 

**Joint Independent Audit Committee**

**Handbook for Panel Members**

**2024**





**Contents**

No. Item Page No.

1. Introduction 3

2. Committee Members 4

3. Recruitment Template 5

4. Application Form 6 – 16

5. Shortlisting Recording Sheet 17

6. Appointment letter 18-19

7. Terms of Reference 20-23

8. Role of the JIAC Chair 24

9. Diversity Form 25-26

10. GDPR Update 27-29

11. Procedure for Committee Members’ Self-Reporting 30-31

 of Potential Conflicts of Interest

12. Committee Members’ Self-Reporting of Potential 32-33

 Conflicts of Interest Form

13. Disclosable Interests- Policing Background 34

14. Expenses 35-36

15. Security 37

16. Conducts and Standards 38

17. Guidance for Presenting Papers to JIAC 39-40



**Introduction**

The Joint Independent Audit Committee (JIAC) provides independent assurance to the Police & Crime Commissioner (PCC) and the Chief Constable of Thames Valley Police (TVP) regarding the adequacy of the risk management framework and the associated control environment within TVP and the Office of the PCC (OPCC). It considers the internal and external audit reports of both the PCC and Chief Constable and advise both parties according to good governance principles. It has oversight of general governance matters and provides comment on any new or amended PCC polices and strategies with regard to financial risk and probity.

These operating principles summarise the core functions of the Committee in relation to the OPCC and the Force and describes the protocols in place to enable it to operate independently, robustly and effectively. The Committee reports directly to the PCC and the Chief Constable.

The Committee will usually consist of 3-5 members (total membership may exceed 5 on a temporary basis to facilitate smooth transition). These members should be independent of both the PCC and the Force.

The Chair will be elected by the Committee on an annual basis.

The Committee will hold four formal meetings a year – in public - although there may be a requirement to hold additional meetings at short notice.

The PCC and Chief Constable will attend, or be appropriately represented at formal meetings. Committee meetings will be held at key strategic times of the year to coincide with the budget process and publication of financial management reports and accounts:

1. **March** – to consider the Internal Auditor’s Internal Audit Plan and the External Audit Plan;
2. **June** – to consider the End of Year Reports, the Annual Governance Statement, Annual Statement of Accounts and to receive the Audit Results report;
3. **September** – to consider mid-year progress reports; and
4. **December** – to receive the Annual External Audit Letter and agree the Annual Assurance Report of the Committee.



**Committee Members**

**Dr Stephen Page (Chair) since October 2020**

Stephen is a non-executive director with 17 years risk, growth, governance and strategy experience as a board member in large, complex organisations, both public and private. He has a particular focus on the boardroom issues of the digital age including data stewardship and cyber risk.  Stephen has spent 15 years at board level in the intelligence, national security and defence community, including as a nonexecutive director of the National Crime Agency (NCA). His current board roles include BSI Group and the British Army.  In his executive career Stephen was the global head of IT/digital strategy and transformation at Accenture and the commercial director of a $1.4bn Accenture business.

**Melissa Strange (Committee Member) since October 2020**

Melissa Strange is CFO (Chief Finance Officer) for an early stage company in the life sciences sector, having previously served as Vice President, Finance within a US and coUK listed biotech.  Through her current and prior roles, Melissa has overseen internal controls, risk management and governance practices as well as core financial management and strategy.

**Dr Luca Raffellini (Committee Member) since July 2023**

Luca is an Executive Director of Standard & Poor’s (S&P) in London, formerly Vice President of the Financial Services practice of Frost & Sullivan. 28 years in the Energy and Chemical industries, with experience in corporate strategy, due diligence, risk assessment, and business continuity planning for large organisations. He held positions as Global Marketing Manager of a Shell-ExxonMobil joint venture and Senior Principal at Booz & Co (now PwC). He also serves on the Harvard Business Review Advisory Council, chaired the editorial board of Insight magazine, and was on the Business Plan Judging Panel of Oxford University. Luca is a Doctor of Chemistry and an MBA.

