

**Meeting: Joint Audit Committee**

**Venue: Police HQ**

**Date: 29th July2020**

**Due to the current Coronavirus pandemic the meeting held on the 29th of July 2020 was conducted via Skype for Business.**

|  |  |
| --- | --- |
| **Members:** | Mr Malcolm MacDonald (MM)  Mr Martin Evans (ME)  Mr Andre Morgan (AM)  Mr Alasdair Kenwright (AMSK) |
| **JAC Attendees** | Mr Mark Collins, Chief Constable (CC)  Mr Dafydd Llywelyn, Police and Crime Commissioner (PCC)  Mrs Beverley Peatling, Chief Finance Officer (CFO)  Mrs Carys Morgans, Chief of Staff (CoS)  Mr Edwin Harries, Director of Finance (DoF)  Mr Ian Williams, Assistant Director of Finance (IW)  Mrs Kerrie Phillips, Governance Demand & Performance Manager (KP)  Mr Jonathan Maddock (TIAA), (JM)  Jason Blewitt, WAO (JB)  Mr Huw Morgans, Risk & Business Continuity Management Advisor (HM)  ChInsp Elaine Bendle, Demand and Performance, Governance and Change (ChInsp EB)  ChInsp Alan Millichip, Digital Projects and Innovation, Governance and Change (ChInsp AM)  Insp Richard Janas, Inspection and Review, Collaboration and Efficiency (InspRJ)  Mrs Debby Jones, Information Manager (DJ)  Ms Karen Davies, Force Accountant (KD)  Miss Caryl Bond, Assurance Support Officer (CB) |
| **Apologies** | Ms Kate Curran (KC) |
| **Declarations of Interest:** | None. |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | | ACTION SUMMARY FROM MEETING ON (18th March 2020) | | |
| **Action No** | **Action Summary** | | **To be progressed by** | **Progress** |
| **A149** | **For Members to receive an update on the progress on the contractual issues that were being experienced in relation to the ICV Infrastructure.** | | **Mark Hall** | **Complete** |
| **A149** | **CB to amend section A138 in the minutes to reflect that HC was present not JB.** | | **CB** | **Complete** |
| **A150** | **WAO to amend the typo on page 4 within the WAO draft 2020 Audit Plan.** | | **WAO** | **Complete** |
| **A155** | **TIAA to amend the numbering within the Estate Management Delivery audit.** | | **TIAA** | **Complete** |
| **A155** | **For the Committee to receive an update in relation to Rec 2 having implementation date of 31/01/20 but the individual responsible for the report not being available until 13/03/20.** | | **HR** | **Complete** |
| **A156:** | **The table of contents in the Draft Joint Corporate Governance Framework gets changed to reflect the change of 2020/21.** | | **Claire Bryant** | **Complete** |
| **A157** | **MM noted that the capital programme set out for 2020/21 has a rounding error. The grant funding and the capital grant figures are opposite to that shown in the table in the Treasury Management Strategy.** | | **Finance** | **Complete** |
| **A167** | **OPCC to explore options of holding future meeting via skype etc. should members be unable to meet in person.** | | **OPCC** | **Complete** |

**A170 2019/20:** **Minutes of the meeting held on 18th of March 2020 and Matters Arising**

**Action A170: CB to amend the attendee list to show CFO in order to match content of minutes and to ensure that the correct spelling is used in A136 2019/20.**

**Decision D170: Pending any needed amendments the minutes of the meeting held on 18th of March 2020 were accepted as a true record.**

It wasnoted that in terms of the Collaborative value for money report that this will be brought to the next meeting. MM requested that along with the value for money report that members receive some comments in connection with the report that HMICFRS have issued in terms of collaborative arrangements.

**Action A170: For both the WAO Value for Money collaborative report and the HMICFRS report on collaborative arrangements to be brought to the next meeting as a twofold agenda item.**

An update was given in relation to A97 2017/18 in relation to the Commissioners Trust. DoF explained that there has been a series of meetings in relation to the Safer Dyfed-Powys charity and that they are looking at the Force Community Safety Department to take a lead on day to day activities. Work in relation to this is still ongoing.

Members noted this and will keep it on the actions list for a further update at the next meeting.

**A171 2019/2020: Internal Audit reports for 2019/20**

JM was welcomed to the meeting and was asked to provide an overview of the Internal Audit reports for 2019/20.

