



Mae'r ddogfen hon ar gael yn Gymraeg yn ogystal â Saesneg.

This document is available in Welsh as well as English.

Members:	Mr Malcolm MacDonald (MM) Mr Martin Evans (ME) Mr Andre Morgan (AM) Mr Alasdair Kenwright (AMSK)
Also Present:	Mr Dafydd Llywelyn Police & Crime Commissioner (PCC) Mr Mark Collins, Chief Constable (CC) Mrs Carys Morgans, Chief of Staff (CoS) Ms Beverley Peatling, Chief Finance Officer (CFO) Mr Edwin Harries, Director of Finance (DoF) Ms Leanne Malough (WAO), (LM) Mr Jonathan Maddock (TIAA), (JM) Miss Caryl Bond, Assurance Support Officer
Apologies:	Ms Vicky Davies, TIAA (VD) Mr Jason Blewitt, WAO (JB)
Declarations of Interest:	None.

ACTION SUMMARY FROM MEETING ON (18 th September 2018)			
Action N ^o	Action Summary	To be progressed by	Progress
A66 2017/18	TIAA to remove name of individual from bottom of page 20 of report.	TIAA	Complete
A67 2017/18	OPCC to send February Training day dates to SC to check availability.	OPCC	Complete
A70 2017/18	The previous mitigated risk score to be included for each item on the risk register report as well as the current mitigated risk score.	Force	Complete
A73 2017/18	OPCC to forward a copy of the National Audit Office report and summary report on financial sustainability to Members.	OPCC	Complete

MM welcomed everyone to the meeting, giving a special welcome to Leanne Malough who was attending in place of JB from the WAO.

MM on behalf of the members asked CC to pass on their thanks to the former DCC who has recently left the organisation.

Apologies were given on behalf of Jason Blewitt and Vicky Davies.

A74 2017/18 Minutes of the meeting held on 18th September 2018 and Matters Arising

AK noted that there is a typo on the bottom of page 11, breeches needs to be changed to breaches.

Action A74: To correct the typo on the bottom of page 11 as discussed.

In relation to the ongoing action A60 regarding having a Welsh language Standards comparison report, JM noted that he would take this back and look into this further as all reports from the areas have now been finalised.

CoS noted that there is one item in particular which is an area of concern for both the CC and PCC which is in relation to the simultaneous translation for interviews in custody. This is an issue which has been highlighted across the four forces. It would be interesting to see if common concerns have been identified through the audit.

The actions from the previous meeting was discussed. Actions A66, A67, A70 and A73 have been completed. In relation to A67, CoS explained that the dates for the Annual training day in February has been circulated via email.

Decision A74: Subject to the noted amendment the minutes of the meeting held on 18th September 2018 were accepted as a true record.

MM explained that the WAO Annual Audit Letter will be brought to the JAC meeting in March. MM stated that one of the aspects within the letter will be the fees for 2019/20. It therefore may be worthwhile exchanging this information/letter via email when it becomes available, to receive before the March meeting.

Action A74: To circulate the Annual Audit Letter 2017/18 via email.

A75 2017/18: Progress Report (SICA)

JM presented the SICA report which provides the committee with an update on the progress of their internal audit work up to the 26th of November. It was noted that they have completed six reviews since the last report, they include; Resource Management Unit, ICT review of GPDR compliance, Payroll, Interim follow up, HR Leadership skills and a review on the Quality Management System. Appendix A showed progress made against the Internal Audit plan. JM explained that they are on course to finish their reviews by the end of March and good progress is being made.

A76 2017/18: Reports of the internal auditors

Five reports have been finalised since the last committee meeting and therefore have been brought to the committee's attention for consideration.

a) Gwent, South Wales and Dyfed-Powys Police APPR Fleet Management Single System Report.

MM explained that they have received an earlier version of this report at the previous meeting.

Outcome: Limited Assurance, with one priority 1 recommendation, eight Priority 2 recommendations and ten priority 3 recommendations. It was explained that as this is a joint report there are both joint recommendations and those that are area specific. JM noted that key message coming from the report was the need for better communication between the three forces, which will be assisted through joint meetings where issues of a mutual interest can be discussed. JM reassured that DPP in terms of the recommendations is looking positive.