**Dr Chris Westcott (Committee Member) since December 2023**

Chris is Chair of the Science Council’s Finance, Audit and Risk Committee, a member of the Department of Health and Social Care COMARE expert committee, a member of the British Council’s Digital Advisory Group, and a parish councillor. He’s been a non-exec director at an international geopolitical risk analysis and advisory company and at an Open Source research and analysis consultancy spun out from the Policy Institute at Kings College London, an academic visitor at the University of Oxford’s Reuters Institute for the study of Journalism and a Trustee of the Science Council. Chris was previously the Director and Editor-in-Chief of BBC Monitoring for 12 years. Earlier in his career, Chris led the editorial and technological development of BBC World Service’s digital media portfolio and joined its board in 2000 as its first ever Head of Online. He was responsible for a sequence of major investments spanning online and mobile news services in 44 languages, including the BBC’s first 24-hour news services in Arabic, Chinese, Russian, and Spanish. He was the World Service lead for the launch of BBC News Online in 1997.  Prior to his BBC career Chris was a research scientist at the UK Atomic Energy Authority’s labs at Harwell. Chris holds an MA in Metallurgy and Materials Science from the University of Oxford and a Ph.D. in Chemistry from the University of Southampton.

 

**Recruitment Template**

*[This will be advertised on the OPCC and TVP websites along with Social Media such as Linked In/Twitter and Facebook]*

**Vacancy for lay member of the Joint Independent Audit Committee for Thames Valley**

The Police and Crime Commissioner (PCC) for Thames Valley and the Chief Constable of Thames Valley Police (TVP) are looking for a citizen with a good understanding and experience of public sector legislation and guidance who is also politically neutral, to sit as independent member of the Joint Independent Audit Committee (JIAC).

Do you want to help scrutinise the way your policing finances operate? Could you offer a strong and independent voice on corporate governance? The Committee will review and scrutinise the affairs of both organisations, looking at issues such as: risk management, internal control, change programmes and corporate governance as well as overseeing audit arrangements and reviewing financial statements.

Four members have already been appointed and we are now looking to appoint a further one.  The appointment will be for a four-year period to [ ] 2028.

Candidates are required to be over the age of 18, and live or work in the Thames Valley area and be able to attend meetings at TVP Headquarters, Kidlington during the working day. The volunteers will be subject to a police vetting check. Serving police officers or police staff are not eligible for this role.

The successful applicant will receive training and a daily allowance including expenses for travelling to TVP Headquarters. The current schedule is based on four to five meetings each year.

The closing date for applications is 5.00pm on [ ] 2024.

Interviews will be held on [ ] 2024.

To view the candidate pack for diversity form and to complete an application form, please follow the below links:

[**Diversity Form**](file:///C%3A%5CUsers%5CC7904%5COneDrive%20-%20Hampshire%20%26%20Thames%20Valley%5CCORPORATE%5CFINAL%20REPORTS%5CJoint%20Independent%20Audit%20Committee%5CJIAC%20Recruitment%20Applications%202023%5CDiversity%20Form%20final%20020424.docx)

[**Application Form**](file:///C%3A%5CUsers%5CC7904%5COneDrive%20-%20Hampshire%20%26%20Thames%20Valley%5CCORPORATE%5CFINAL%20REPORTS%5CJoint%20Independent%20Audit%20Committee%5CJIAC%20Recruitment%20Applications%202023%5CJIAC%20Application%20Form%20final%20020424.docx)

