

MINUTES OF A MEETING OF THE JOINT INDEPENDENT AUDIT COMMITTEE HELD AT POLICE HEADQUARTERS, KIDLINGTON ON 4 OCTOBER 2019 COMMENCING AT 10.30AM AND CONCLUDING AT 1:50 PM

Committee Members Present:

Dr L Lee (Chairman), Mike Day, Richard Jones, Dr G A Woods

Present:

J Hogg (Deputy Chief Constable)
S Chase (Director of People)
P Hammond (Chief Executive, OPCC)
I Thompson (Chief Finance Officer, OPCC)
L Waters (Director of Finance)
S Morrison (Head of Policy & Commissioning, OPCC)
C Hemmings (Head of Governance & Service Improvement)
M Lattanzio (Head of ICT Department)
S Patel (Associate Partner, Ernst & Young)
A Balmer (Manager, Ernst & Young)
N Shovell (Chief Internal Auditor, TVP & OPCC)
A Shearn (Principal, Auditor, TVP & OPCC)
M Horne (Governance & Service Improvement)
C Roberts (Executive Assistant to the PCC/DPCC, OPCC)

Apologies:

J Campbell (Chief Constable)
A Stansfeld (Police & Crime Commissioner)
M Barber (Deputy Police & Crime Commissioner)
R France (Chief Supt.)
A Cooper (Director of Information)
Alison Phillips OBE (Committee Member)

APOLOGIES

The Chair, Louis Lee (LL) welcomed everyone to the meeting and apologies were given for those who could not attend.

The first issue the Committee wished to raise was the concerns that the PCC and Deputy PCC were both unable to attend today's meeting. There were a number of issues that the Committee wanted them both to hear and to respond to. The Chief Constable had written to the Committee as to his non-attendance at JIAC meetings but it was fair to say, that one-to-one meetings took place between the Committee and the Chief Constable. Deputy Chief Constable Jason Hogg (JH) pointed out that as Deputy, you should never see both the Chief Constable and Deputy together at the same time and therefore (JH) had volunteered to attend all future JIAC meetings from now on. However, on occasions if (JH) was unable to attend, then the Chief Constable would be present.

The second issues was that of the Agenda papers. The papers arrived on time albeit other late papers were sent in dribs and drabs. Fortunately, a completed Agenda had been posted which all Committee members had received but because of the lateness of receiving papers, this had created a lot of work for Charlotte Roberts (CR) at the last minute and was also considered disrespectful to the Committee members. It was felt that additional matters were just thought of at the last minute. Richard Jones (RJ) made it very clear that all papers were to be received one week before the meeting takes place. Standard agenda papers need to be submitted to (CR) on time so that the Committee had time to read them although, they understood that there would always be exception to the rules.

Introductions were then made round the table by all attendees.

1. MINUTES OF THE LAST MEETING HELD ON 12 JULY 2019

(LL) went through the minutes of the meeting held on 12 July 2019. (RJ) particularly noted on page 9 that he had in fact indicated the wording 'actuarial advice' rather than 'legal advice'. (LL) signed off the minutes from the meeting held on 12 July 2019.

The Committee APPROVED the minutes of the meeting on 12 July 2019.

2. ACTIONS/MATTERS UPDATE FROM 12 JULY 2019

(LL) went through the actions/matters from the 12 July 2019 noting that these were now all complete and had received an update from (JH) as to his action.

The Committee APPROVED the completed actions update from the meeting on 12 July 2019.

3. TVP RISK MANAGEMENT REPORT

Steven Chase (SC) presented an overview of the People Directorate priority activities which was to sustain a valued workforce with the capacity and capability to manage the challenges of modern policing. The Force would focus on the retention, recruitment, development and wellbeing of all officers and staff to tackle the most serious, complex and challenging threats or risks facing the organisation.