1. **Assurance Review of Data Assurance - Mobile Data Interface**

Outcome: Reasonable Assurance with four priority 2 recommendations. The review found that the Mobile Data Device policy needs to be reviewed to ensure it reflects all current practices. Officers currently need to be reminded to synchronise mobile devices in a regular and timely manner when case notes have been completed, Officers to be remind that when attending a road traffic collision, T763's must be submitted within five days of the incident to adhere to legislation and ad-hoc reports need to be sense-checked for accuracy.

DoF noted that all recommendations have been accepted and the Force is in the process of implementing all actions with some already completed.

1. **ICT Review of Counter Fraud – External Threat**

Outcome: Reasonable Assurance with one priority 2 recommendation. The recommendation was that the Force utilise the Microsoft Enterprise Mobility and Security suite to improve cyber security. This recommendation has been agreed and accepted by the Force.

The Panel noted that this is a very positive report in an area which is an extremely important technical area.

1. **Appraisal Review of Counter Fraud – Internal Exposure**

Outcome: Reasonable Assurance with one priority 2 recommendation and five priority 3 recommendations. This recommendation noted that there is currently no formal report to the Joint Audit Committee on internal fraudulent activity to provide the necessary assurance that internal controls and processes are mitigating the risk of fraud or, where fraud has occurred, that appropriate measures are put in place to prevent any further such occurrences.

**Action A171: For fraud activity to be regularly reported to each JAC meeting.**

ME queried in relation to point 11.6 in relation to the number of cases closed (finalised) in the Anti-Corruption Unit within PSD. It was noted that the highest number of cases were recorded as “other” within the table of categorisation. It was queried as to whether further analysis is needed to breakdown trends within this category, or a note to state that no two cases were the same etc.

**Action A171: JM to look into the cases categorised as “other” and report back to the Committee.**

It was noted by the Committee that Fraud activity is now a regular agenda item and that updates will be given on this going forward.

1. **Compliance Review of the Commissioners Grant**

Outcome: Reasonable Assurance with three priority 2 recommendations and three priority 3 recommendations. This report noted that documentation relating to the grant funding services needed to be saved to a shared drive; the Commissioner’s decision log on the website needs to be updated and the Grant Process Procedure needs to be finalised and approved.

CoS noted that all recommendations have been accepted with all actions now completed. It was noted that a shared drive is now being utilised, the Grant Process Procedure is now in place and that there is now an individual in the office who regularly checks all decision logs links as part of their assurance work.

1. **Assurance Review of Strategic Planning and FMS Data**

Outcome: Reasonable Assurance with one priority 2 recommendation and three priority 3 recommendations. The report found that the quality of data has been highlighted as an issue in identifying current and future demand. Investment is being made in a new Resource Management System that is intended to address these known issues, but will not be available until October 2021 at the earliest. In the meantime, greater use is to be made of the Demand Team to assist in identification and preparation of relevant data. It was also found that actions identified from the Force Management Statement (FMS) need to be actively monitored at Delivery Board level.

MM wished to note that the timetable is not determined by the Force but by HMICFRS in terms of the FMS. MM noted that it isn’t mentioned that the report should feed into the Medium Term Financial Plan and that the timing of August has been useful in order to help drive this work forward.

DoF agreed that the timing is important due to matters identified as a risk within the FMS being incorporated within next year’s budget, feeding into the Medium Term Financial Plan.

DoF noted that there is a debate on the acceptance of the recommendation of risk assessing each chapter within the FMS, it was felt that due to the chapters being so broad, giving one risk grading to cover its entirety is quite difficult. Discussions are taking place in relation to this.

1. **Assurance Review of Cybercrime Management**

Outcome: Reasonable Assurance with four priority 2 recommendations and one priority 3 recommendation. The report highlighted that the Digital Communications and Cyber Crime Unit plans to introduce the examination of mobile telephones by Crime Scene Investigators (CSIs) will need to be monitored especially taking into account their workload; that the turnaround time of processing devices still needs to be reviewed and continually addressed and that Formal back up arrangements are required for the server used to retain images from mobile telephones.

All recommendations have been accepted.

ME queried whether the aim to reduce the backlog during the pandemic period has been achieved and whether there has been any learning to avoid another backlog in the future.