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**Application form**

|  |
| --- |
| Please complete application form in **black ink** or complete application form electronically |
| Title ………………………………………………………………………………………………………………..Surname ……………………………………………………………………………………………………………….. |
| Forename(s)………………………………………………………………………….…………………...........................  |
| Any other name(s) by which you have been known …………………………………………………………….......................................................................(forename(s) or surname(s)) ……………………………………………………………………………..……………………………….... |
| Place of birth (Town, County & Country) …………………………………………………………………………………………………………….….Telephone Numbers:……………………………………………………………………………………………………. |
|   |
| Home: …………………… | Mobile: ……………………………. | Email: ………………………. |
| Address:…………………………………………………………………………………………………….Postcode: …………………………………………………………………………………………………..How long have you lived at this address? ……………………………………………………………….. |
| Have you ever been convicted of an offence or been reported and subsequently given an official written caution, warning or reprimand for any offence? (please tick √)*Information provided under this heading will not necessarily disqualify an individual from becoming a member of the Joint Independent Audit Committee. Any information given will remain strictly confidential.* *Furthermore, in order to maintain confidence in the process, the PCC will not normally appoint someone with unspent criminal convictions (with the exception of fixed penalties). Each case will be considered on its own merits, however successful applicants will be subject to criminal record and security checks prior to appointment.* Yes □ No □If yes, please give details:  |
| Please provide details of two people, not related to you, who have agreed to be contacted by us to provide a reference on your suitability for appointment. |
| Name: Address: Postcode:  | Name: Address: Postcode:  |
| Occupation: Telephone Number:Email address: Length of time known candidate: Personal/Professional (*delete as appropriate*) | Occupation: Telephone Number:Email address: Length of time known candidate: Personal /Professional *(delete as appropriate)* |
| Are you now, or have you been in the last five years, an officer/employee/volunteer of TVP / OPCC or a related organisation (e.g. Police Officer, member of Police Staff, member of an OPCC Independent Custody Visitor Scheme, Misconduct Panel Member, Special Constable, Police Community Support Officer, Detention Officer), or a Justice of the Peace? (please tick √) No □ Yes □ If yes, please provide details………………………………………………………………………………………………………………………………………………………………………………………………………………………………Is a close family member or friend a current officer/employee/volunteer of TVP / OPCC or a related organisation (e.g. Police Officer, member of Police Staff, member of an OPCC Independent Custody Visitor Scheme, Misconduct Panel Member, Special Constable, Police Community Support Officer, Detention Officer), or a Justice of the Peace? (please tick √) No □ Yes □ ………………………………………………………………………………………………………………If yes, please provide details:- |
|

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| --- |
| How did you hear about the Joint Independent Audit Committee?*To enable us to monitor the effectiveness of our recruitment schemes, please state whether it was through a publication, website or voluntary agency, or other. Please be specific about the precise source.* |
| Recent paid employment (continue on a separate sheet if necessary) Please note that we will accept a link to your LinkedIn profile or a copy of your CV, which must contain information over the past 10 years. |

 |

Please provide details of any relevant voluntary work you have done and relevant experience you may have of working with the local community.

|  |  |  |
| --- | --- | --- |
| **Name of body, interest group or community and address** **(if applicable)** | **Dates of your involvement (from / to)** | **Nature of your involvement including any positions of responsibility**  |
|  |  |  |

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| --- |
| Relevant Skills and Experiences. |

Please provide examples to demonstrate the extent to which you possess the following personal skills and qualities; you may wish to use STAR - *situation, task, action, result* or something similar.

**(a)** Experience in risk management and ability to scrutinise both internal and external governance processes and to provide robust challenge.

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**(b)** Ability to evaluate and analyse internal governance processes and controls including review of the Annual Governance Statement together with internal audit processes and to provide recommendations.

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**(c)** Ability to critically analyse business continuity management, ensuring that objectives are being met efficiently and that appropriate recommendations are made.

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**(d)** Experience inreceiving and reviewing reports from the external auditors, together with review and critical analysis of any such reports, and making comments or recommendation as to the effectiveness of those reports.

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**(e)** Ability as part of the committee tosatisfy itself on behalf of the PCC and the Chief Constable that adequate and effective policies and practice frameworks are in place to discharge legal duties, in particular in relation to health and safety, equality, diversity, integrity and ethical issues.

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**(f)** Ability to:-

* consider any HMICFRS report that provide assurance on the internal control environment and/or highlight governance issues for the PCC and/or Chief Constable.
* report advice and recommendations in relation to any matters that it considers relevant to governance, risk management and financial management.

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| Financial Qualifications |
| Please indicate any financial qualifications you have held and whether these are current: |

Please note that the OPCC is part of the National Fraud Initiative. Please see link to the National Fraud Initiative below.