AK stated that it may be useful to receive a follow up review, to give reassurance that there is a better sense of collaboration given in the future. MM agreed that this would be useful and will hopefully be picked up in one of the interim follow up review reports.

JM stated that a review of this will form part of their follow up report in March.

ME queried whether with three fleet Managers with responsibility, should there be one individual with overall responsibility. DoF stated that bringing the three forces together on the one system had been a positive step forward; the way forward now is improving the collaboration and that the above is something that will be needed to be discussed, at the moment all three have been given the responsibility.

CC stated that DPPs focus is on functionality and improving collaboration. It will be beneficial to come back and review the progress made in the future to ensure effective collaboration. CC is happy with the progress that DPP has currently made.

MM stated that it was very beneficial to have the DPP fleet Manager at the last meeting to provide the panel with assurance.

b) Assurance Review of Payroll

Outcome: Substantial Assurance with no recommendations made. JM noted that this has been reviewed annually for three years and has been given this outcome every time, showing a consistent high standard.

CFO questioned whether an audit review is needed next year, if it has consistently received an outcome substantial Assurance. JM stated that this is one of the audits that is done on an annual basis. It was acknowledged that this is a high-risk area.

CFO stated that it may be useful in an upcoming meeting with WAO to discuss the above to ensure that we are looking at the most relevant areas.

c) Interim – Follow Up Review

This report refers to the management action that has been taken in respect of priority 1 and 2 recommendations arising from the internal audit reviews. The review shows that 14 recommendations have been implemented and that there are 16 recommendations outstanding.

JM wished to note that the recommendations regarding vetting, which had the original target for completion of 31st of January, had now been brought forward with a new target date of 31st of December 2018. CC explained that the HMIC deadline to clear all vetting backlog is the 31st of December 2018. Significant progress is being made to work to this date, with additional resources being put in place to prioritise the work area and confidently work towards this target. It was explained that this area of work had been risk assessed and safeguarding tools have been put in place to ensure that vetting is being processed in priority order.

MM noted that in relation to point 12, the outstanding recommendation from the Review of the Debtors 2017/18, there continues to be difficulty in receiving a response from the County Council in relation to the authorisation screens taking significant amounts of time to load. DoF stated that this is a key area which is needed to be progressed. MM stated that he would be happy to write a letter to the council reminding them that the concern

needs addressing. DoF stated that the Force would look to progress this in the first instance, but would let MM know if a further letter is needed.

AM queried that in relation to point 18 and the outstanding recommendation from the HR Management – Learning and Development 2017/18, it notes that the project lead has been on long term sick and this has caused the target date for this recommendation to be revised on a number of occasions. DoF stated that they are currently waiting on an IT fix in order for this recommendation to be implemented.

CC agreed that possibly it would be best to put ongoing instead of a date until the IT fix has been completed, as this would avoid missing/ revising the target date again.

Action A76: To receive an update from the force in terms of a date and way forward for point 18 of the Interim – Follow up Review report.

d) Assurance Review of the Resource Management Unit

Outcome: Reasonable Assurance with four priority 2 recommendations. The review considered the arrangements for the effectiveness of procedure for resource management within the specialist unit of the force. The overall conclusion found that the role of the Resource Management Unit needs to be more clearly defined, clarifying the responsibilities of the Resource Management Unit and those of the operational line management. Guidance needs to be given in terms of preferred staffing levels of the unit. A number of tasks currently undertaken by the Resource Management Unit should be completed by other areas of the organisation to make more effective use of the limited resources of the unit and that the support arrangements for the Duty Management System needs to be reviewed.

CC stated that Supt Craig Templeton has been reviewing the unit and work is ongoing to help improve the functionality of the Unit. This report's recommendations will be taken into consideration as part of the overall review.

MM stated that this was a very good review, highlighting areas of concerns and suggesting ways to move forward. This audit highlights the benefits of having an internal audit review and the positive steps and achievements which follow.

CFO stated that after a discussion with TIAA and other experienced individuals from other organisations a scoping day with TIAA together with all the single point of contact auditor leads, during which they discussed each of the audits and how best to shape the scope of the audits. The aim being to try and use the internal knowledge about some of the areas of concerns to ensure that these areas receive appropriate attention, in order to maximise the benefit of each review.

