

OFFICE OF THE POLICE AND CRIME COMMISSIONER
OFFICE OF THE CHIEF CONSTABLE

JOINT AUDIT COMMITTEE

8th September 2022

Present: Mrs D Turner (Chair)
Mr J Sheppard, Mr A Blackmore and Dr J Wademan (Vice Chair),
Mr R Leadbeter. Mr G Watts (Observer) and Mr A Johns (Observer)

Together with: Mr J Cuthbert – Police and Crime Commissioner (PCC)
Mr D Garwood-Pask – Chief Finance Officer (CFO)
Ms P Kelly, Chief Constable (CC)
Mr C Haire – Ch/Inspector - Governance and Assurance (CHIGA)
Mr M Coe – Head of Finance (HoF)
Mr S Gourlay – (TIAA)
Mrs T Veale – Audit Wales (AW)
Mrs N Warren – Governance Officer (GO)

The meeting was held in the Yew Room 1 and on Teams and commenced at 10:00am. The Vice-Chair stood in to chair the meeting.

1. <u>PRESENTATION</u>	Action
We offered our sincere thanks to Mr Leadbeter and Mr Sheppard for their unwavering commitment to the Joint Audit Committee (JAC) throughout their 10 year tenure. Their expertise, scrutiny and guidance has been invaluable and always within the best interest of the general public and the Force. Although it was recognised that this was Mr Leadbeter’s last meeting, Mr Sheppard would continue as a member until March 2023, due to the timing of his initial appointment and also to provide a period of handover to the two new JAC members.	
The PCC and CC left the meeting following the presentation due to having other commitments.	
2. <u>APOLOGIES</u>	
Apologies for absence were received from Mrs A Blakeman, Deputy Chief Constable, Mrs H Cargill, TIAA, Mr M Corcoran, TCBC Audit, Mrs S Curley, Chief Executive, Mrs J Regan, Head of Assurance and Compliance, Ms C James, Audit Wales, Mr N McLain, Head of Continuous Improvement, Ms H Williams, Audit Wales and Mr N Stephens, Assistant Chief Officer, Resources.	
3. <u>DECLARATIONS OF INTEREST</u>	

There were no advance declarations made in relation to the business to be transacted.	Action
4. <u>MINUTES</u>	
The minutes of the meeting held on 28 th July 2022 were received and confirmed.	
5. <u>ACTIONS</u>	
<p>We received and noted the actions from the meeting held on 28th July 2022 and actions outstanding from earlier meetings.</p> <p>Action 2, 28th July 2022, Approval of JAC Annual Report. The Chair agreed the amendments and therefore, the action could be closed.</p> <p>Action 7, 28th July 2022, Any Other Business. We discussed the proposed date of the 28th September for the JAC only members meeting and agreed the action could be closed as the GO was to re-contact the JAC members to rearrange for October should the proposed date be unsuitable.</p> <p>Action 1, 9th June 2022, Actions. An update was requested in relation to the meeting that took place on the 11th August 2022 to discuss best practice in terms of how the JAC papers are distributed. We were informed the reduction of paper agendas was discussed and it was agreed that members should opt in if they wished to continue receiving paper versions of the agenda, otherwise the papers should be accessed via Egress. Notes on editing within Egress had been circulated for ease. JAC had requested more content in the Executive Summary element of the papers. It was agreed the GO would re-circulate the agenda when a paper had been revised and to note which papers had been revised and on what date.</p> <p>Action 2 June 9th 2022, Risk Management Strategy. We asked when the Risk Management Strategy would be presented to JAC. The CHIGA advised us that the revised draft was complete and would be presented to JAC following review.</p> <p>Action 5, 9th June 2022, External Audit It was suggested that the document on the key duties and powers of the Auditor General be shared with the two new JAC members. It was also suggested that the new members received the invite to the Informal JAC Training Day in October in North Wales.</p> <p>Action 6, 9th June 2022, Draft Statement of Accounts, including draft AGS and End of Year Financial Performance Report 2021/22. The JAC ICT Lead queried why a declaration of interest was not required and it was agreed that further explanation would be sought by the CFO.</p> <p>Action 7, 9th June 2022, Draft JAC Annual Report including TOR Compliance Self-Assessment results 21/22 and proposed Action Plan.</p>	<p>GO</p> <p>GO</p>