DoF noted that definite progress has been made with the number of cases being reduced. DoF also explained that discussions are taking place in terms of how they can streamline decisions being made. It is acknowledged that this is a high demand linked area and that the review of processes and decisions being made will continue post pandemic.

PCC reiterated that this is a high demand area and that the department has been given additional funding in the past to try and help ease the demand and backlog, resulting in improvements. The PCC also explained that he had been involved in meetings regarding the setting up of a Cyber Resilience Centre, which will be a virtual asset from funding provided by the Home Office and the Welsh Government. The PCC reassured the Committee that this area will continue to be monitored by him to try and he was committed to help drive improvements.

MM noted that the figures on page 8 on the number of cases on the 08/08/2019 do not add up correctly.

**Action A171: TIAA to revise the figures on page 8 on the number of cases on the 08/08/2019 column to ensure that the total number is correct.**

DoF wished to comment that recommendations 3 and 4 are general and not specific, making the recommendations hard to achieve.

The Committee noted that this has been a very useful report in a key area.

1. **Assurance Review of Security of Seized Proceeds of Crime (Cash and Assets)**

Outcome: Reasonable Assurance with five priority 2 recommendations and one priority 3 recommendation. The report highlighted that Cash Seizures are not being banked in accordance with the Cash Seizure Policy and Procedures, Officers are not always counting seized cash after conducting investigations in readiness for banking, Cash Seizures were found at Ammanford Station dating back to 2017 and 2018 which should have been banked and that the Force Insurance Policy needs to be reviewed in relation to cash seizures.

The CC wished to reassure the Committee that attention is being given to the issues that were identified from the review.

MM raised on page 13 that the date of a seizure is down as 29/09/2001. MM queried whether 2001 was a typo.

**Action A171: JM will check the date on page 13 of the insurance Review of Security of Seized Proceeds of Crime (Cash and Assets) where 29/09/01 is recorded as a date for a seizure.**

ME queried that in relation to recommendation 6 on insurance cover for seized cash, whether fidelity insurance would cover this area. IW stated that they are currently looking at their insurance policies and they have raised a specific query to check whether their fidelity insurance covers seized cash.

1. **ICT Review of Data Assurance – Management of Police Information(MOPI) and Primary Nominal Index (PNI)**

Outcome: limited assurance with two priority 1 recommendations and four priority 2 recommendations. The report highlighted that the current use of data is not fully compliant with General Data Protection Regulations (GDPR) and the Data Protection Act, but the Force is focused on achieving compliance and that regular reviews of Golden Records need to be undertaken using National Retention Assessment Criteria (NRAC) to align with the requirements of the Management of Police Information (MOPI).

MM asked if it was possible to receive an update at a future meeting on the decision made on the two possible preventative options that are highlighted in the report, the report currently states decision pending.

**Action A171: For the Committee to receive an update at a future meeting on the decision made on the two possible preventative options that are highlighted in the ICT Review of Data Assurance – Management of Police Information (MOPI) and Primary Nominal Index (PNI) report.**

PCC wished to note that the most recent HMICFRS report on collaboration did positively state that Collaboration between the Welsh forces is working successfully.

**A172 2019/20: Summary Internal controls Assurance (SICA) Report 2019/20**

JM explained that this is the closure SICA report 2019/20 which details all the reviews finalised since the last meeting and a summary of all the outcomes coming from each of the reviews and their finalisation dates.

It was noted that six days of the contingency time was used to review the PCC’s grant giving processes, and a review of the RMS project was also scheduled prior to the lockdown but never commenced.

The Committee noted that the revised programme for 2019/20 was as provided in this SICA report and noted that some reviews will be moved in to the programme for 2020/21.

**A173 2019/20: Internal Audit Annual report 2019/20**

JM gave a summary of the Internal Audit report for 2019/20. JM explained that the layout is similar to previous years, however, they have introduced a section on the limitations around Covid-19.

CoS queried whether it would be useful in future for annual reports to provide further detail in relation to urgent recommendations and if possible the progress being made against these.

JM will make a note for the next report.

**A174 2019/2020: Internal Audit Follow up review 2019/20**

JM gave an overview of the Internal Audit Follow up review. It was noted that 2 recommendations have been implemented, 10 recommendations were classified as outstanding and 13 that were unable to be followed up due to lockdown and will therefore be followed up as part of the interim review. IW wished to reassure the Committee that many of those 13 have already been completed and that progress is being made.