JM reiterated that receiving an input from the department leads really helps bring focus to the review and assists the leads to move departments forward.

e) ICT Review of GDPR Compliance – Visit 1

Outcome: Reasonable Assurance with six priority 2 recommendations.

JM explained that this review has been split into two visits, with the next visit due to take place in February/ March 2019. JM explained that the recommendations within the review have been split into those relevant to just the Police force, those relevant for the Commissioner's Office and those that are relevant for both. The joint recommendation is that the Joint Corporate Governance Framework needs to be updated to include reference to GDPR and the Data Protection Act 2018. In terms of recommendations relevant to just Dyfed-Powys Police, the report found that the Data protection Policy needs to be reviewed, to ensure that the notification matrix is fully compliant with the data breach reporting requirements of GDPR and that all personal data held be identified so that a decision can be made on the future management of the data identified.

The recommendations for the Commissioner's Office notes that the Information Asset Register needs to be updated and amended in line with GDPR and Data Protection Act 2018 and that either the Data Protection Policy for Dyfed-Powys needs to be amended to include the OPCC or a PCC Data Protection Policy should be implemented. CoS confirmed that they have opted to amend the Force Policy to include the PCC, and implement one joint Policy.

MM added that in relation to point 12.18 of the report the Committee also receive notification of any data breaches. CoS added that all data breaches are also reported to Policing Board.

A77 2017/18: Corporate Risks Exemption Report

CC explained that there have not been very many changes since the last meeting, However in terms of point 1-the forensic medical examination of children- progress has been made by ACC Richard Lewis and CI Jayne Butler with an interim position having been agreed from November 2018, which will see the provision of medical examinations of children aged 13 and under. These will be provided by Cardiff and the Vale Health Trust. CC explained that this was a major concern and that this is an interim provision, with work ongoing to provide a longer term solution.

The Panel noted that this a positive step forward. However, AK noted that taking children to Cardiff is still far from ideal. CC reassured the Committee that the Force would continue to keep working on this issue.

CFO stated that once things have been finalised in terms of the settlements and precept, the financial aspects for the risk register would need reviewing and amending etc.

CC explained that in relation to point 4 – Crime Recording – Integrity of crime data, they have had notification that a report will be coming out in the next few weeks, which would detail a considerable improvement in their compliance rate. It was recognised that further improvements need to be made and as such the PCC queried whether the risk should be elevated.

CC stated that there is weekly scrutiny being undertaken to strive for the 95% compliance levels. CC will look further at the risk score to ensure that it appropriately reflects the position.

MM stated that there are a few new areas of risk to note including the implications of Brexit. CC stated that they are having national meetings in terms of Brexit and possible implications. They have recently appointed a Chief Inspector to work through the Brexit challenges; lots of work is ongoing. The PCC is kept briefed of work undertaken and plans in place to mitigate risks.

DoF stated that a new risk across the country is in relation to Forensic Services. This matter is being looked at nationally.

Action A77: The Forensic Services risk to be added to the Corporate Risk register.

MM thanked the force for the detailed report.

A78 2017/18: Corporate Governance Group minutes- 14th November 2018

The Committee looked at the actions raised within the last Corporate Governance Group meeting.

DoF stated that the key aspects that came from the meeting was to go through the agreed actions which came from the Annual Governance Statement last year, which needed to be implemented to improve on governance arrangements. DoF noted positively that no major issues were raised. Secondly, within the meeting it was decided that a sub group will be set up to look at the matrix and the 6 core principles underpinning the Corporate Governance Framework.

CFO stated that in terms of the Annual Governance Statement one of the key aspects is to ensure that it is a living document which should be reviewed throughout the year.

A78 2017/18: Matters arising 2017/18 Audit Letter

In addition to what the Committee have seen before, the CFO explained that this letter would now include the Managements responses to the issues that were found. These issues and responses would be taken into account in terms of the interim audit scheduled for the end of January 2019 and for the completion of the Statement of Accounts for the financial year.

MM noted that in relation to the Revaluation Reserves, this is needed for the Interim Audit which will be completed by the end of January 2019.