<p>An update was requested regarding the revision of the Self-Assessment Action Plan to reflect JAC's effectiveness against eight areas in the Influential Audit Committee document from the JAC Training Day. The Chair advised us that she and the HoAC were to meet to make the revisions for the year ahead.</p>	Action
<p>Action 9, 9th June 2022, Treasury Management Strategy Annual Report 2021/22. An update was requested on the decision for Thurrock County Council (TCC) to remain an investor, given they had breached loan repayment dates on two occasions over a two year period. The CFO assured us that the late payments were not related to limited funding and were merely down to administrative errors.</p>	
<p>Taking into account their long history of investment, their willingness to pay over the normal rate of interest, their low risk of non-payment due to being a Local Authority and the difficulty in finding other suitable investment opportunities, the CFO took a previous decision for them to remain on the counterparty list.</p>	
<p>However, the UK Government have subsequently mandated Essex County Council to become the administrator of TCCs financial affairs due to concerns in relation to their level of debt and financial risk.</p>	
<p>Therefore, the CFO confirmed that he has suspended future loans to TCC for the time being; although they currently have loans from the Commissioner of £15m which are due to mature by August 2023 at the latest. The CFO has also written to his counterpart in Essex County Council to seek assurance that the Commissioner's investments were secure and has also reviewed TCC's statutory accounts to assess risk to the Force – this exercise provided a degree of assurance.</p>	
<p>It was agreed that further updates would be provided</p>	CFO
<p>Action 11, 9th June 2022, Any Other Business. An update was requested on the Estate Strategy. The CFO confirmed the final engagement event of the summer was due to take place imminently, where the public would again be invited to complete a survey on their priorities in terms of the Estate and the level of precept they would be willing to pay to support capital investment. At this point over 1000 surveys would have been completed and the information gathered would inform the Estate Strategy review. The outcomes of the review would be presented to the JAC at the December meeting, with the revised Estate Strategy to the March 2023 meeting.</p>	
<p>It was noted that the proposed Operational Hub build on the site of the old HQ would cost £32m. JAC requested sight of the business case in order to seek assurance, given the level of borrowing required to fund it. The CFO advised us the business case was still at the strategic outline level and the volatility of costs in the construction industry was a key factor in progressing the business case. Furthermore, the review of the Estate Strategy would in essence be determined by affordability.</p>	ACOR/ CFO

<p>Action 12, Any Relevant Reports From Other Organisations That Should Be Brought To The Attention of JAC. It was suggested that incorporating the Final Police Efficiency, Effectiveness and Legitimacy (PEEL) Inspection report with the Value for Money (VFM) and Roads Policing Deep Dive may be too long. The CFO agreed to review if Roads Policing should be a separate Deep Dive.</p> <p>Action 11, 8th December 2021, JAC Self Assessment Action Plan. The CFO advised us that he was expecting the All Wales Productivity and Efficiency Group (AWPEG) to produce and present the spreadsheet demonstrating the benefits of collaboration, at the Welsh Police Finance and Resource Group (WPFRG) the following week.</p>	<p>Action</p> <p>CFO</p>
<p>6. The information contained in the report(s) below has been subjected to the requirements of the Freedom of Information Act 2000, Data Protection Act 2018 and the Office of the Police and Crime Commissioner for Gwent's public interest test and was deemed to be exempt from publication under section 7.</p>	
<p>7. <u>TO DISCUSS NEW RISKS AND CHANGES TO RISK RATINGS</u></p>	
<p>We received and noted the Joint Risk Register.</p> <p>There had been some movement within the Joint Risk Register since its circulation. Two of the risks had been reduced to a low level rating and there was one new risk in relation to current staffing levels in Public Protection Unit (PPU) not meeting demand. There is a national shortage of Detectives, particularly in specialist roles working with the vulnerable. There are various reasons for the shortages within PPU, such as officers transferring to their home Forces, promotion and retirement. Various PPU recruitment avenues have resulted in minimal uptake; other innovative practices are to be explored to increase numbers and a wellbeing review of existing staff will be undertaken.</p> <p>Mitigation has been put in place, as officers from the wider Criminal Investigation Department (CID) are able to provide support to PPU due to an increase in Police Support Investigation Officers (PSI) in the department. The Force will assess capability versus demand and determine if officers from other departments can be re-deployed to PPU.</p> <p>JAC requested a copy of the updated Joint Risk Register</p> <p>We were informed that Gwent would have one of the highest number of frontline officers across the UK under the age of 25 or with under 5 years experience by March 2023. The CHIGA advised us that although it presented some challenges in terms of training, it also offered opportunities in that the younger cohort were bringing a positive culture change.</p>	<p>CHIGA</p>