There were 5 priority activities which were all assigned to (SC):

- To deliver the strategic objectives of the Recruitment and Retention Programme in support of the Workforce Plan, in particular focussing on detective and investigator recruitment.
- To increase representation and diversity across the workforce and at all levels within the organisation through targeted recruitment and development initiatives.
- To develop the capabilities of managers and supervisors to undertake supportive and intrusive supervision, with regards investigation and performance.
- To deliver wellbeing initiatives centrally and locally and responding to feedback from officers and staff.
- Training on the development of skills in priority areas and the development of capabilities to meet future demand.

Operation Uplift of the 20,000 new officers over a three year period was good news nationally as well as for TVP. This would mean 2000 officers in 2019/20 and a further 6,000 in the following three years. People Directorate continued to carry out assessments and (SC) confirmed the organisation would be over 100 officers over establishment by March 2020. It had been agreed with the College of Policing and with the NPCC that TVP would continue to recruit as they had been doing to achieve targets. TVP were currently in a very strong position although awaited the financial and numerical details so could potentially recruit 200 officers per year. 425 officers had been recruited this year already and TVP were looking to recruit an additional 125 officers.

Mike Day (MD) noted that officers had been poached by other forces in the past and asked for an explanation. (SC) confirmed that TVP always had this issue with officers being poached as the Thames Valley area was an expensive area to live. The organisation would always have this risk which was somewhat hard to predict although, all forces would be recruiting on the uplift mechanism and focussing on the retention of officers. (SC) also spent a lot of time speaking to other forces about this situation. One advantage TVP had was that they had a Strategic Planning Group in place where other forces did not. Deputy Chief Constable Jason Hogg (JH) confirmed that the additional officers was great news for policing but there was still significant issues to deal with. By the New Year, TVP hoped to have clarity on these issues. Linda Waters (LW) pointed out that the basic salary of an officer was an easy cost but it was the ongoing costs that the organisation would have to deal with in more detail.

Two years ago the organisation saw the first signs of resourcing of officers which was a combination of various things. The summer of 2019 was extremely busy with the new operating model and royal weddings and where financial decisions were taken which then led to the formation of a 'Gold Group'. (SC) had recently formed a Wellbeing Board which was set out on page 24. One big issue for the organisation was absorbing

staff and CCMT had agreed that funding would be available for the next 1½ years for tutoring on specific issues in relation to staffing issues. (SC) invited the Committee to visit the new TVP recruitment website where stories were shared from officers and recruitment opportunities were highlighted for officers and staff.

(JH) confirmed that TVP were running direct entry detective courses under 'Operation Endeavour' to increase the number of detectives. There appeared to be a downturn over the last few years but HMICFRS indicated that this was overall a national crisis. TVP had trialed a special detective route and in November 2019, there would be guidance sent out to all forces. TVP would be launching two direct entry courses which would attract a more diverse work force and were already ahead of their game. One issue that TVP was currently dealing with, was the loss of detectives and holding on to officers within the Counter Terrorism unit. TVP were leading on case investigations (DC equivalent) and were trying to offset shortages where they were able to.

Norma Brown (NB) had given a comprehensive presentation on Wellbeing at a previous JIAC meeting which the Committee noted. (SC) then went on to present the slides relating to Diversity and Inclusion. A new style Diversity and Inclusion Board had been established with Chief Officers leading for each of the equality strands. (SC) led on the age strand and if something emerged, it would be raised at this meeting. The idea was to champion the strand and link into staff networks. A 'positive action team' would be recruited and would be in place with effect from 14 October 2019. The NPCC Diversity, Equality and Inclusion Strategy 2019-2025 was also available on the NPCC website should the Committee wish to have sight of this.

Mike Lattanzio (ML) attended the meeting at 11:15am.

As to Attendance Management, (SC) confirmed a report would be provided in today's agenda of where the organisation was on this.

The final slide was in relation to National and Regional Comparisons. (SC) sat on the Workforce Transformation Board and led on evidence base practice. Martin Hewitt also sat on this board. (SC) also confirmed that he was the police chair for the Centre for Police Research and Learning (Open University). There were 21 forces involved where they all shared learning experiences.

The Committee had several questions for (SC) and asked what was being done about the quality of leadership and management for officers and staff. Conferences had been put in place for officers and staff and workshops for specific supervision. This was an improvement but had been hampered recently due to staff shortages, particularly at sergeant level. (SC) had no evidence of leadership and management not being in place.