DoF stated that this is something that does need to be taken forward before January, especially as they are losing a member of staff in January. PCC asked whether work is in progress in terms of finding a replacement for the role. CC agreed that it would be useful to have an advert ready to go out, once everything had been formally finalised with the present individual leaving etc.

CFO stated that in terms of the finance resources they had recently had two accountants start in their roles and the Assistant Director would be starting on Monday.

JM noted that in relation to the point regarding the Treasury Management Control Sheets, they have done a Treasury Management review this week and that the suggestion has been implemented with no further issues having been identified.

MM noted that it was positive to hear that the suggestions are being implemented, with issues being resolved.

A79 Any Other Business

a) JAC recruitment

CoS explained that unfortunately after a second attempt of advertising the role they have not received any applications.

It was explained that they initially advertised the role for three weeks with no expressions of interest; they have then gone out to advertise for a further three weeks with still no interest shown.

CoS gave a proposal to the Committee that they continue with an open advert, continue to advertise the role on the website, newsletters, engagement days and on social media etc.

AM queried whether there would be a closing date placed on the advert. CoS confirmed that there would be no closing date on the advert.

The Committee accepted the proposal.

Action A79: An open advert to be put out advertising the opportunity to become a JAC member.

b) Annual Training Day

CFO confirmed that they currently have a draft agenda which is out for consultation for the training day which is on the 19th of February 2019 in Llandrindod Wells. It was explained that they are hoping to have CIPFA to facilitate again and are hoping to have an input from the WAO.

ME queried whether a member of HMIC will be in attendance.

CB explained that the date has been circulated with SC from the HMIC, but due to the date clashing with an inspection it is not likely that SC will be able to attend.

MM noted that it was very valuable to have SC attend the last meeting and it would be beneficial to have someone attend JAC every 6 months or when is felt necessary.

CC stated that it may be useful to contact SCs colleague Chief Supt Charlie Armstrong to see if he will be able to attend future meetings etc. in the event of SC not being available.

JM left the meeting at this point.

c) Internal Audit Contract

CFO explained that in terms of the Internal Audit Contract, South Wales Police are leading on this as a collaborative audit. There has been activity over the last few weeks in relation to tender specifications and questions for the evaluation. They are now waiting for confirmation that all of the comments that have been collected before the next stage can be implemented.

MM stated that if a representative from JAC is needed for the revaluation then to let them know.

CFO stated that numbers of representation was discussed and that as the four Welsh Forces are participating, it was suggested that the representation would be limited to two per force. The representation would likely be one from the force and one from the OPCC.

MM stated that he understood the reasoning behind keeping the places limited to two per area, and suggested that members could give feedback to those in attendance beforehand.

CFO stated that she will check that everything is still on track and progressing as previously planned.

Action A79: CFO will check that the Internal Audit Contract is progressing as to plan.

There was no further business to be discussed.

MM thanked everyone for attending the meeting.

The Meeting closed at 15:25 hrs

Date of next meeting: 7th March 2019

DECISIONS ARISING FROM MEETING 30 th November 2018		
Decision No.	Decision Summary	
A74 2017/18	Subject to the noted amendment the minutes of the meeting held on 18th September 2018 were accepted as a true record.	Completed

ACTIONS ARISING FROM MEETING 30th November 2018

Action N°	Action Summary	To be progressed by
A74 2017/18	To correct the typo on the bottom of page 11 as discussed.	OPCC
A74 2017/18	To circulate the Annual Audit Letter 2017/18 via email.	OPCC
A76 2017/18	To receive an update from the Force in terms of a date and way forward for point 18 of the Interim – Follow Up Review report.	Force
A77 2017/18	The Forensic Services risk to be added to the Corporate Risk register.	DoF
A79 2017/18	An open advert to be put out advertising the opportunity to become a JAC member.	OPCC
A79 2017/18	CFO will check that the Internal Audit Contract is progressing as to plan.	CFO

ONGOING ACTIONS SUMMARY FROM PREVIOUS MEETINGS

Action N°	Action Summary	To be progressed by
A38 2017/18	The TOR to be reviewed after the new legislation on Audit Committees and the duties of the CFO has been issued.	On-going
A60 2017/18	CF to contact other areas in Wales for their approval on whether they would be happy to share their findings in relation to the implementation of the Welsh Language Standards in a comparison report.	On-going