The CFO explained that all Forces had had an uplift in officer numbers due to Operation Uplift, the primary factor for the younger workforce in Gwent was due to past issues, such as austerity. There were 1500 officers in 2010 and 1150 by 2015. Other Forces may have followed a different route in terms of cutting costs, depending on the options available to them. However, in 2016 an additional 170 officers were recruited in Gwent and then a further 203 recruited through Operation Uplift, hence a high level of growth with 25% of officers being under 25 or having less than 5 years.

Action

JAC asked what advice the College of Policing were providing. CHIGA advised us that recruitment was key, as the Force had many success stories in other high harm areas, such as the Finance Investigation Unit and Fraud. However, PPU was a very high pressure role and hard to fill, due to the complexity of it. This is something the College of Policing could assist with.

JAC referred to concerns raised by the general public in the media about the lack of Forces responding to low level acquisitive crime, as public perception was that the uplift in officers would reduce this. However, given that the officer establishment would have only reached the same level in March 2023 as it was 10 years ago, this was not likely to be the case. The CFO confirmed there would be 7 more officers by March 2023 than in 2012. As part of the UK Government's uplift specification, officers would have to work on the frontline and as part of their Beating Crime Plan crime which is anticipated to reduce crime by 20% over a 4 year period. However, more officers on the beat could equate to more crime being recorded and therefore, lead to an increase in crime.

The JAC Risk Lead noted the national shortage of Detectives had been a known risk for some time and suggested that it should have been on the risk register previously and could have been dealt with more effectively, as it had now become an issue as opposed to a risk. The CFO advised us that this had not initially been considered a risk as there were sufficient Detective levels in Force for a long period of time, even though it had become a national issue.

It was suggested that other known forthcoming risks should be on the Joint Risk Register earlier, in order to implement the necessary mitigation at the earliest opportunity. The CFO agreed that the Risk Management Strategy should be revised to incorporate a review of potential risks.

CHIGA

The JAC ICT Lead asked what could be done to prevent a similar occurrence in 3 to 6 months time. The CHIGA advised us that the Risk Manager conducted an environmental scan to identify risk, however, understood JAC's concern due to the way the register was presented. The JAC Risk Lead suggested JAC review the action plan confirming that retention was a national issue for all Forces and that it would take time to address. The JAC Risk Lead acknowledged that horizon scanning was in its infancy in a number of public sector organisations, however, JAC and AW may be able to provide assistance to the Force in terms of identifying risk. The CHIGA

<p>agreed to share the update on the retention action plan at the following meeting.</p> <p>The JAC Risk Lead noted there was no follow up on the Deep Dive presentation on the People Services Strategy, including attrition rates and retention. The Head of People Services had subsequently left the organisation. The JAC Risk Lead expressed concerns about the challenges presented in terms of the level of capability and capacity in Force.</p> <p>The CHIGA informed us that retention of new officers was a national issue with an 11% attrition rate particularly with Black, Asian and Ethnic Minority officers. Although this was potentially the next biggest risk for the Force, care packages had been put in place to support new officers from all backgrounds, to help sustain numbers and therefore, the retention issue has been mitigated to a certain degree. Work is ongoing in this area.</p>	<p>Action CHIGA</p>
<p>It was suggested that JAC members, AW, CFO, ACOR, CEx and the CHIGA met for a half day meeting to discuss potential risks.</p> <p>As the DCC was leaving, it was suggested that the transfer of knowledge to her successor could be an element of risk. The CFO assured us that the HoCI has extensive knowledge of risk and would be available to assist in his new capacity as acting ACC.</p>	<p>GO</p>
<p>It was noted that many of the risks had been on the Joint Risk Register for long periods of time and were due to close by the 1st April 2023. It was suggested that it was not clear as to how much progress had been made in relation to some of the risks. Although there were estimated dates for closure, there was no rationale provided for JAC members to know if dates had changed. It was suggested that it should include specificity and actuals in terms of progress. The CHIGA confirmed that he had reviewed the dates within the last week and would share the updated version with JAC members as agreed previously.</p> <p>The Chair asked if the estimated date of closure referred to the date they achieved the risk rating aimed for as opposed to closing the risk. The CHIGA confirmed there would always be risks on the register due to the threshold that the Force would continue to treat and some that may be tolerated, the date referred to the risk level the Force were trying to reduce the risk to.</p> <p>The JAC ICT Lead suggested the Joint Risk Register agenda item should be extended for future meetings.</p>	<p>CFO/ ACOR</p>
<p>8. <u>MEDIUM TERM FINANCIAL PLAN PRESENTATION</u></p>	
<p>We received the Medium Term Financial Plan Presentation.</p> <p>A meeting was held with Chief Officers to discuss unavoidable financial challenges due to inflation, pay award increases, energy price rises, cost of</p>	