The Committee wished to thank TIAA for all their work undertaken over the last year.

**A175 2019/20: Internal Audit Plan 2020/21**

JM presented the plan for reviews in 2020/21. The key themes identified for 2020/21 are; EU Exit, Value for Money, Health and Wellbeing, Professional Standards, Service Pressures, IT Security and COVID-19. The Plan sets out the plan for Dyfed-Powys and also the collaboration work planned for the coming year.

DoF queried whether the 2 audits that were cancelled due to Covid-19 have been carried over to this year and if not, was it possible for carry over time to be allocated?

CFO stated that there is a balance of 14 days between the planned dates in 2019/20 plan. DoF noted that it would be useful to see if the two outstanding reviews could be covered within that period.

IW asked when the plan for 2021/22 would need to be set. MM noted that they usually look at the plan in the March JAC meeting. IW noted that it would be beneficial to allow departments the time to put themselves forward for reviews and that the work of internal groups and meetings will be instrumental in helping to identify areas for review and to help form the plan for next year. JM noted that they would start to pull together the plan in December in readiness for March. JM also noted that he has been in discussion with CoS regarding his attendance at future Audit Governance Group meetings. JM stated that he will be able to talk through the internal audit process, reassure individuals of any concerns and express the benefits of putting themselves forward for reviews.

CoS noted that the first meeting is mid-September and that they are looking forward to welcoming JM to this meeting.

MM noted positively that ME will also be attending these meetings as a JAC representative.

MM asked JM for an update at the next meeting on how their plans are going and whether Covid-19 has impacted on their ways of working.

**Action 175: TIAA to provide and an update at the next meeting on how their plans are going and whether Covid-19 is impacting on their ways of working and progress against their plan.**

**A176 2019/20: Summary Internal controls Assurance (SICA) Report 2020/21**

JM gave an overview of the SICA report for 2020/21. It was also explained that there is a new style of reporting which includes a section on any emerging risks with the key risk identified for this period relating to Covid-19. The new style of reporting also includes a table on root cause indicators – which will be a regular feature within these reports going forward. The Root Cause Indicators (RCI) have been developed by TIAA to provide a strategic rolling direction of travel governance, risk and control assessment for the Police and Crime Commissioner Dyfed-Powys and Chief Constable Dyfed-Powys Police. Each recommendation made is analysed to establish the underlying cause of the issue giving rise to the recommendation (RCI). The analysis needs to be considered over a sustained period, rather than on an individual quarter basis. No audit work has been completed in Quarter 1 in the new reporting format, therefore the Committee will not be able to see any data on this until the next meeting.

JM noted that they are working closely with IW and management to make progress against the plan in light of Covid-19.

MM stated that in relation to page 4 where it notes the management’s responses to the Briefing note that the comments make reference to JAC considering the methods used for Virtual Meetings and Video Conferencing during the COVID-19 Pandemic and for JAC to consider if the briefing note is consistent with established IS&T practices.

**Action A176: For the Committee to consider at the next JAC meeting page 4 of the SICA report 2020/21 where it notes the management’s responses to the Briefing note that the Committee consider the methods used for Virtual Meetings and Video Conferencing during the COVID-19 Pandemic and that JAC consider if the briefing note is consistent with established IS&T practices.**

**A177 2020/21 reports of the internal auditors:**

1. **Appraisal Review of Driver Retraining Programme**

Outcome: Substantial Assurance with three priority 3 recommendations. No urgent recommendations were raised. A few minor recommendations were identified to enhance the controls monitoring processes in place. A very positive report.

MM noted positively that there was a very good management response time for this report.

**A178 2020/21: Audit enquiries to those charged with governance and management letter**

CFO explained that this is an annual requirement from the Wales Audit Office (now known as Audit Wales).

**A179 2020/221: Final DRAFT version of ISA260 - Audit Wales Audit of 2019/20 Accounts Report**

JB explained that this is the report that is submitted following the completion of their Audit work which summarises the main findings which have been identified through their audits.

JB wished to thank CFO, DFO, IW, KD and the Finance Team for all their work in getting the accounts prepared under tight timescales and working virtually due to the unique pandemic circumstances.

JB explained that the report is in draft which is different to previous years, due to the call of audit date now taking place on the 1st of September due to Covid-19 pandemic.