<https://www.thamesvalley-pcc.gov.uk/about-us/national-fraud-initiative/>

|  |
| --- |
| Declaration |
| **Declaration**I agree to the OPCC making the relevant enquiries in connection with my application. I have read the information supplied to me concerning the duties and responsibilities of the Panel and would be prepared, if my application is accepted, to attend training sessions as necessary and complete the appropriate undertaking in respect of confidentiality.I declare that the information I have given in support of my application is, to the best of my knowledge and belief, true and complete. I understand that if it is subsequently discovered that any statement is false or misleading, or that I have withheld relevant information, my application may be disqualified or, if I have already been appointed, my appointment could be terminated. |
| Signed  | Print name  | Date  |
| **The UK General Data Protection Regulation (UK GDPR) and the Data Protection Act 2018 -** Please note that the information supplied on this form may be stored by the OPCC and the enquiries made in processing your application may include reference to personal data held on Police computers or manual files. The information provided in this application will be treated in the strictest of confidence. Please see privacy policy if you would like more information on how your data may be used and processed. <https://www.thamesvalley-pcc.gov.uk/privacy/> |
| Please return this completed application form to be received by midnight on XXX2024 or via post or e-mail to: **Vicki Waskett, Office of the Police and Crime Commissioner, Police Headquarters, Oxford Road, Kidlington, OX5 2NX email:** **pcc@thamesvalley.police.uk**If you have any queries, please contact Charlotte Roberts or Vicki Waskett using the above email address or by telephoning 01865 541957. Please refer to the website or click the link below for current operating times. [OPCC opening hours for telephone line](file:///F%3A/WORD/OPCC/FINAL%20REPORTS/Professional%20%26%20Ethical%20Standards%20Panel%20%28formerly%20CIEP%29/Recruitment/OPCC%20phone%20line.docx).  |

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**SHORTLISTING RECORDING SHEET**

**Post : Joint Independent Audit Committee**

**Candidate Name: .............................................................................**

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Competency** |  **5** |  **4** |  **3** |  **2** |  **1** | **Total** |
| **(a)** |  |  |  |  |  |  |
| **(b)** |  |  |  |  |  |  |
| **(c)** |  |  |  |  |  |  |
| **(d)** |  |  |  |  |  |  |
| **(e)** |  |  |  |  |  |  |
| **(f)** |  |  |  |  |  |  |
| **Final score** |  |  |  |  |  |  |

**RECOMMENDED FOR APPOINTMENT: Yes/No**

**Signature.......................................................................... Dated...............................**

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**Appointment Letter**

Dear [ ]

**Your appointment to join the Joint Independent Audit Committee**

I write to confirm your appointment to become a member of the Joint Independent Audit Committee (JIAC).

This appointment is for a period of 4 years, commencing on [ XXXXX ] and will run through to [ XXXXXXX ].  In the unlikely event that your conduct falls below the standards expected of you, Thames Valley Police (TVP) and the Police and Crime Commissioner (PCC) reserve the right to remove you from the Committee prior to this date.

I attach to this email the following documentation.

1. Terms of reference (Operation principles), which I would be grateful if you could please read carefully and sign your acceptance.
2. A GDPR form which I would be grateful if you could sign and return to me using my direct email address of vicky.waskett@thamesvalley.police.uk.
3. Details of how to claim expenses.

You will be bound by the Official Secrets Act as follows

*You understand that you are bound, under the laws of England and Wales, by the Official Secrets Act 1911 (OSA 1911) and the Official Secrets Act 1989 (OSA 1989). You understand that if you disclose any information as protected by these Acts, you will be committing a criminal offence, unless you have lawful authority to do so.*

**Next meeting**

The dates of the next panel meetings are:

* 8 March 2024
* 14 June 2024
* 20 September 2024
* 20 December 2024
* 21 March 2025

**Contact points**

JIAC Chair - Dr Stephen Page – Email SP@spmailbox.net.

Charlotte Roberts is your point of contact for the OPCC; who organises the meetings, prepares the agendas, takes the minutes and deals with JIAC expenses.

Charlotte’s email address is Charlie.roberts@thamesvalley.police.uk.

In relation to general queries, you can contact Martin Thornley, Chief Finance Officer and Deputy Chief of Staff at the OPCC by emailing Martin.thornley@thamesvalley.police.uk.