There were concerns about frontline supervision and (JH) had been informed how sergeants were operating and were keen to reduce the amount of current sergeants and looking at various options. The front line review would be complete by the next JIAC meeting in December and (JH) would be able to update the Committee then. (LL) asked why the Force were losing PCSO's to become police officers. Was there a recruitment strategy in place for keeping PCSOs for a certain period of period? (SC) confirmed that the organisation could not afford to take the risk of a fixed time period for keeping PCSO's as they would just transfer and go off to another Force and become police officers. PCSO's who wished to become officers still had to undertake further training.

Action: (SC) to circulate a graph to the (CR) for forwarding on to the Committee on expected police officer establishment as by 31 March 2020 TVP would be 100 officers over establishment.

Action: (JH) to update the Committee at the JIAC meeting on 18 December as to the outcome of the frontline review of sergeants.

The Committee NOTED the TVP Risk Management Report.

4. TVP RISK MANAGEMENT & BUSINESS CONTINUITY UPDATE

Cat Hemmings (CH) presented on behalf of Chief Supt. Rob France. During the last JIAC meeting it was discussed how to define agenda items for Part I and Part II. The Committee noted that this time everything in the TVP Risk Management & Business Continuity update had been included in Part I which had confused the Committee. The contents of the update did not contain much 'meat' in it. (CH) confirmed that the Force were trying to keep everything open and in the public domain but took on board the Committee's comments and did not feel that there was anything that needed to go in Part II this time. (LL) felt that the section for ERP contract could have included more details and could have been included in a Part II for an 'open discussion'. (LW) confirmed that she would be giving the Committee a verbal update in Part II in relation to risk as there had been a lot of progress but the risk had not changed. (LL) noted that it had been agreed at the last meeting that this should be in Part II so the Committee and attendees would be more freely to discuss matters further. As of 18 September 2019 there had been a lot more development in the Risk Register. (CH) confirmed the update would continue to be reviewed but that the report was up-to-date but would nevertheless go through this before the next JIAC meeting. CCMT received 'program updates' and this was just the 'risk update' shown in today's paper. (LW) noted that when the program risks are scored, this is actually taken into account when preparing the paper.

Mark Horne (MH) then summarised the risks identified and how they were managed appropriately.

SR81 Emergency Services Mobile Communications Programme (ESMCP) Finance and SR82 ESMCP Technical were highlighted as critical issues.

SR 81 – There were significant delays to the Home Office Emergency Services Mobile Communications Programme resulting in financial exposure to the region. There was financial exposure to the region through having to renew Airwave licences. As a result of the recently announced additional delay to the national ESN programme, the South East Regional Integrated Policing (SERIP) board requested input from the affected forces to create a regional risk register for the project. Delays to the project would create additional financial exposure to the region through having to renew Airwave licences, to extend the use of the project team and manage diminishing resources of radios. TVP were also recruiting a new SRO for the project. The Committee asked that the Force revise the risk to enable this to move forwards.

Action: The Force to revise risk SR81 to move this forwards.

SR82 – The Emergency Services Network (ESN) Programme delivery was complex and a number of key required solutions were not yet in place e.g. ground-to-air details of in-car devices leaving the solution unfit for purpose. The size and complexity of the programme had resulted in further work being required to deliver fit for purpose and cost-effective technical solutions.

(MH) went through the remainder of the active mitigating actions and future planned actions taken from the new format risk register for SR77 Release under Investigation (RUI). The investigation drift was due to RUI resulting in a failure to get cases into court and obtaining positive criminal justice outcomes. Ongoing monitoring of effectiveness of systems that were currently employed were carried out to ensure that risks were not increasing for individual departments due to individual system issues. Operation Endeavour provided a clear scope for the work which would contribute to the mitigating actions with clearly defined ownership of the 12 work areas and agreed timelines.