JB will issue the draft report as a final version prior to the 1st of September for signing.

JB noted that Covid-19 has impacted on their way of working and that they will be reviewing/ learning the lessons, looking at the new ways in which they have worked.

It was explained that they intend to issue an unqualified audit opinion on this year’s accounts for both the Commissioner and the Chief Constable once they have been issued with the Letters of Representation. JB also wished to note that they have included an Emphasis of Matter paragraph in the audit opinion on the Commissioner accounts. This draws the reader’s attention to valuation uncertainties as a result of the COVID pandemic.

JB noted that Audit Wales have reported some issues over the last couple of years in regards to the number of minor errors there are occurring in the accounts and working papers and that possibly a more robust quality assurance process is required for the accounts prior to them being sent to Audit Wales. This observation has been discussed with the finance team and it is an area that they will look to strengthen in future years.

MM noted that the references are incorrect within the audit report in connection with the section on the responsibilities of the Finance Officer for the financial statement.

MM also noted that some of the corrections made references which don’t match up with the document itself. JB stated that the appendixes are based on a draft version and need to be updated. JB will amend for final version.

**Action 179: JB to check the references within the audit report and the appendixes to ensure that they are corrected for the final version.**

MM wished to thank everyone for their work in pulling together the accounts, in particular under the Covid-19 pandemic difficult circumstances.

IW wished to reassure the Committee that the need to implement a stronger Quality Assurance process has been accepted and that they will look at ways in which they can start the process sooner to dedicate more time to quality checking.

CFO and the DoF also wished to note their thanks to Audit Wales and the entire Finance Team for delivering the accounts against the usual timescales.

**A180 2002/21: To receive the draft 2019/20 Letter of Representation for the Police & Crime Commissioner and Chief Constable**

Members were happy with the content and letters were recommended for signature by the appropriate signatories.

**Decision 180: The draft Letter of Representation of the Police and Crime Commissioner was recommended for signature by the appropriate signatories.**

**Decision 180: The draft Letter of Representation of the Chief Constable was recommended for signature by the appropriate signatories.**

**A181 2002/21: To consider the draft Annual Statement of Accounts for 2019/20**

1. **Group Accounts**

CFO wished to bring two issues to the Committees attention, noting that there are two aspects which may need amending. In 6.19 of the narrative report they talk about the comprehensive spending review; this has now been announced and the narrative needs amending to reflect this. Secondly, in relation to pensions the MHCLG announced on the 16th of July the consultation on the McCloud remedy and pensions scheme. This has been referred to their pension advisors, and a response has been received which does provide some confidence in relation to the Police pension funds but urged caution in relation to some changes around the LGPS. This has been referred to Audit Wales to urgently assess the implications.

CFO emphasised the value of the June seminar where the Statement of Accounts are reviewed by members in detail.

MM had one query arising from the Audit Wales report that mentions figures being changed. MM asked KD to review page 68 in relation to the carrying amount figures and the fair value amounts in the first column to check that these figures have been changed.

**Action A181: KD to change the figures within the Statement of Accounts on page 68 to reflect the changes mentioned in the Audit Wales report.**

1. **Chief Constable Accounts**

DoF noted that there has been no change in their financial position since the June seminar and that they have made all the necessary amendments resulting from the discussions within the seminar.

MM wished to express the thanks of the Committee for all the work that has been undertaken in preparing the accounts.

**Decision A181: The draft Statement of Accounts of both the Chief Constable and Group accounts were recommended for signature by the appropriate signatories subject to any matters arising from the call of audit**

DoF wished to thank KP for her work on the Annual Governance Statement.

**A182 2002/21: HMICFRS and Force Management Statement**

Ch Insp Elaine Bendle attended the meeting to discuss the Force Management Statement (FMS).

Ch/Insp EB explained that this is their 3rd year in producing and FMS with the Force adopting the document as a Strategic planning document. The FMS was due to be submitted at the end of May, however, due to Covid-19 HMICFRS suspended this requirement to produce an FMS this year. The Force have decided to still produce an FMS with the aim of submitting to HMICFRS end of August.

It was explained that the Force has taken a different approach this year with a centralised co-ordinated approach being implemented with the FMS being integrated into other Force planning cycles. The FMS is now being co-ordinated by the demand team with a pro-active analysis approach. This approach also allows for independent analysis, and will create consistency and support the identification of interdependency’s.

