

Joint Audit and Standards Committee

OPEN Minutes 15th March 2023

Meeting Record:

Chair	John Anderson (JA), Audit Committee Member
Audit Committee	Attendees: John Anderson (JA), Gavin McArthur (GM), David Carter (DC), Helen Knee (HK) Apologies: Andy Heath (AH)
Police and Crime Commissioner	Attendees: Philip Seccombe (PCC), Polly Reed (PR), Sara Ansell (SA) Teams : Claire Morris (CM) Minutes: Imogen Forrest
Warwickshire Police	Attendees: Alex Franklin-Smith (AFS), Jeff Carruthers (JC), Mike Kaine (MK), Steve Russell (SR), Jill Fowler (JF), Ross Campbell (RC)
Internal Audit	Attendees: Paul Clarke (PC)
External Audit	Attendees: Jackson Murray (JM)– teams
Date of Next Meeting	Wednesday 5 th July 2023

Minutes of the Open Meeting of 18th January

Reference	Discussion	Action
07.15/03/2023	The minutes of the open meeting dated 18 th January 2023 were agreed as a true and accurate record.	

Annual Review of the Corporate Governance Framework

Reference	Discussion	Action
09.15/03/2023	<p>The Corporate Governance Framework was discussed in detail. PR advised the JASC committee that there were few changes since the previous review in March 2022.</p> <p>HK suggested that it would be helpful for all members if they were sighted with the changes and explanations of the changes alone, rather than the entire document being recirculated. PR took note of the suggestion and advised that the changes mainly related to delegations to the DPCC, Emma Daniell, given that role is now filled, and a few more minor changes to procurement limits, various spelling and grammatical corrections and changes around complaint review arrangements at the OPCC.</p> <p>JA sought reassurance on behalf of the JASC members, that WKP and the OPCC are satisfied that the framework has been comprehensively reviewed and updated. PR confirmed on behalf of all, that it has been reviewed and updated.</p> <p>A number of committee members highlighted areas where further clarification would be useful, specifically in respect of some of the statements around the PCC's statutory responsibilities.</p> <p>Action: PR to review the framework document.</p> <p>JA stated that the document makes occasional reference to 2nd line Assurance Boards/Functions but the role and responsibility of these oversight functions is not described. JA advised that these should be fully documented into the framework.</p> <p>Action: Oversight functions to be documented into the full review Governance Framework.</p> <p>JASC noted the report.</p>	<p>PR</p> <p>PR</p>

Vetting Update

Reference	Discussion	Action
10.15/03/2023	<p>RC joined the meeting.</p> <p>A presentation had been prepared by RC around WKPs vetting and the importance of vetting in general. RC thanked the JASC committee for the opportunity to present an overview of the forces position in relation to vetting from both an internal perspective and in order to provide an update on the Police National Vetting Scheme and progress against the HMICFRS recommendations following the Vetting, misogyny and misconduct thematic inspection. RC explained each slide in detail and opened up for any questions.</p> <p>HMICFRS</p> <p>The recommendation chart was discussed in detail. RC explained that the chart is colour coded; amber is meeting the recommendation and green is completion of the recommendation. HK stated that it is reassuring to see 7/8 recommendations being coded green.</p> <p>Vetting Backlog</p> <p>The committee were advised that the vetting department paused taking new applications for an 8 week period which allowed RC and team to half the backlog of applications.</p> <p>HK questioned that with the upcoming HMICFRS review, are there any major concerns? RC advised that the force have no issues and are in control of the review.</p> <p>HK also questioned if there are any pressures from service users awaiting vetting clearance? RC confirmed the department does get pressure put onto it but all users are given the opportunity for a premium service which is managed accordingly.</p> <p>Vetting Debts</p> <p>JC explained the graph which is included in the presentation. The red line are debts over 90 days,</p>	

	<p>yellow line over 30 days and green line between 0-30 days.</p> <p>The committee were advised that significant work has been undertaken by the finance team to reduce this debt over recent weeks, and this is evident from the graph. The risks are also being managed through an internal gold group.</p> <p>JA questioned if there was any bad debt. JC confirmed it is included in the red line.</p> <p>HK questioned if the outstanding debts are risks for the force. AFS confirmed there are elements of risks due to CC being the national lead.</p> <p>DC questioned if there are different processes for vetting own staff compared to when vetting is done for external forces? RC advised there are slightly different checks done but they are largely similar.</p> <p>JASC noted the report.</p>	
--	--	--

Professional Standards Update

Reference	Discussion	Action
11/13.15/03/2023	<p>JF thanked the JASC committee for inviting her to attend the meeting as the new Head of Professional Standards Department.</p> <p>A presentation was also prepared by JF and circulated prior to the meeting. JF explained each slide and opened up for questions from the committee.</p> <p>Business Interests</p> <p>JF advised there are currently 320 business interest which all come to her to approve. The CEX of the OPCC approves any of the CC interests.</p> <p>Notifiable Association</p> <p>Every member of the organisation has a responsibility to notify PSD of any known</p>	

	<p>association with any person, group or organisation that may place them in a potential vulnerable/compromised position.</p> <p>PSD Reporting</p> <p>JF advised of numerous ways of reporting to PSD.</p> <p>HK questioned if it is possible to have a joint paper along with the standards report every 6 months? HK & JF to discuss outside of meeting.</p> <p>Action: HK to contact JF around joint papers.</p> <p>Integrity Screening</p> <p>On the back of incidents that have occurred within the Met all staff/officers data has been put through the Police National Database which will then be reviewed by PSD manually.</p> <p>JASC noted the policy and update.</p>	
--	---	--