living pressures and the impact on the Medium Term Financial Plan (MTFP) this year.

Action

The CFO advised us about the changes to the budget 2022/23 since the briefing to JAC in March 2022.

There is very little leverage within the budget to reduce expenditure or to make further efficiency savings, given that the Force had already made £53m of efficiencies since 2008. The level of central government funding is also uncertain, particularly due to the cost of living crisis pressures. Early indications are that over 50% of those who took part in a recent Estate Survey in Gwent were willing to pay £15 extra precept a year. However, given the impact of the cost of living crisis, it was not an easy option to propose a precept increase, given that the pressure on families is unprecedented.

JAC referred to the recent Deep Dive on Income Generation and asked if it could be used as a lever to raise funding. The CFO confirmed that although funding could be obtained, it was not a significant amount, given the size of the organisation. JAC asked if there was potential to raise the £10m income to £50m. The CFO informed us that part of the £10m funding was specific grant funding for specific areas of the Force such as PCSO funding from the Welsh Government (WG). The Income Generation Strategy has limitations as only certain elements of services provided by the Force could be charged for in accordance with the Police Act 1996, such as policing for sporting events or festivals.

The PCC has a functional power of competence, which has limitations and work is being undertaken to increase these powers in order that further services can be charged for. Refining the application process of acquiring the highest level of funding from Proceeds of Crime Act is also an area for consideration, although the Force already achieve good results in this area of work. We were assured the Force were being as ambitious as they could be within the limitations and given the level of resources available.

In February 2022, there was a £3.2m funding deficit for 2022/23 reducing to £2.2m following efficiency savings. Based on assumptions and some known costs, the deficit was expected to rise to £9.3m by 2026/27. If no other changes were made to the budget, there would be a further £2.7m deficit based on inflationary assumptions this financial year, due to increased fuel and energy costs alone. JAC asked if inflationary increases had been included in the assumptions up to 2026/27 should they increase further within the MTFP. The CFO confirmed they had been included on current estimates, but would be revised as and when new intelligence was received

JAC asked if pay award increases had been included in the assumptions as pay awards may increase in the future, given the level of inflation, posing a potential risk to the Force, due to the additional financial pressure. The CFO advised us that the Force were able to fund the pay award increase this financial year due to prudent budgeting and the receipt of specific

government grant and assumptions had been included for the remainder of the MTFP. However, the assumed level of pay increase has not been excessive to cover the cost of living crisis inflationary pressures, as this would set an impractical precedent going forward, as potential higher future pay awards could be deemed as having been 'budgeted' for locally.

Action

JAC noted a £2.5m inflation increase in relation to other non-pay costs and asked what it referred to. The CFO informed us this included ICT contracts, Estate revenue costs and other supplies and services. The HoF explained that 2% general non-pay inflation had originally been built into the base budget and energy costs and water even higher; this general non-pay inflation has since been increased to 9%, which accounted for the significant increase in non-pay costs.

It has been assumed there will be a reduction of £6m funding due the changes to the UK Government's Police Funding Formula from 2024/25 to 2026/27, if this does not come to fruition the deficit will be lower.

JAC asked what the CFO's expectations were in terms of the new Prime Minister Liz Truss tackling the inflationary rises for public sector organisations. The CFO explained that domestic energy supply would be the primary focus and although facing similar issues, the Force fell under the business supply umbrella and therefore, they were not at the same level of priority at the moment. The financial pressures faced by Forces have been submitted to the Home Office for review, to ascertain if some mandated requirements can be lifted in order to relieve some of the pressures.