Ch/Insp EB gave the Committee an overview of the 4 step approach which has been prescribed by HMICFRS in pulling together the FMS. It was noted that the pandemic has meant that the Demand Team have had to completely re-look at the section on current demand and that of the next four years. Covid-19 has had a significant impact and has therefore been factored in.

MM queried whether there has been any guidance given in relation to the pandemic and how forces are dealing with it. Ch/Insp EB stated that there has not been any guidance, but they are looking to run focus groups in September. It was explained that one benefit of the force pulling together the FMS this year is that they are been able to submit the document in line with timescales that suit them. Many Forces have seen this benefit and it is expected that this flexibility of submitting later will be raised with HMICFRS again for future years.

CC noted that Sarah Cooper the Force HMICFRS liaison Officer sits on many Force Covid-19 meetings and is fully engaged with the Force. HMICFRS are interested to learn how Forces are dealing with Covid-19 and any lessons learnt.

PCC wished to express that there is now a positive relationship between the Force and HMICFRS, with strong engagement between Sarah Cooper and the Force. The PCC emphasised the importance of the Police and Crime Plan and the FMS.

CC expressed his delight as being one of three forces that have been selected to pilot the new HMICFRS PEEL process, it is felt that this shows the level of progress that the force has made in being selected.

The Committee thanked Ch/Insp EB for her presentation.

Ch/Insp AP attended the meeting to discuss HMICFRS and PEEL. It was explained that on the 13th of March the HMICFRS suspended their inspection work to allow forces to concentrate on their Covid-19 response. They have now received notice of resumption and received revised inspection plans for the year. HMICFRS have now changed their approach to force inspections, they now use a framework which concentrates on an organisational assessment, an operational assessment and a service user assessment which includes an assessment on victims of crime. It was explained that the Force will no longer receive the three grading’s under effectiveness, legitimacy and efficiency but will receive ten drawn from a list of questions linked to the three new framework clusters. It was explained that the new approach has a greater emphasis on police contact with the public and the experiences of those using the service.

It was explained that the FMS will act as a baseline for HMICFRS activity with the document providing a clear force position across different areas.

Ch/Insp EB wished to note that part of the PEEL pilot will be around gradings, traditionally there have been four gradings, requires improvement etc. However they are now looking to introduce a new grading which is “Fair”. It was felt that the jump previously between requires improvement and good was too large and therefore fair has been introduced as a middle outcome.

MM thanked Ch/Insp AP for his presentation.

MM noted that Sarah Cooper is always welcome to attend any future JAC meetings.

MM stated that there is a collaborative report being brought to the next JAC meeting in relation to value for money by Audit Wales, the Committee is interesting in receiving information on the report which has come out with HMICFRS on Collaborative workings. It would be useful to receive an update on this at the next meeting (link to A170).

**A183 2002/21: The Covid19 and Force significant Corporate Risks**

HM explained that there is a positive and improving position in relation to the management and mitigation of corporate risks. HM gave some reassurance to the Committee around the new risk in relation to Road Traffic toxicology (RTTOX) samples and Drugs casework. HM explained that he has been in contact with key individuals recently to establish the up to date position with the risk, locally operational policing will continue to monitor their submissions and Scientific Support have a system of managing and prioritising submissions to the Forensic Scientific Services providers and the Criminal Justice department will fast track any cases once they are received to give the best opportunity of meeting the statutory time limit of 6 months to initiate the prosecution. This activity is running alongside regional and national work in relation to this area.

MM asked whether there are any moves nationally in relation to amending the legislation to allow more time. HM explained that it has been discussed but is not possible to progress.

AK queried in relation to the risk on the Force Communication Centre and Capita. HM stated that the position with Capita has been explored by Chief Officers, engagement has improved, however Covid-19 has caused further delays.

HM gave some context in relation to themanagement of risks and uncertainties surrounding the coronavirus (COVID-19) and the consequential risk to the availability of policing resources required to deliver policing services in line with Police and Crime Plan priorities. HM explained that The Coronavirus Gold Group, Silver Group and 7 subordinate groups were established to bring oversight, strategic and tactical management to the challenges. During the course of the Covid-19 work, a specific risk register for the Coronavirus related activity has been developed to capture a small number of more significant areas of risk. This register captures the most significant of the risks being discussed across the 7 sub-groups and reporting into the Silver Group. The register is managed by a team, but in conjunction with the Force Risk and Business Continuity Management Advisor can escalate areas of risk onto the Corporate Risk Register, if necessary. An overview of Covid-19 risks was given.