SR80 Equip/ERP Contractual. (MH) noted failure to agree a re-plan between the Surrey, Sussex and TVP tri-force group (SSTVP) and the project contractors KPMG was a strategic on-going risk which related to the size, scale and complexity of implementing the Equip Programme across the three forces within the revised timescales and the significant resourcing commitment required to ensure full functionality would be achieved.

SR 75 – CMP Delivery Delay. If there was a delay to the delivery of the Contact Management Programme (CMP), then there was a number of on-going impacts operationally, financially and reputational damage to the Force. Crime recording went live on 16 July 2019 and had progressed with minimal issues. However, the full go-live had been further delayed. The CMP Programme Board met on 27 September 2019 to monitor progress and to consider the potential impact of a 31 October Brexit on the new proposed go-live date. The go-live on the Isle of Wight would enable full end-to-end process confirmation prior to the full force rollouts. The delay was not excessive and had not materially impacted on the risk.

The plan was to go live on the Isle of Wight and then live in Hampshire and TVP in that order. However, due to the problems in Hampshire it was agreed that TVP would go-live before Hampshire. There were challenges around the system but these bugs had been addressed and identified. (JH) confirmed that the problems around data recording and activities had now been resolved and would be going-live later this month/early November. However, in the Isle of Wight CMP has gone live on crime recording. (ML) noted that all issues were being addressed by Microsoft and the delays are approximately one week rather than months. TVP cannot press the 'go-live' button if systems do not work correctly. (LL) asked that an update as to the problems in Hampshire would need to be written into the report to indicate what these issues were.

(MH) continued to summarise the updated risks from programmes, projects and local risk registers as to the High Tech Crime Unit Infrastructure Instability and Forensics Suppliers. (MH) noted that there were two courses that 80-90 people had signed up to in order to share risks across the Force. These courses were:

- An Introductory Guide to Risks; and
- Identifying Mitigating Contractual Risks

The Committee noted on page 71 of the update that in the fourth paragraph this needed to be amended as the meeting was now not taking place. (CH) confirmed she would remove the sentence ... *'which is held bi-annually, and chaired by the Corporate Governance Manager...'*

(MH) went through the incidents that had occurred during 4 April 2019 to 1 September 2019. On 21 August 2019 there was a water leak in the BT premises which caused damage and took down 18 Airwave masts and Abingdon Control Room's ability to take radios for 28 hours and 45 mins. On the 26 August 2019 Radiocom 7 x ICCS terminal failures occurred in Abingdon Control Room resulting in loss of terminals for 3 hours and 30 minutes and on the 1 September 2019 there was a flooding in the Banbury Driving School building which created significant water damage to the building and equipment. Further updates would be given in the next report to the Committee in December. (LW) confirmed that this incident on 1 September would be an insurance claim and would be submitted to the insurers. However, Property Services have full preventative measures in place to undertake risks. (MH) confirmed he would provide an example of what was recorded for an incident, and an example of a business continuity exercise for the Committee to see if they were interested.

The Committee made reference to the two points as to the power outage at Fountain Court on 4 April 2019 and (ML) confirmed that he would report back to the Committee in relation to this although the back-up systems are tested often through failure they are not just carried out through controlled testing.

Action: (LW) and (IT) to meet to discuss which papers needed to go in Part I and Part II before the 18 December JIAC meeting.

Action: (CH) to set out in the next TVP Risk Management and Business Continuity update what were the problems that Hampshire were having as to why they could not go-live with CMP.

Action: (CH) to remove the sentence in the fourth paragraph... *'which is held bi-annually, and chaired by the Corporate Governance Manager...'* set out on page 71.

Action: (MH) to provide an example of what was recorded for an incident, and an example of a business continuity exercise for the Committee.

Action: (ML)/(CH) to report back to the Committee on the points raised by the Committee as to the power outage at Fountain Court on 4 April 2019.

The Committee NOTED the TVP Risk Management & Business Continuity Report update.

9. PROGRESS ON DELIVERY OF AGREED ACTIONS IN INTERNAL AUDIT REPORTS (REFERRING TO 'ATTENDANCE MANAGEMENT' ONLY)

The Committee wished to go through page 149 of the Attendance Management Report with (SC) before he left the meeting. (SC) confirmed that there was an issue but that it was impossible to get all officers and staff trained although felt comfortable taking more time to do this and this had absolutely no impact to the organisation.