JAC referred to the planned future reserves and committed funds balance of £18m by 2026/27 and noted that it appeared to be high. The CFO informed us the statutory General Reserve amounted to £5m and £3m was set aside to balance any given budget on an annual basis. The £18m also included £6m for the Emergency Services Network transition from Airwave and other committed funds for replacement of Taser and body armour. There was also a £2m commissioning reserve for Force initiatives in order to make efficiencies. JAC acknowledged that the reserves and committed funds had reduced significantly over the last three years due to the building of the new Headquarters (HQ) as the old HQ was too costly to maintain.

JAC asked if the general reserve was used for Major Incidents as there had been three murder investigations this year. The CFO assured us that Gwent is a very safe area and this was unprecedented. The general reserve had not been utilised, as the Major Incident Team had their own budget to deal with such incidents. The general reserve was usually utilised for working capital purposes.

There are many constraints going forward including the mandation of officer numbers in terms of Operation Uplift and future Police and Community Support Officers (PSCO); maintenance of the revenue contribution to capital; retaining a minimum £5m general reserve balance; and the impact of the funding formula.

<p>It was noted that one of the solutions to ease financial pressure was to reduce the Capital Programme. JAC asked what the reduction referred to in relation to Evidential Property. The CFO explained that there was potential for developing a new evidential storage facility. Although the existing facility could be renovated, taking into account all factors it would be better to establish a new one that was fit for purpose. JAC acknowledged that a significant amount of work had been undertaken in relation to evidential storage issues since the matter was raised 6 ½ years ago and given that a recent audit of the department had been deferred and the development of a new fit for purpose facility may be withdrawn, the JAC Audit Lead raised concerns. The CFO assured us that a substantial amount of work had been conducted in this area since the introduction of the Evidential Storage Model in 2016 with the establishment of a centralised store.</p> <p>The CFO, HoF and ACOR are to meet on 16th September to identify the expenditure budgets to rationalise according to priority, prior to the CC setting her budget bid.</p> <p>The JAC ICT Lead suggested that the timing of agenda items be reviewed to allow more time for discussion on MTFP matters and the CFO agreed.</p>	<p>Action</p> <p>CFO</p>
<p>9. <u>FORCE BUSINESS INTERESTS POLICY</u></p>	
<p>We received and noted the Force Business Interests Policy.</p> <p>The HoF advised us that the policy was updated in 2022 and contained information on all Force employees' secondary employment or business interests.</p> <p>JAC referred to the annual Professional Development Reviews (PDR) and asked if they were taking place on an annual basis in order to ensure secondary employment or business interests were being recorded. The HoF informed us there was an annual process and two further reviews during the year to ensure secondary employment or business interests were being captured appropriately. If PDRs do not take place, employees are not able to progress in the organisation.</p> <p>A discussion ensued regarding the requirement for a compliance audit of the Force Business Interests Policy, given that it fell under the umbrella of Anti-corruption and Ethics and this was a topic the JAC wished to focus further on. Concerns were raised that the application process through to approval was onerous, which could contribute to retention issues. There could also be a significant increase in the number of business interest applications, particularly during the cost of living crisis, which could pose a risk to the Force in terms of resourcing the growth. It was suggested that Gifts and Hospitality Policy could form part of the audit. The CFO agreed to consider the request.</p>	<p>CFO/ ACOR</p>
<p>10. The information contained in the report(s) below has been deemed not to be subject to the requirements of the Freedom of Information</p>	

