshire PCC and CC for 5 years from 2023/24 onwards.</p> <p>Some discussion followed regarding the contents of the letter from PSAA and members acknowledged the current very difficult Public Sector audit environment.</p> <p>JASC acknowledged the exchange of correspondence and will be working with officers and staff to ensure that the external auditor transition process and new auditor appointment is seamless and successful.</p> <p>JASC noted the report and the subsequent letter from PSAA, advising Azets Audit Services Ltd would be the external auditor for 5 years from 2023/24.</p> | |
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JASC Workplan

| Reference | Discussion | Action |
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| 22.29/11/2022 | The committee advised that all comments, amendments, and adjustments had been made to the workplan. | |

Members Points

| Reference | Discussion | Action |
|---------------|---|--------|
| 23.29/11/2022 | <p>DC advised that he wanted to raise issues around the recent Police and Crime Panel meeting but this had already been discussed.</p> <p>Members agreed that in view of the short time period to the next meeting in January 2023, if Standard reports were not available to be presented at that meeting, it is understood, due to the Christmas/New year period they can be presented to the March 2023 meeting.</p> | |

Any Other Business

| Reference | Discussion | Action |
|---------------|------------------------------------|--------|
| 24.29/11/2022 | There were no items of AOB raised. | |

Meeting Actions

| Reference | Action | Action Status | Action Owner |
|---------------|--|---------------|--------------|
| 17.16/03/2022 | SA to look into potential training for Treasury Management for members | C/Fwd | SA |
| 10.06/07/2022 | JM to confirm if the annual Grant Thornton conference may take place in future years | C/Fwd | JM |
| 11.06/07/2022 | AFS/SA to reconsider the inclusion of a business continuity audit in 2023/24 | C/Fwd | AFS/SA |
| 08.29/11/2022 | DP to provide a briefing note on the assessment and clearance process of Standards recommendations. | Mar 23 | DP |
| 09.29/11/2022 | JM to review the Informing the Risk Assessment report for procurement/contract management fraud questions for 2022/23. | C/Fwd | JM |
| 13.29/11/2022 | Force and OPCC staff to meet with internal audit to prepare 2023/24 internal audit plan. | Jan/Feb 23 | WKP/OPCC |
| 14.29/11/2022 | CM to present a more detailed update on Performance Management to 18 th Jan 2023 meeting. | Jan 23 | CM |
| 18.29/11/2022 | HM to provide an annual update on H&S. | C/Fwd | HM |