Gordon Woods (GW) asked why (SC) had agreed a date for completion if this was not going to happen. (SC) pointed out that things do happen but was surprised by the date that was being given for final completion. The Committee had concerns as to why this was happening in (SC's) area and wanted to support (SC) and his team. The Committee asked whether (SC) was comfortable that people were taking the training seriously. (SC) confirmed that his team had the capability to deliver but sometimes not the capacity but was content that the training was being carried out and was being taken seriously and continued to monitor numbers. (LL) wanted (SC) to be made aware that this was a Priority 2.

(RJ) noted that on page 148 of the overdue actions the Committee would like to see a reduced level of overdue actions. These seemed to have ballooned since the last meeting and asked that CCMT contribute to these targets dates being met or to change the dates so that they are realistic and deliverable.

(SC) left the meeting at 12.00pm.

5. OPCC RISK MANAGEMENT UPDATE

Paul Hammond (PH) summarised an overview of the 6 active risks within the report.

OPCC18 – Funding

'The level of funding is insufficient to maintain the current level of service against increasing demands'. The risk was currently being treated through the normal budgeting processes that were in place.

OPCC19 – Victim Services

'By promoting the Victims First Services the demand for victims' services could exceed the supply available from PCC commissioned contracts/service providers'.

There were no significant changes to the score of this risk and it therefore remained as being 'treated'.

OPCC21 – Specialist Counselling Services

'A review of the OPCC victims' specialist counselling service' identifies potential weaknesses in internal management controls and administration procedures that require significant investment in OPCC time, resources and cost to rectify'.

The risk was currently being 'treated' through the OPCC.

The Committee felt that this matter was an issue, not a risk and, therefore, should not be on the risk register. (PH) confirmed he would come back to the Committee at the December meeting to give them an update.

Action: (PH) to update the Committee at the 18 December JIAC meeting as to OPCC21.

OPCC23 – New demands on OPCC

'Failure to respond to new additional statutory responsibilities, increased volume provided and/or commissioned by the OPCC'.

The risk was currently being 'treated' through the OPCC.

OPCC24 – Specialist victims' services not in place before April 2020

'The OPCC commissioning process fails and new specialist victims' services are not in place'.

The current specialist service contracts expire on 31 March 2020. Many of the PCC's commissioned services come to an end in March 2020 and re-commissioning is necessary. Planned market engagements took place between November 2018 and April 2019 and attracted significant engagement from providers who were informed of the process and the final specification. Tenders were released in early July 2019 and closed at the end of August. Successful bidders were chosen and contract awards were on track. Mobilisation of contracts anticipated from October 2019 through to the end of March 2020 would replace the existing contracts.

The risk was currently being 'treated' through the OPCC.

OPCC26 – Safeguarding responsibilities in the Victims First Hub

‘Failure to meet safeguarding responsibilities in the Victims First Hub resulting in harm to victims and/or reputational damage for the PCC’.

Shona Morrison (SM) confirmed that training for safeguarding, mental health issues, training for callers of threatening suicides were currently being carried out.

The risk was currently being treated through the OPCC.

(ML) left the meeting at 12:20pm.

(MD) referred back to OPCC24 and was surprised that this was ‘amber’ and not ‘green’ and asked how lessons had been learned and whether controls had been put in place. (SM) gave (MD) a detailed response to these questions. The in-house service was set up on 1 April and all emphasis was to ensure the service was up and running by them. Unfortunately, the service suffered due to the impact of the Force’s Niche system upgrade, which has required a manual transfer of data to the Victims First Hub client management system, but this position was being monitored and with a manual ‘workaround’ had been implemented to overcome the lack of an electronic automatic interface.

The Committee APPROVED the recommendations in the OPCC Risk Management update.