<p>Act 2000, Data Protection Act and the Office of the Police and Crime Commissioner for Gwent's public interest test and is deemed not to be exempt from publication under Section 7.</p> <p>We agreed to re-open the meeting to the press and public.</p>	<p>Action</p>
<p>11. <u>BUDGET SETTING TIMETABLE</u></p>	
<p>We received and noted the Budget Setting Timetable.</p> <p>The CFO advised us that the budget setting timetable followed the standard approach previously used. There were a number of outstanding dates, including the initial engagement with the Police and Crime Panel (PCP) Finance sub group, receipt of the provisional settlement and the final settlement from the UK Government which was usually in the last week of January 2023. The timetable will be updated in due course.</p> <p>JAC asked if there were there any changes apart from the date. The CFO confirmed there was only one change relating to the introduction of the Chief Officer meeting to discuss the budget in August and this would remain on the timetable going forward.</p> <p>The JAC ICT Lead asked what contingency plans were in place should any of the dates change due to the economic uncertainty faced at this time. The CFO explained there was very little leeway for change, as there was a legal requirement to set the precept by the 1st March 2023 and under the precept regulations the PCP had to be notified of the proposed precept by the 1st February 2023.</p>	
<p>12. <u>INTERNAL AUDIT (TIAA)</u></p>	
<p>We received and noted the TIAA Update Report.</p> <p>Three reports had been issued since the last report for 2021/22. TIAA were working on the audit plan for 2022/23 and awaiting management agreement regarding the dates for some of the audits.</p> <p>JAC queried why there were a number of audits without dates within the plan. TIAA informed us that it was due to a resourcing issue within their organisation, as some of their employees had left and they were in the process of recruiting. TIAA were also awaiting management agreement on the scope on some of the audits such as Risk Management, before audit dates could be confirmed. JAC agreed it was important to ensure the scope was clear.</p> <p>The JAC Audit Lead reiterated his concerns that the Local Policing- Property and Cash part 2 audit had been deferred both in quarter 1 and 2 and a date was yet to be confirmed in quarter 3.</p>	

<p>Our attention was drawn to the increase in the rising cost of living related crime, in the crime client briefing notes. It was suggested the action required as 'not urgent' status may have escalated given recent reports in the media. JAC asked if the Force had reviewed their anti-crime arrangements and we were assured the Force were addressing issues and plans were in place to respond.</p> <p>There was also a briefing note on Public Sector Readiness for Net Zero Carbon by 2030. Although JAC were to receive a Deep Dive incorporating this matter, it was noted this was 20 years earlier than private sector organisations and concerns were raised that this was not achievable.</p>	Action
<u>13. INTERNAL AUDIT (TORFAEN COUNTY BOROUGH COUNTY COUNCIL)</u>	
<p>We noted the IT Change Management Audit had received a substantial assurance rating and there were no reports requiring discussion.</p>	
<u>14. EXTERNAL AUDIT</u>	
<p>We received and noted the Update Report from External Audit.</p> <p>A joint post project learning (PPL) session was in the process of being arranged and the AW Management Letter would follow, including updates on the recommendations from the previous year and any areas for improvement identified this year. AW commended all involved for their hard work as Gwent were the only Force to achieve the 31st July 2022 statutory deadline for signing off the accounts.</p> <p>The AW fee rate consultation document was released on the 18th August and the link was shared online during the meeting. There was an increase in fees due to cost pressures and the introduction of the revised ISA315. The changes to the ISA315 include identifying and assessing the risk of material mis-statements in the accounts; this would therefore require more time and senior resource from AW. Details of the increases across public sector organisations could be found within the report. JAC requested a short presentation or a brief report detailing the requirements within the ISA315 when AW have been fully briefed on the changes.</p>	AW
<p>We agreed to take item 17 next, 'Changes to the Manual of Corporate Governance'</p>	
<u>15. CHANGES TO THE MANUAL OF CORPORATE GOVERNANCE</u>	
<p>We received the changes to the Manual of Corporate Governance (MoCG).</p> <p>The CFO informed us that the threshold for contract values at which full regulations applied had been revised within the MoCG, due primarily to the UK leaving the European Union and becoming independent. As such contract values needed to be adjusted to include Value Added Tax.</p>	