It is of vital importance that throughout your appointment you maintain the highest degree of integrity at all times.  If you become aware of anything which may present a conflict of interest, I would request that you let me know at your earliest convenience.

Please could you sign your acceptance below and return a duplicate copy of this letter.

All that remains is for me to welcome you onto the Committee on behalf of the Chief Constable and the PCC.  I trust that you will find this a challenging yet rewarding role.

Yours sincerely

Vicki Waskett

Vicki Waskett

Head of Governance & Compliance

Office of the Police & Crime Commissioner for Thames Valley

Oxford Road

Kidlington

Oxon OX5 2NZ

I [ ] accept and agree to be bound by the terms of this letter and the associated Handbook. I understand that I am NOT an employee but an office holder and that my standard of conduct must not bring the committee into disrepute.

Dated this day of 202X

Signature……………………………………………

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**Terms of Reference**

**Purpose of the Panel**

The purpose of the Committee is to provide independent assurance to the PCC and the Chief Constable regarding the adequacy of the risk management framework and the associated control environment within Thames Valley Police and the Office of the PCC. It will consider the internal and external audit reports of both the PCC and Chief Constable and advise both parties according to good governance principles. It has oversight of general governance matters and provides comment on any new or amended PCC polices and strategies with regard to financial risk and probity.

The Agenda, Reports and Minutes of all Committee meetings will be published on the OPCC and Force websites. However, members of the press and public shall be excluded from a meeting whenever it is likely that confidential information will be disclosed. Confidential information is defined as:

a) Information furnished to the Committee by a Government department upon terms (however expressed) which forbid the disclosure of the information to the public.

b) Information the disclosure of which to the public is prohibited by or under any enactment or by the order of a Court.

**Methods of Working**

The Committee will:

* Advise the PCC and Chief Constable on good governance principles.
* Adopt appropriate risk management arrangements.
* Provide robust and constructive challenge.
* Take account of relevant corporate social responsibility factors when challenging and advising the PCC and Chief Constable (such as value for money, diversity, equality and health and safety).
* Be regularly briefed by the Chief Constable and PCC on the full range of activities falling within its specific responsibilities and attend other relevant internal meetings.
* Have direct access to the oversight of professional standards and ethical matters by regularly attending the Professional & Ethical Standards Panel as an observer.
* Attend any training and conference events that will ensure the Committee are kept up to date with the policing landscape and audit requirements.
* Provide an Annual Assurance report to the PCC and Chief Constable.

**Panel Member Responsibilities**

The Committee has the following specific responsibilities:

Financial Management and Reporting

* Provide assurance to the PCC and Chief Constable regarding the adequacy of the arrangements, capacity and capability available to their respective chief finance officers to ensure the proper administration of the Commissioner’s and Force’s financial affairs.
* Review the Annual Statement of Accounts. Specifically, to consider whether appropriate accounting policies have been followed and whether there are concerns arising from the financial statements or from the audit of the financial statements that need to be brought to the attention of the PCC and/or the Chief Constable.
* Consider the external auditor’s report to those charged with governance on issues arising from the audit of the financial statements, and to give advice and make such recommendations on the adequacy of the level of assurance and on improvement as it considers appropriate.

Internal Control and Governance Environment

* Consider and endorse the local Code of Corporate Governance.
* Consider and endorse the Annual Governance Statement (AGS).
* Monitor implementation and delivery of the AGS Action Plan.
* Consider the arrangements to secure value for money and review assurances and assessments on the effectiveness of these arrangements.
* Consider and comment upon the adequacy and effectiveness of the assurance framework, and the specific governance and accountability polices, systems and controls in place, such as the Corporate Governance Framework; anti-fraud and corruption; whistle-blowing, declarations of interest and gifts and hospitality.
* Review arrangements for the assessment of fraud risks and potential harm from fraud and corruption and monitor the effectiveness of the counter fraud strategy, actions and resources.
* To consider the governance and assurance arrangements for significant partnerships or collaborations.

Corporate Risk Management

* Consider and comment upon the strategic risk management processes.
* Receive and consider assurances that organisational risks are being managed effectively and that published goals and objectives will be achieved efficiently and economically, making recommendations as necessary.