6. ERNST & YOUNG ANNUAL AUDIT LETTER FOR YEAR ENDED 31 MARCH 2019

Adrian Balmer (AB) from Ernst & Young went through the findings as set out in the Executive Summary on page 104 of the Annual Audit Letter for the year ended 31 March 2019 noting there was nothing specific to report on. The purpose of the annual audit letter was to communicate to members and external stakeholders to include members of the public and the key issues that arose from their work. Ernst & Young had already reported the detailed findings from the audited work in the 2018/19 Audit Results Report to the 12 July 2019 JIAC meeting. (AB) continued with summarising the key issues and purpose of the letter as well as the responsibilities of the Appointed Auditor and the Responsibilities of the PCC.

One significant risk that had been identified in relation to the arrangement concerning the PCC’s involvement in the Tri-Force Enterprise Resource Planning (ERP) system was that the ERP implementation programme had experienced significant slippage on the original timetable and incurred additional costs than the original budget. Ernst & Young did not identify any significant weaknesses in the PCC’s arrangements to ensure it took properly informed decisions and deployed resources to achieve planned and sustainable outcomes for taxpayers and local people and as a result, there were no matters to report on in the auditor’s report in respect of value for money.

It was currently proposed that IFRS 16 would be applicable for local authority accounts from the 2021/21 financial year. Whilst the definition of a lease remained similar to the current leasing standard IAS 17, for local authorities who leased a large number of assets, the new standard would have a significant impact with nearly all current leases being included on the balance sheet. However, it was made clear that the PCC would need to undertake a detailed exercise to identify all of its leases and to capture the relevant information for them. The PCC must therefore ensure that all lease arrangements were fully documented. Ernst & Young noted that there would likely be a deferral on this to 2020/21.

Highlighted in the Audit Fees section on page 118 Ernst & Young were in the process of determining the additional fees in respect of significant risk on the value for money conclusion. Given that this work was undertaken across three Forces, Ernst & Young needed to understand the total cost jointly and would communicate this with senior officers once completed. It was also expected that there would be an impact on fees as a result of the additional work undertaken to audit the pension adjustments arising from McCloud and Guaranteed Minimum Pension Equalisation. Ernst & Young would therefore seek to agree any additional fees firstly with the Chief Financial Officer and then seek approval by Public Sector Audit Appointment (Ltd) before invoicing. Ernst & Young confirmed they had had a meeting this morning with (IT) around the additional work for Equip with the three authorities. (LW) and (IT) had asked for additional information be supplied to them by Ernst & Young.

(LL) noted the excellent co-operation given by Ernst & Young and the organisation to finish that early with the accounts.

Action: The PCC would need to arrange for a detailed exercise to be undertaken to identify all of its leases and to capture the relevant information for them. The PCC to therefore ensure that all lease arrangements were fully documented. Ernst & Young noted that there would likely be a deferral on this to 2020/21.

Action: Ernst & Young to provide (IT) and (LW) with additional information in relation to audit fees.

The Committee NOTED Ernst & Young's Annual Audit Letter for year ended 31 March 2019.

7. ERNST & YOUNG POLICE SECTOR AUDIT COMMITTEE BRIEFING

Suresh Patel (SP) from Ernst & Young referred the Committee to page 127 of the Police Sector Audit Committee Briefing for Quarter 3 noting that proposals on charging were changing by way of Value for Money. In July, Ernst & Young would be issuing an Auditor Report with comments by September of any arrangements. If there were any issues to note, these would be incorporated within the report.

Under the 2014 Local Audit and Accountability Act, a review of the Code of Audit Practice is required every 5 years. The Code sets out what local auditors were required to do to fulfil their statutory responsibilities under the Act. This encompasses how audits of a local body's financial statement are conducted, including reporting and how assurance is then gained on a local body's Value for Money arrangements. The current form of the Code came into force on 1 April 2015 so a revised Code would be required to take effect from 1 April 2020 for the audit of local body's financial statements for 2020/21.

(SP) informed the Committee that it would be (AB)'s last JIAC meeting as he had now been promoted. Cheng Sha would now be the new team leader who would be attending in (AB)'s place. The Committee wanted it noted and recorded in the minutes that they wished him every success in his new career and for his hard work over the past 10 years.

