

Warwickshire and West Mercia Joint Audit Committee Meeting Record.

Date:	18 th March 2019
Chair:	Lynne Duffy
Minute Taker:	Rachael Thorold

Audit Committee Members

	Name:	Capacity:
Attendance:	Lynne Duffy (LD)	Chair
	John Anderson (JA)	Committee Member
	Dr Sanjay Bhasin (SB)	Committee Member
	Alan Day (AD)	Committee Member
	Martin King (MK)	Committee Member
	Gavin McArthur (GMc)	Committee Member
	Helen Knee (HK)	Committee Member
	Frazer Stuart (FS)	Committee Member

Offices of the Police and Crime Commissioner

	Name:	Capacity:
Attendance:	Andy Champness (AC)	CEO, West Mercia OPCC
	Philip Seccombe (PS)	PCC, Warwickshire
	Liz Hall (LH)	Treasurer
	Sara Ansell (SA)	Head of Finance, Warwickshire and West Mercia OPCC

Force

	Name:	Capacity:
Attendance:	Amanda Blakeman (ABI)	DCC, West Mercia
	Jeff Carruthers (JC)	Chief Finance Officer
	Martin Jelley (MJ)	CC, Warwickshire
	Steve Russell (SR)	Hd of ASI
	Elaine Peberdy (EP)	Hd of CO Information Mgt
	Lynne Ponti (LP)	Manager, Crime Bureau Unit, West Mercia

Internal Audit

	Name:	Capacity:
Attendance:	Garry Rollason (GR)	Internal Auditor, Warwickshire
	Rachael Hart (RH)	Internal Auditor, Warwickshire

External Audit

	Name:	Capacity:
Attendance:	Laurelin Griffiths (LG)	Grant Thornton
	Alex Walling (AW)	Grant Thornton

	Name:	Capacity:
Apologies:	Anthony Bangham (AB)	CC, West Mercia
	Richard Moore (RM)	DCC, Warwickshire
	Tracey Onslow (TLO)	DPCC, West Mercia
	Debbie Mullis (DM)	Policy Lead Standards and Integrity, Warwickshire, OPCC

Open Session

No.	Summary	Action
01/18/03/19	Attendance and Apologies. As above.	
02/18/03/19	Committee Members' Declaration of Personal Prejudicial Interests. None recorded.	
03/18/03/19	Transformation Programme Update. The Transformation Programme Update was presented. The lack of ICT resources in place have been addressed, by means of appointing a new head of the department and a subsequent restructuring of the department. It is important that agreement needs to be reached on what the outcome should be and on how that is to be met. Concern was raised highlighting a possible significant risk in finding out there is a difference in agreement on the transitional period for the elements of service affected by the Alliance termination, once the currently scheduled point of	

	<p>termination has been reached, and how this will then affect the termination arrangements.</p>	
04/18/03/19	<p>Minutes of the meeting held on 21st January 2019 and any matters arising.</p> <p>Accuracy. The minutes were recorded as being accurate, apart from the below, which should have read; “An expectation is that it should be less from the financial year 2018/19 into 2019/20”.</p> <p>Matters Arising. 10/21/01/19 The workplan is still expected – ongoing.</p> <p>All other actions are complete.</p>	
05/18/03/19	<p>External Audit Progress Report and Update. The external Audit progress Report and Update were presented.</p> <p>A concern was raised on the comments in the report made on “The level of qualified conclusions, and the comments made on the effectiveness of Audit Committees”. The response from the External Auditors was these comments have been taken from a national review and a review carried out by the Chartered Account Institute for England and Wales.</p> <p>The issue raised with this was that from a public perspective, anyone looking at the pages concerned in the report, could be seen as being ambiguous and could create a poor perception of this particular committee. It was felt the comments/page exerts should be put into context for this committee, and/or an explanation or specifically titled section should be made, when referring to national documents in the future.</p>	
06/18/03/19	<p>External Audit Plans 2019/20. The plans were presented at the last JASC meeting.</p> <p>National Audit Office arrangements do not include value for money regarding effectiveness, responsibility for this is placed upon the audit committees concerned.</p>	

07/18/03/19	<p>Internal Audit Strategy 2019/20. The item was presented.</p> <p>The documents were agreed at the recent AGG, with an agreement to an extension.</p> <p>Any audits carried out will not duplicate on areas that have already been audited.</p> <p>It is to be noted that a full assurance map would be more beneficially produced when the situation regarding Alliance changes is clearer.</p>	
08/18/03/19	<p>Internal Audit Progress Report 2018/19. The progress report was presented and agreed.</p>	
09/18/03/19	<p>Annual Governance Statements – PCCs. The Annual Governance Statements (AGS) for the PCC's were presented.</p> <p>It is to be noted that the statements are mainly backwards looking and slightly forwards looking.</p> <p>Risk No. 2 - Risks arising from the end of the Strategic Alliance, the AGS needs amending to reflect the current situation. As this document looks back, the comments made reflect the situation at the timespan the document was written.</p> <p>Annual Governance Statements – CCs. The AGS for the CC's were presented.</p> <p>See above for any points raised.</p>	
10/18/03/19	<p>Deep Dive Discussion: Information Quality. This item was presented.</p> <p>The Athena system causes data quality issues which have been escalated through the Athena Management Team.</p> <p>All of the 5.5 posts are utilised in looking at the duplications in data in both systems used.</p> <p>Information split causes potential dangers to officers and members of the public alike.</p> <p>Issues have been raised with the Athena Management Team who have, in turn, escalated</p>	