Business Continuity Management

* Consider and comment upon business continuity management processes.
* Receive and consider assurances that business continuity is being managed effectively and that published goals and objectives will be achieved efficiently and economically, making recommendations as necessary.

Internal Audit

* Annually review the internal audit charter and resource.
* Receive and consider the adequacy and effectiveness of the arrangements for the provision of the internal audit service.
* Consider and comment on the Internal Audit Strategy and Plan.
* Receive and review internal audit reports and monitor progress of implementing agreed actions.
* To consider the Head of Internal Audit’s statement on the level of conformance with the Public Sector Internal Audit Standards (PSIAS) and Local Government Application Note (LGAN) and the results of the Quality Assurance & Improvement Programme (QAIP) that support the statement.
* Consider and comment upon the annual report of the Head of Internal Audit.
* Obtain assurance that an annual review of the effectiveness of the internal audit function takes place.

External Audit

* Receive and review reports from the external auditors, including the annual audit letter and audit opinion.
* Review the effectiveness of external audit.
* Consider and comment upon any proposals affecting the provision of the external audit service.
* Consider the level of fees charged.
* At present TVP participates in the national procurement of external audit services through the Public Sector Audit Appointments (PSAA). However, should the PCC and Chief Constable decide that local procurement would be better the Committee would undertake the role of the Independent Audit Panel, as set out in the Local Audit and Accountability Act 2014, including considering and recommending appropriate arrangements for any future appointment of External Auditors.

Health & Safety

* Satisfy itself on behalf of the PCC and the Chief Constable that an adequate and effective policy and practice framework is in place to discharge legal duties in relation to health and safety. In particular, having regard to the safety, health and welfare of police officers and police staff, people in the care and custody of TVP and all members of the public on police premises or property.

Equality and Diversity

* Satisfy itself on behalf of the PCC and Chief Constable that an adequate policy and practice framework is in place to discharge statutory requirements in relation to equalities and diversity.

Inspection and Review

* To consider any HMICFRS report that provides assurance on the internal control environment and/or highlights governance issues for the PCC and/or Chief Constable.

Accountability Arrangements

* On a timely basis report to the PCC and the Chief Constable with its advice and recommendations in relation to any matters that it considers relevant to governance, risk management and financial management.
* Report to the PCC and the Chief Constable on its findings, conclusions and recommendations concerning the adequacy and effectiveness of their governance, risk management and internal control frameworks; financial reporting arrangements and internal and external audit functions.
* On an annual basis, review its performance against its operating principles and report the results of this review to the PCC and the Chief Constable.

**Term of Appointment and Remuneration**

Appointments are normally made for a four year period from a date to be agreed jointly with the Chief Constable and the PCC. Re-appointments may be made for a second term. Members will serve for a maximum of eight years i.e. two terms. Members are office holders and not employees.

The PCC will pay a daily allowance rate of £400.00 for Committee members and £450.00 for the Committee Chair, with the half-day rate of £200.00 for Committee Members and £225.00 for the Committee Chair, to be paid for shorter meetings and an hourly rate (which is an eighth of the daily rate) to be paid for anything shorter than a half day.  In addition, travelling and subsistence expenses are reimbursable.

I [ ] agree and accept the terms of this appointment as outlined herein as part of the Handbook by which I agree to be bound.

Dated this day of 202X

Signature……………………..

Print name…………………….

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**Role of the Joint Independent Audit Committee Chair**

The Committee on an annual basis elects the Chair by majority vote.

The role of the Chair is to:

* Chair meetings.
* Organise the agenda in liaison with TVP/OPCC.
* Agree with Committee members the briefing for speakers at meetings.
* Share the briefings with TVP/OPCC.
* Critique the first draft of the minutes of meetings and pass to Charlotte Roberts for further critique.
* Chair pre-meetings for Committee members.
* Organise and manage allocation of Committee members to external meetings.
* Liaise with OPCC and TVP on all governance matters.
* Chair recruitment panel when required.