JAC recommended approval of the changes to the MoCG.	Action
<u>16. OUTSTANDING AUDIT INSPECTION RECOMMENDATIONS</u>	
<p>We received and noted the Outstanding Audit Inspection Recommendations report.</p> <p>The HoF advised us that there was a revision to the table at 3.3, Progress Against Recommendations. There were 12 recommendations brought forward, of which 11 have been completed as indicated within the appendix. There was 1 new recommendation.</p> <p>We noted the Firearms Licensing recommendation had been completed, however, there was a meeting to take place on the 28th September 2022 with South Wales Police to conduct a dip sample, to achieve maximum learning opportunities. JAC requested confirmation that the meeting had taken place.</p> <p>JAC referred to section 1 of the appendix and noted the due dates were the 31st March 2022 which had not been noted within the extension requests at the June 2022 meeting and had therefore been missed off the report. In light of this, JAC asked if the process for capturing the outstanding recommendations needed to be reviewed. The HoF advised us there was a TIAA portal that was used to obtain the information and he would contact the Executive Officer to ascertain how the information was missed on this occasion.</p> <p>JAC noted the extension request was from 31 March 2022 to 31 December 2022 for 3 of the recommendations and suggested that progress could be swifter. The HoF explained that the recommendations related to the Microsoft365 (M365) project and as it was a force wide rollout, matters could often be delayed which were outside the control of the Force.</p> <p>We noted the vast majority of the (Shared Resource Service) SRS actions had been completed. The JAC ICT Lead advised us that she was satisfied with the progress being made and requested an update in relation to continuity testing prior to the following meeting. The HoF agreed to obtain an update from the ACOR in relation to audit action ISS.4 on the Audit Exception Dashboard.</p> <p>JAC acknowledged the number of extensions for TIAA recommendations and outstanding SRS actions had reduced significantly over the past couple of years.</p>	<p style="text-align: center;">HoF</p> <p style="text-align: center;">HoF/ ACOR</p> <p style="text-align: center;">HoF/ ACOR</p>
The meeting was paused for a short working lunch to take place.	
<u>17. JAC SELF ASSESSMENT ACTION PLAN</u>	
<p>We received and noted the JAC Self-Assessment Action Plan.</p> <p>We discussed the actions and agreed the following:</p>	

<p>Item 4, the Assurance Framework. The CFO advised that the draft pictorial representation would be presented to JAC at the December 2022 meeting for review.</p>	<p>Action CFO/ HoAC</p>
<p>Items 6, Assurance in relation to governance arrangements for major change programmes and key collaboration. The CFO advised us the CHIGA and HoAC had developed an 'Agreement's Register' and further work was to be undertaken in relation to the reviewing of all Section 22A collaborative agreements. The CFO would confirm the expected review date with HoAC. The Welsh Police Finance Resource Group (WPFRG) had also sponsored the maintenance of a collaboration register which monitors progress against the expected non-financial and financial benefits of collaboration projects. The CFO anticipated receipt of the document by the following week.</p>	<p>CFO</p>
<p>The Force Benefits Realisation Officer captures any proposed change programmes at the initial development of a business case and works with the sponsor to identify the benefits for reporting to the Service Improvement Board (SIB). There is also a Productivity and Efficiency Board within the Force to review and challenge the business benefits within business cases, prior to submission to SIB. The AWPEG have been sighted on the template used by the Force to assess and capture the benefits, in order that they can utilise the information for collaboration projects.</p>	
<p>The JAC ICT Lead referred to the general movement within organisations to include Environmental and Social Governance (ESG) as well as the financial aspects and asked if other non-financial aspects were being captured early on by the Force. The CFO confirmed that non-financial aspects such as social value were being captured, which had not been the case in the past. The CFO suggested a deep dive on a collaborative change programme that had taken place to demonstrate the level of governance involved and the lessons learnt.</p>	<p>CFO</p>
<p>Item 4b, JAC agreed to close the item, as their workplan was balanced in terms of meeting their ToR and they retained the flexibility to major on certain elements as they became important.</p>	
<p>It was agreed that all JAC members should be encouraged to add narrative to all of the questions in future self-assessment responses.</p>	<p>HoAC</p>
<p>Item 5c, as the JAC Risk Lead had to leave the meeting, it was agreed this action would remain open until the following meeting.</p>	
<p>Item 5d, it was noted during the recent JAC Training Day that costs of collaboration should be a focus for JACs, to ensure there was clarity with regards to allocation of costs for collaborative projects. It was agreed this item would remain open until the aforementioned collaboration register had been received, to provide the necessary assurance and transparency.</p>	