	<p>them to the Athena Management Organisation. Many of the issues that are affecting us are national issues affecting other Athena Forces.</p> <p>Action: DCC Moore is to circulate the recently produced report and a briefing update is to be produced from the Athena Management Board for this meeting.</p> <p>This committee would also like sight of progress made on improving the situation/the presented risks.</p> <p>It was questioned whether, in light of the way the duplicate nominal issue is being managed and the reality of any harm being caused to data subjects was relatively low, that the risk rating should be reviewed. EP to look into this.</p> <p>Action: EP to provide a report to this committee on any improvements made to the current situation. The reduction in the level of risks associated is to be looked into.</p>	<p>DCC Moore</p> <p>EP</p>
11/18/03/19	<p>OPCC Strategic Risk Register. The OPCC Risk Registers are now presented as separate documents.</p> <p>Risk No. 2 relating to the termination of the current Alliance arrangements is to be the risk to be kept a watchful eye on.</p> <p>Bluelight Collaboration work carried out is to be commended by the Warcks PCC.</p>	
12/18/03/19	<p>Alliance Risk Map. Presented under the closed session of the meeting.</p>	
13/18/03/19	<p>Treasury Management Strategies. The Treasury Management Strategies were presented for both Forces.</p> <p>Both reports were approved.</p>	
14/18/03/19	<p>Corporate Governance Framework. The Corporate Governance Framework was presented.</p> <p>Due to the retirement of the Director of Enabling Services, changes have been made to the documents.</p>	

	<p>A request made by the committee was that any minor changes made to documents, are to be highlighted and/or track changes is to be used. If required over and above this, a short covering note providing any changes made, would be welcomed.</p>	
15/18/03/19	<p>HMIC Action Plan Summary. The HMIC Action Plan Summary was presented.</p> <p>Reports are expected from the HMIC in late June 2019 for the HMIC audits currently being carried out for Warwickshire.</p>	
16/18/03/19	<p>ASI Assurance and Action Plan – Progress Report. The ASI Assurance and Action Plan – Progress report was presented.</p> <p>Assurance was given to this Committee around how the Head of ASI tracks progress against any actions required.</p> <p>Where the word ‘Directive’ is mentioned, it is taken as a ‘you must do’. But this has not been tested with the Service Improvement Board as to its exact definition.</p>	
17/18/03/19	<p>TIE Update. A TIE Update paper was presented.</p> <p>Action: The workplan is to be presented to the TIE JASC members. Along with an additional statement saying they are also members of the Health & Well Being Board.</p> <p>Action: The increase in the number of number of miscellaneous reports is to be investigated and reported back on.</p>	<p>DM</p> <p>DM</p>
18/18/03/19	<p>Member’s Points.</p> <p>Action: A cover note is to be produced for each meeting on any significant matters to be raised.</p>	<p>ALL</p> <p>ALL</p>

	Action: Papers are to be issued on time, in order for them to be read by the core committee members.	
19/18/03/19	AOB. The dates for the JASC meetings for the FY 2019/20 were agreed.	
20/18/03/19	Date, Time and Location of next meeting. 25 th July 2019, 14:00hrs, Conference Room, Leek Wootton	

Closed Session.

No.	Summary	Action
21/18/03/19	<p>Alliance Risk Register. The Alliance Risk register was presented.</p> <p>Currently this Risk Map is to remain as a jointly presented map. It is to be noted that this is not the only risk map produced.</p> <p>There are further risks to be included in the map.</p> <p>Once the Exit Strategy has been agreed, it was requested that the Risk Map produced by ASI becomes separate Risk maps. This was agreed.</p>	
22/18/03/19	<p>Internal Audit – Telematics. A verbal update was given on the Audit carried out on Telematics.</p> <p>Work has been carried out on this subject area since the November 2018 meeting of this committee.</p> <p>A final report has been produced which is with the two PCCs and two CC's.</p> <p>The issues raised have now been addressed via changes made to the Governance Framework. Negotiations are continuing with the Supplier, with The only part of the system relating to collisions being retained.</p> <p>The committee need to be confident that all issues have been concluded.</p>	

23/18/03/19	<p>Current Alliance situation.</p> <p>The committee had a pre meeting to discuss the current situation with the Alliance.</p> <p>It was felt that additional meetings of this committee are required in May or early June, once the Exit Strategy is in place, for the Committee to comment on.</p> <p>The Committee are not comfortable with the current October deadline and would like to see the Exit Strategy/transition timescale as soon as it has been agreed, rather than wait for the July 2019 meeting of this committee.</p>	