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 **Diversity Form**

|  |  |  |
| --- | --- | --- |
| **Surname:**  | **Forenames:** | **Date of Birth:** |

The information provided on this part of the application form will not be seen by the short-listing and interview panels and is optional. We will notify the interview panel should any adjustments need to be made at interview.

The data will only be used to monitor Diversity and Race Equality Scheme requirements.

|  |  |
| --- | --- |
| **I consider my ETHNIC ORIGIN to be:**(Please ‘X’ the relevant box)**WHITE**British □Irish □Any other white background □**MIXED**White and Black Caribbean □White and Black African □White Asian □Any other mixed □**ASIAN OR ASIAN BRITISH**Indian □Pakistani □Bangladeshi □Any other Asian background □**BLACK OR BRITISH BLACK**Caribbean □African □Any other black background □Jewish □Chinese □Sikh □**OTHER ETHNIC GROUP**Other ………………………………Prefer not to say □ | **AGE**18-24 □25-35 □36-60 □60 or over □**GENDER**Male □Female □Non-binary □Prefer not to say □**SEXUAL ORIENTATION**Bisexual □Heterosexual □Gay/Lesbian □Prefer not to say □**RELIGIOUS BELIEF/FAITH**Buddhist □Christian □Hindu □Muslim □Prefer not to say □**DISABILITY**(Please ‘X’ the appropriate answer)**Do you have a disability: Yes** □ **No** □**Do you believe this disability impacts on your daily life within the terms of The Equality Act 2010?****Yes** □ **No** □**Please indicate if you will need any special help or assistance if you are invited to interview:****…………………………………………………………………………****………………………………………………………………………..****………………………………………………………………………..****………………………………………………………………………..****………………………………………………………………………..** |

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**UK General Data Protection Regulation**

**(UK GDPR) Update**

**Role of the Committee**

The Joint Independent Audit Committee helps to ensure that Thames Valley Police and OPCC achieves the highest levels of auditing in delivering a service.

The Committee provides an independent forum that monitors, audits and encourages constructive challenges over the way the Force and the OPCC conduct their work.

**Scope of GDPR**

The GDPR applies to the processing of personal data that is:

● wholly or partly by automated means; or

● the processing other than by automated means of personal data which forms part of, or is intended to form part of, a filing system.

Personal data only includes information relating to natural persons who:

● can be identified or who are identifiable, directly from the information in question; or

● who can be indirectly identified from that information in combination with other information.

Personal data may also include special categories of personal data or criminal conviction and offences data. These are considered to be more sensitive and you may only process them in more limited circumstances.

**Personal data which JIAC would process**

This relates to data held in your capacity as members of the JIAC Committee. Any other personal data you may hold in any other capacity (e.g. as a member of IAG) should be held only in compliance with the principles of the GDPR and current data protection legislation, and used only in your JIAC capacity.

JIAC members have access to and possible use of the following personal data:-

1. Names, email addresses and telephone numbers of other Committee members.

2. Details of Police Officers and staff.

3. Personal data included in reports to force’s meetings attended and in the confidential part of committee meetings – this data is shared for the purpose of TVP oversight.

If any Committee member holds personal data not included in the above list then please confirm what data is held and the reason for holding the data using the contact details listed below under the ‘Security’ section.

**Lawful basis for processing the information**

Under the GDPR, whoever processes personal data must have a lawful reason for doing so. There are six lawful reasons for processing personal data being:-

● necessary for the performance of a contract.

● statutory obligation.

● consent.

● performance of a public task.

● legitimate interest.

● vital interests.

For the purposes of JIAC, the reason for processing personal data would not require consent as it falls within the remit of ‘performance of a public task’. This basis *must* be, and is, underpinned in law.

The statutory provision in relation to the PCC

The PCC has a duty to hold the Chief Constable to account as per the Police Reform and Social Responsibility Act 2011, including ensuring that the Chief Constable has adequate and effective systems and procedures in place.

Statutory provision in relation to Thames Valley Police

As per the Police Reform Act 2002, JIAC’s role is to create a check and balance that the statutory provisions are being adhered to.

Therefore, there is no need for any Committee members to concern themselves with getting consent from any other Committee members in relation to processing their personal data.