The Committee NOTED the Police Sector Audit Committee Briefing.

8. PROGRESS ON 2018/19 INTERNAL AUDIT PLAN DELIVERY AND SUMMARY OF MATTERS ARISING FROM COMPLETED AUDITS TO INCLUDE FINDINGS AND RECOMMENDATIONS IN THE HMICFRS FRAUD REPORT.

The report provided details on the progress made in delivering the 2019/20 Joint Internal Audit Plan on the findings arising from the audits that had been completed.

Neil Shovell (NS) informed the Committee that there had been no changes to the Joint Internal Audit Team's resource plan for 2019/20 with the plan being delivered by the Chief Internal Auditor, Principal Auditor and TIAA Ltd (ICT audit provider).

Changes had been made to the 2019/20 Joint Internal Audit Plan since the previous JIAC meeting in July. These were as follows:

- An audit of the OPCC's Victims Counselling Service Payment Process had been included.
- The only other change had been some minor audit title updates and day allocation alterations.

As to the details set out in Appendix B on page 139, (NS) noted that this contained details on the scope, assurance rating and key findings for the 2019/20 completed audits. Since the previous JIAC meeting and as at 23 September, the following audits had been completed:

- Fraud Investigation and Response – reasonable assurance.
- Resourcing and Resilience – reasonable assurance.
- Victims Counselling Service Payment Process – minimal assurance.

(NS) also drew to the Committee's attention, purely for noting, the PSIAS Update as this had now been reviewed and updated as at April 2019. Following this, a 2019/20 Quality Assurance and Improvement Programme (QAIP) Action Plan had been collated although did not detail any areas that required addressing but instead listed two areas where the risk of partial compliance had been accepted.

Work on the 2018/19 NFI exercise was still ongoing. The data matches had been received and work was progressing to review the information. As at September 2019, there were no issues identified in reviewing the available NFI matches.

The Joint Internal Audit Team liaised with Professional Standards Department (PSD) and Corporate Finance and there had not been any instances of fraud that needed to be notified since the previous JIAC meeting in July 2019. (NS) confirmed that his team were starting to plan the Q3/Q4 audits but this had been pushed back slightly because of delays. (NS) would update the Panel before the December meeting.

Looking at Appendix A set out on page 138, the Committee noted there were not many ticks shown but did not wish this document to be revised in order to push back dates. It was up to the Committee to discover any problems before any HMICFRS audit.

The Committee noted a lot of questions around 'people processors' set out on page 139 of Appendix B which came down to training again. (NS) confirmed that the scale and the amount of training does often slip and is challenged as a priority. (NS) confirmed that he would chase up with the relevant CCMT members and had only this morning received an email in relation to this.

Since the last JIAC meeting, (JH), (NS) and (AS) met and (JH) was reassured how the governance service have oversight but this was more to do with (CH) and the Governance team.

The Committee highlighted three key issues on page 140 arising from the audit these were:

- People Services were currently designing a regular process to obtain feedback on the recruitment process when hiring managers.
- Towards the end of the audit a Think Tank meeting took place to discuss retention issues and potential solutions. This meeting identified four main areas where improvements could be made. Although it was positive to see that the area of retention was being considered and discussed, the work to improve this area had only recently commenced.
- The Recruitment and Retention Programme Board received analysis of recent exit questionnaires. The outcome of the analysis concluded that work was required to improve the effectiveness of the process.

From the bullets points raised (LL) felt that this did not give a positive picture that (SC) had put forward during his presentation. (MD) noted that recruitment and retention was an incredibly challenging area but that the Committee required reality and transparency and these matters needed to be addressed.