Warwickshire Police Gifts and Hospitality Policy and Update

Reference	Discussion	Action
12.15/03/2023	<p>JF gave a more detailed update relating to the Gifts and Hospitality policy complimenting the report/register provided for the last JASC meeting in January.</p> <p>JF confirmed there were 40 declarations in the previous financial year made by police officers.</p> <p>HK questioned if the declaration were self-declared or needed promoting? JF confirmed they were all self-declared and in the most recent annual health check there was 100% compliance.</p> <p>JASC noted the report.</p>	

External Audit Progress Report and Sector Update

Reference	Discussion	Action
14.15/03/023	<p>A brief discussion took place around the External Audit Progress report which had been circulated prior to the meeting. JM advised that the report contains updates on current external audit issues and links to publications, news and reports that may be of interest to members of the JASC.</p> <p>JM highlighted that external audit planning work has begun along with conversations with the Finance teams.</p> <p>JA sought assurance that the Audit and value for money report is to be signed off by 30th September. JM advised that best efforts will be made to meet the 30th September deadlines.</p> <p>JA also questioned if the draft accounts will be completed by 31st July for audit? MK advised the accounts will be done for 31st May.</p> <p>Action: Risk assessment and Plan to be submitted to July meeting.</p> <p>JASC noted the progress report.</p>	

Internal Audit – 2023/24 Workplan and Strategy

Reference	Discussion	Action
15.15/03/2023	<p>The Internal Audit Strategy and Plan for 2023/24 was presented to the JASC committee for them to consider and feedback on the proposed strategy and plan, the audit charter and the service level agreement, prior to approval by the PCC and/or CC.</p> <p>PC advised that the report introduces the proposed plan for 2023/24 which has been completed following a review of both risk registers and consideration of sources of assurance and consultation with managers from both the force and OPCC.</p>	

	<p>PC stated the plan is for 170 days which in his opinion is sufficient to provide an evidence based annual opinion.</p> <p>A discussion took place around the topics included in the audit plan. GM clarified that it is the PCC and CC to approve the documents and topics for inclusion on the plan. AFS highlighted the force are open to being audited on any area but suggested that there needed to be a system of prioritisation in place.</p> <p>JASC noted the information provided.</p>	
--	---	--

Internal Audit – 2022/23 Update

Reference	Discussion	Action
16.15/03/2023	PC presented the Internal Audit Update report which summarised the progress towards completion of the internal Audit plan 2022/23. It also provides an update on the implementation of agreed recommendations.	

2022/23 Budget Monitoring Report & Forecast Outturn

Reference	Discussion	Action
17.15/03/2023	<p>The Budget Monitoring Forecast Outturn report for 2022/23 was discussed briefly. JC advised that there were no significant changes in the forecast outturn, to that reported previously.</p> <p>DC highlighted that it is a good report.</p> <p>JASC noted the report.</p>	

Annual Review – Capital and Reserves Strategy

Reference	Discussion	Action
-----------	------------	--------

18.15/03/2023	The Capital and Reserves Strategy was discussed and the committee were advised that the two separate strategies have been updated and reviewed for 2023/24 and any feedback/comments are welcomed, prior to the approval of the PCC.	
---------------	--	--

Treasury Management Strategy

Reference	Discussion	Action
19.15/03/2023	<p>MK introduced the treasury management strategy. it followed a more detailed update on treasury management matters provided for members and also the PCC at the pre-meeting, by the expert advisors, Arlingclose.</p> <p>MK highlighted the inclusion of the new prudential indicator – the liability benchmark.</p> <p>Committee members noted the report, and noted that this will be approved by the PCC.</p>	

ASI Assurance and Action Plan

Reference	Discussion	Action
20.15/03/2023	<p>A discussion took place around the ASI action plan and SR advised that the force are currently on track in accordance to the schedule and aim to complete by the year end.</p> <p>GM questioned if each area of improvement is allocated to certain individuals and boards? SR confirmed they are.</p> <p>GM also questioned if the recommendations are submitted to the Assurance Board?. AFS advised that he is the chair of the meeting and can confirm that they are submitted and it is formally defined as a part of the Governance Structure.</p>	

	JASC noted the papers and progress plan that is to be completed at year end.	
--	--	--

HMICFRS Action Plan Update

Reference	Discussion	Action
21.15/03/2023	<p>SR gave a brief update on the HMICFRS action plan in order for the members to note the current activity. SR advised a more expansive update will be reported to the next meeting.</p> <p>SR highlighted that there will be a Counter-Corruption and Vetting inspection to take place in Warwickshire the week commencing 24th April.</p> <p>JA asked if possible could a report be provided for when a recommendation is closed on time? SR advised that the information provided at the meeting is the most up to date and has all relevant information needed.</p> <p>JASC noted the report and activity.</p>	

JASC Workplan

Reference	Discussion	Action
22.15/03/2023	<p>A brief discussion took place around the workplan and the committee member's lead on associated reports.</p> <p>Action: SA to amend estates lead to AH.</p> <p>JA suggested that an informal meeting is set up in October. All members agreed.</p> <p>Action: SA to arrange an October informal meeting and to invite necessary attendees.</p>	<p>SA</p> <p>SA</p>

Members Points

Reference	Discussion	Action

23.15/03/2023		
---------------	--	--

Any Other Business

Reference	Discussion	Action
24.15/03/2023	GM is to attend the Police and Crime Panel meeting on 6 th April 2023.	

Meeting Actions

Reference	Action	Action Status	Action Owner
9.15/03/2023	PR to review the framework document		PR
9.15/03/2023	Oversight functions to be documented into the full review Governance Framework		PR
22.15/03/2023	SA to amend estate lead		SA
22.15/03/2023	SA to arrange an informal meeting in October		SA

Approval



by John Anderson on 05/07/2023