ME queried in relation to the bail management that it states that Her Majesty’s Courts Service (HMCTS) confirm that court sessions are increasing from 15th July to nine. ME queried the original figure in which it is moving from. HM stated that he believed it was from three to nine.

**A184 2002/21: OPCC significant Corporate Risks**

MM noted that it was pleasing to see that in response to their request within their last meeting, the OPCC Corporate risk register has adopted the template used by the force.

CoS gave an overview of the new area of risk relating to the Financial risk associated with Carmarthenshire Custody Facility - Market Conditions, scale and complexity of build, inadequate original estimate. Reassurance was given that these risks are being managed by the appropriate groups.

**A185 2002/21: Actions of Corporate Governance Group meeting held 7th July 2020**

DoF explained that the main areas of business discussed was in relation to the completion of the Annual Governance Statement (AGS), the completion of the audit plan for 2019/20 and the inclusion of some additional information in the AGS in relation to Covid-19.

**A186 2002/21: Update from the Audit and Quality Assurance Group meeting**

IW explained that the group has been renamed as Audit Governance Group to reflect a change in its focus. The attendance of the group was discussed within their last meeting and to bring greater focus on the matters arising from internal audit, a steering group was set up early in the year to revise the Terms of Reference. Membership will now be a small core group of individuals of around 6 in addition to TIAA and representation from a JAC member. The group will consider the progress made against audits and consider any prior recommendations that are outstanding. The aim is to invite departmental leads when relevant to meetings, to make discussions more meaningful and relevant for everyone attending.

**A187 2002/21: Data Information breaches Update**

DJ attended the meeting to update the Committee on data information breaches.

DJ explained that the first part of her report covers information in relation to Freedom of Information (FOI) requests. As of the 1st of July 2020 the Force was 100% compliant in relation to FOIs and the legislative time frames.

The Force saw a slight decrease in the number of FOIs submitted at the start of lockdown and a large number of requests were Covid-19 related. Request numbers are now resuming to normal figures.

DJ explained that they have received a very high number of data protection requests. Due to a number of issues a backlog of work has developed in this area. This has been recorded as an area of risk. As of the 17th July there remained a backlog of unallocated work due to demand and capacity. Assistance has been sought from staff from other departments with varying degrees of return and the majority of the Disclosure Unit’s resources have been directed towards the backlog of Data Protection requests over the last few weeks. At the request of the DCC an action plan has been set in place with a view to reducing outstanding Data Protection work. Demand has remained high throughout lockdown. DJ gave an overview of the action plan and the processes in place to help ease the backlog and mitigate the risks.

DJ explained that there have been a total of thirty seven Data Protection breaches recorded during the year. Twenty one are closed and sixteen remain open. One has been referred to the Information Commissioner’s Office (ICO), and one complainant has self-referred to the ICO.

DJ also explained that whilst the majority of Information Management and Compliance staff continue with the work associated with the scanning project by reviewing paper records and scanning where appropriate, the remainder of the staff are undertaking the matching process of PNI records. This work is now vital to ensure preparedness for the new records management system. It is hoped that this will assist in ensuring that nominal records are up to date and accurate in readiness for implementation.

MM thanked DJ for her report.

**A188 2002/21: Fraud activity update**

CoS explained that the Fraud Policy which is being jointly implemented by the Commissioner’s office and the Force has not yet been completed. Due to circumstances and demand over the last few months these have not yet been completed. CoS explained that in terms of numbers from April 2020 – July 2020 they’ve had two new cases whereby the organisation has dealt with in relation to internal fraud.

**A189 2002/21: Members Updates**

MM wished to note that the Police pay reward has been announced as 2.5%. DoF reassured the Committee that this has already been included in the 2020/21 budgets.

**A190 2002/21: Any other business**

1. **Meeting feedback – Statement of Accounts Seminar and CIPFA All Wales training session and Chairs Update from CIPFA webinar**

MM stated that he found the CIPFA session to be very useful.