In relation to the Victims Counselling Service Payment Process, the Committee felt great disappointment to see 'Minimal assurance'. It stated on page 141 that the actions had previously been followed up as part of the JIAC reporting process and through this process, it had been confirmed that all actions were implemented and robust control processes were in place. However, the latest review was commissioned on the back of concerns raised by the OPCC with regard to certain Counsellor payments and the general system for controlling and paying for Counsellor sessions. The Committee had understood that matters were all good but it seemed that systems were still inadequate and assurances had not been given. (PH) confirmed that he had commissioned the audit and the Committee needed to be made aware of this and even though the service was a totally new service, it was a disappointing situation to be in. Shona Morrison (SM) thought that reassurances and processes to recruit counsellors were in place and recorded. (LL) noted that there were so many bullet points in an audit review and with the service being fairly new, people needed to establish and function in a proper way. The findings of the audit report as presented should never had been allowed to come in and in (LL's) opinion, it was almost like running before you could walk.

(RJ) indicated that assuming fraud had been committed, was this reported to the Police? (SM) confirmed that it had been reported to the Police although whilst it could be demonstrated that fraud had actually been committed, the counsellor in question had presented herself at a higher qualification than she had. The correct people had been notified about the fraudulent representation.

It was noted that as the internal audit was ongoing and identifying weaknesses, the OPCC were taking this extremely seriously. The Committee were looking at two senior managers to ensure assurances were being met. (PH) noted the Committees comments.

Action: (NS) to clarify with the Force whether the training audit will take place and to update the Committee as to the planned Q3/Q4 audits at the December JIAC meeting.

The Committee NOTED the progress and any changes in delivering the 2019/20 Joint Internal Audit Plan and Audit Service for TVP and the OPCC. The Committee also APPROVED the recommendations given in the Internal Audit Plan.

9. PROGRESS ON DELIVERY OF AGREED ACTIONS IN INTERNAL AUDIT REPORTS (CONTINUED)

The report detailed progress made to date and target implementation dates for any current overdue actions. There were currently 28 actions overdue and 1 priority 1 rated overdue action. (GW) reiterated that (AS) had been spending a lot of time chasing the overdue items and if these were not chased, the overall total of overdue actions would increase.

(AB) and (SC) left the meeting at 1.15pm.

(AS) confirmed that the date of 29/02/20 set out on page 161 for Victims First Hub Guidance was in fact correct. (LL) indicated that the Hub Operational Manual which was currently being updated, needed to be done swiftly and would end up having an impact on the staff if this was not updated and read.

The COMMITTEE noted the report and APPROVED the recommendations given.

10. GOVERNANCE ARRANGEMENTS FOR TVP COLLABORATIONS

(PH) went through the Legal Framework for Police Collaborations Police Act 1996 giving an overview of the functions of TVP in developing and addressing what the collaboration arrangements were on performance.

(RJ) referred to page 174 as to the Joint TVP and Hampshire Constabulary (HC) Bi-lateral Collaboration Governance Board meetings and asked how effective these meetings were as at the last meeting on 16 July, the number of attendees was very sparse but noted that the context in the meetings were good. (JH) confirmed that there were a number of collaboration meetings with four priorities, these being:

- Equip
- Transforming Forensics
- Crime Intel System / RMS System
- ESMCP

The Committee NOTED the presentation of the Governance Arrangements for TVP Collaborations.

11. ARRANGEMENTS TO SECURE VALUE FOR MONEY

The Committee's Operating principles were updated last December to ensure compliance with the CIPFA guidance notes audit committee. One of the new requirements under 'Internal Control and Governance Environment' was to consider the arrangements to secure value for money and review assurances and assessments of the effectiveness of those arrangements. It was noted that since 2010/11 over £105m had been removed from the annual revenue budget.

The Committee confirmed that the arrangements overall were good and the Force had done extremely well and wished to congratulate them. The Committee noticed a typo on the Executive Summary on page 177 to indicate of £105m and (IT) confirmed that he would amend this figure and to also change the wording in section 2.1 on page 180 where (RJ) highlighted the sentence ... TVP is doing all it can deliver value for money.... (IT) confirmed this sentence would also be amended.

Action: (IT) to amend the figure set out on page 177 of the Executive Summary and to also update the sentence in section 2.1 on page 180 as noted by the Committee as typos.

12. **AOB**
Noting discussed.

Date of next meeting 18 December 2019 at 10.30am The Conference Hall, TVP Headquarters South