<p>We noted number 6 of the rolled over actions was the same as action 6 of the new actions and suggested one of them was closed and to ascertain if there any others that were duplicated.</p>	<p>Action HoAC</p>
<p>Item 7, it was agreed the item could be closed, providing the new JAC members received a copy of the link to HMICFRS Inspection responses.</p>	<p>HoAC</p>
<p>Item 8, it was agreed this item could be closed providing a document was drafted to reflect which policies were shared with the Force.</p>	<p>HoAC</p>
<p>Item 12b, we agreed to close this item.</p>	<p>HoAC</p>
<p>Item 12c, we agreed to close this item.</p>	<p>HoAC</p>
<p>Item 14b, we agreed to close this item.</p>	<p>HoAC</p>
<p>Item 17, we agreed to close this item.</p>	<p>HoAC</p>
<p>Item 23, we agreed to close this item.</p>	<p>HoAC</p>
<p>Item 24, it was agreed this item should remain open.</p>	
<p>Item 26, we agreed to close this item as the Self-assessment has been invaluable both for the JAC members to assess their performance and for understanding other attendee’s opinions on how the JAC works. However, it was suggested that as it was an annual assessment consisting of the same set of questions, JAC could monitor some of the issues rather than there needing to be an action, resulting in JAC spending too much time monitoring its own performance as opposed to discussing the agenda items themselves.</p>	<p>HoAC</p>
<p>Ethical, values and countering fraud, we agreed to close this item as there was an Ethics Committee within Force of which the CEx was a member. Therefore, the CEx could advise the JAC of any concerns should there be any.</p>	<p>HoAC</p>
<p>We took item 19 ‘Data Protection Annual Report;’ 2021/22</p>	
<p><u>18. DATA PROTECTION FOR THE OFFICE OF THE POLICE AND CRIME COMMISSIONER. ANNUAL REPORT 2021/22</u></p>	
<p>We received and noted the Data Protection Annual Report 2021/22 for the Office of the Police and Crime Commissioner.</p> <p>It was agreed that any comments on the report should be sent to the HoAC.</p> <p>The JAC members expressed their concerns that the HoAC had indicated in the report that she was not able to complete the work required due to resource constraints.</p>	

<p>Although the Force have their own Data Protection Officer, there was very little capacity to assist the HoAC as the DPO also supported SWP. The CFO assured JAC that a resource had subsequently been agreed to assist with data protection. Consideration was also being given to a shared DPO with other Offices of Police and Crime Commissioners (OPCC).</p>	<p>Action</p>
<p>JAC members requested an update to determine what action had been taken regarding resourcing the data protection work within the OPCC, to assess the level of risk to the organisation.</p>	<p>CEx</p>
<p><u>19.FORCE INFORMATION GOVERNANCE ANNUAL REPORT 2021/22</u></p>	
<p>We received and noted the Force Information Governance Annual Report 2021/22.</p> <p>There had been good progress over the course of the year, particularly the standardisation of information management processes. There had been significant investment within the Firearms Licencing Team as indicated in the report.</p> <p>JAC welcomed the improvements in the Firearms Licencing Team, particularly given the recent tragedy in Plymouth involving a firearm. We were advised there were elements of risk as home visits to check security of firearms had not taken place due to Covid. However, additional firearms officers have subsequently been deployed to the department to conduct these visits, to clear the backlog. Recorded incidents at the home addresses of firearms owners or incidents involving firearm owners are flagged on the Niche Policing system and an investigation is conducted and their licence is revoked if necessary. The level of revocations has increased slightly since the Plymouth incident.</p> <p>We were advised that the fluctuating volumes of Freedom of Information requests was a challenge for the Force in terms of resourcing. There was also an issue with the Professional Standards Department providing responses to the requests, due to staff having to prioritise other work. The Force have acknowledged that the compliance rate may be missed on occasion due to these factors.</p>	
<p><u>20.ANY OTHER RELEVANT REPORTS FROM OTHER ORGANISATIONS THAT SHOULD BE BROUGHT TO THE ATTENTION OF THE JOINT AUDIT COMMITTEE</u></p>	
<p>There were no reports there needed to be brought to the attention of JAC.</p>	
<p><u>21.ANY OTHER BUSINESS</u></p>	
<p>We discussed the following JAC meeting dates 2023:</p>	

<p>March 2nd, June 15th, July 27th, September 14th and December 7th. The JAC ICT Lead advised us that she could not confirm the July 27th date as it coincided with another commitment. The GO advised us that one other member was not able to confirm the July 27th date but provided there was a quorum of three members at the meeting, that should suffice. The CFO requested the JAC Accounts Lead should be in attendance, however this title was yet to be established due the existing Account Lead's tenure drawing to a conclusion.</p>	<p>Action</p>
<p><u>22. TO IDENTIFY ANY RISKS ARISING FROM THIS MEETING</u></p>	
<p>The impact of the cost of living could see a potential increase in the level of Business Interests.</p>	
<p>The meeting concluded at 14:20pm</p>	