1. **Treasury Management Contract update**

CFO noted that the contract was due to end in June 2020. A decision was taken that due to the pandemic situation and in light that they were happy with the contract performance, the contract will be extended for an additional year.

1. **The award of the Investors in People Gold Accreditation**

MM wished to note that the Force has been awarded the award of the Investors in People Gold Accreditation. The Committee wished to express their congratulations to the Force on this excellent achievement.

1. **JAC membership**

CoS explained that as members will be aware AM and AK’s term of office comes to an end this year. This means that the Committee will be going out to advertise for two members at the end of Summer.

1. **Review of role of PCCs**

CoS wished to make members aware of the review that is being undertaken into the role of the Police and Crime Commissioner being led by the Home Office.

|  |  |  |
| --- | --- | --- |
| DECISIONS ARISING FROM MEETING 29th July 2020 | | |
| Decision No. | Decision Summary | Progress |
| **D170** | **Pending any needed amendments the minutes of the meeting held on 18th of March 2020 were accepted as a true record.** | **Complete** |
| **D180** | **The draft Letter of Representation of the Police and Crime Commissioner was recommended for signature by the appropriate signatories.** | **Complete** |
| **D180** | **The draft Letter of Representation of the Chief Constable was recommended for signature by the appropriate signatories.** | **Complete** |
| **D181** | **The draft Statement of Accounts of both the Chief Constable and Group accounts were recommended for signature by the appropriate signatories subject to any matters arising from the call of audit** | **Complete** |

|  |  |  |  |
| --- | --- | --- | --- |
|  | ACTION SUMMARY FROM MEETING ON (29th July 2020) | | |
| **Action No** | **Action Summary** | **To be progressed by** | **Progress** |
| **Action A170** | **CB to amend the attendee list to show CFO in order to match content of minutes and to ensure that the correct spelling is used in A136 2018/19.** | **CB** | **Complete** |
| **Action A170** | **For both the WAO Value for Money collaborative report and the HMICFRS report on collaborative arrangements to be brought to the next meeting as a twofold agenda item.** | **WAO/ HMICFRS** | **In progress** |
| **Action A171** | **For fraud activity to be regularly reported to each JAC meeting.** | **PSD** | **Complete** |
| **Action A171** | **JM will look into the cases categorised as “other” and report back to the Committee.** | **JM** |  |
| **Action A171** | **TIAA to revise the figures on page 8 on the number of cases on the 08/08/2019 column to ensure that the total number is correct.** | **TIAA** |  |
| **Action A171** | **JM will check the date on page 13 of the Assurance Review of Security of Seized Proceeds of Crime (Cash and Assets) where 29/09/01 is recorded as a date for a seizure.** | **JM** |  |
| **Action A171** | **For the Committee to receive an update at a future meeting on the decision made on the two possible preventative options that are highlighted in the ICT Review of Data Assurance – Management of Police Information(MOPI) and Primary Nominal Index (PNI) report.** | **ICT** |  |
| **Action 175** | **TIAA to provide and an update at the next meeting on how their plans are going and whether Covid-19 is impacting on their ways of working and progress against their plan.** | **TIAA** |  |
| **Action A176** | **For the Committee to consider at the next JAC meeting page 4 of the SICA report 2020/21 where it notes the management’s responses to the Briefing note that the Committee consider the methods used for Virtual Meetings and Video Conferencing during the COVID-19 Pandemic and that JAC consider if the briefing note is consistent with established IS&T practices.** | **JAC** |  |
| **Action 179** | **JB to check the references within the audit report and the appendixes to ensure that they are corrected for the final version.** | **JB** |  |
| **Action 181** | **KD to change the figures within the Statement of Accounts on page 68 to reflect the changes mentioned in the Audit Wales report. Figures confirmed as correct, no change required. – Complete.** | **KD** | **Complete** |

|  |  |  |
| --- | --- | --- |
| ONGOING ACTIONS SUMMARY FROM PREVIOUS MEETINGS | | |
| **Action No** | **Action Summary** | **To be progressed by** |
| **A97 2017/18** | **CoS to consider where the trust legally sits in terms of its link with the OPCC.** | **OPCC** |

|  |  |
| --- | --- |
| Documents circulated to Members since 29th of July 2020 | |
| **Name of document** | **Date shared** |
| **JAC terms of reference for reviewing prior to the next meeting.** | **25/08/2020** |