However, the following principles need to be borne in mind by JIAC when processing personal data.

**Personal data must be processed lawfully, fairly and in a transparent manner in relation to the data subject**

● In general, fairness means that you should only handle personal data in ways that people would reasonably expect and not use it in ways that have unjustified adverse effects on them. Therefore, any data which is processed during the JIAC meetings is processed purely for the purpose to which it has been obtained.

● Transparent processing is about being clear, open and honest with people from the start about who you are, and how and why you use their personal data.

● The OPCC has updated its privacy notice on the website to ensure that reference is made to JIAC members so that individuals are informed at the outset that any personal data they provide to the OPCC may be processed by JIAC.

● The GDPR means that processing of data must be **transparent** as well as fair and lawful.

**The data must be collected for a legitimate purpose**

● It must be clear from the outset why you are collecting personal data and what you intend to do with it.

● Comply with your documentation obligations to specify your purposes (obligations fall to OPCC and TVP).

● Comply with your transparency obligations to inform individuals about your purposes (e.g. Privacy Notice

 of OPCC/TVP).

**Held for no longer than is necessary**

● You should identify the minimum amount of personal data you need to fulfil your purpose. You should

 hold that much information, but no more. You need to think about – and be able to justify how long you

 keep personal data. This will depend on the Committee’s purposes for holding the data.

● Once a meeting has been finalised, all information provided to and held by Committee members which

 may contain personal data should be deleted as soon as it is no longer needed.

● Taking home any such material would constitute a breach of the GDPR and Operating Principles.

**Information must be accurate and kept up to date**

● You should take all reasonable steps to ensure that the personal data you hold is not incorrect or

 misleading (this is also the responsibility of the OPCC and TVP).

● However, if you discover that personal data is incorrect or misleading, you must take reasonable steps to

 correct or erase it as soon as possible.

**Security**

● Any notes taken during the meetings should not contain personal data unless it is necessary to do so or

 it is disproportionate to remove it.

● Minutes of JIAC meetings are public documents and should not contain or disclose personal data.

● Any laptop holding personal data *must* contain password protection and/or the personal data must be

 encrypted.

● In the event that any written or electronic devices containing personal data are lost or stolen this must

 be reported to informationgovernanceteam@thamesvalley.police.uk and copied to

 vicky.waskett@thamesvalley.police.uk and sierra.reid@thamesvalley.police.uk as soon as possible and

 no later than 72 hours following the incident.

The following action will be taken:-

● The breach will be logged.

● Appropriate enquiries will be made.

● Decision made as to whether to report the breach to the ICO.

● Any appropriate remedial action.

**Further responsibilities:-**

● JIAC must only act on the instructions of TVP and/or OPCC.

● JIAC must not engage ‘sub processors’ (substitute any other Committee member).

● Each panel member is **accountable** for how they process data.

● Committee members must report to TVP or the OPCC immediately if they are asked to do something

 which infringes the GDPR or other data protection law.

Dated this [ ] day of [ ] 202X.

I can confirm that I have read and will comply with the above.

…………………………………..

Signature

…………………………………..

Print name

  ****

**Procedure for Committee Members’ Self-Reporting of Potential Conflicts of Interest**

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| **Summary**This report sets out procedure for the self-reporting by Committee members of any changes in their personal circumstances that *may* present a potential conflict of interest with their role as a member of the Joint Independent Audit Committee. |

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| --- |
| **Recommendation:**1. For the Committee to adopt the ‘Procedure for Reporting Potential Conflicts of Interest’ as set out in this report and attached reporting Template.
 |

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| **Chair of the Joint Independent Audit Committee** I hereby endorse the recommendation above. |

**Introduction and background**

**1. Matters for consideration**

1.1 This reporting procedure is based on the information that Committee members are required to disclose on their application forms when appointed to the Committee.

1.2 Committee members were required to declare, as necessary, the following information and provide supporting details:

1. *“Have you ever been convicted of an offence or been reported and subsequently given an official written caution, warning or reprimand for any offence?”*
2. “*Are you, or have you been in the last five years, an officer / employee / volunteer of the Thames Valley Police / OPCC or a related organisation (e.g. Police Officer, member of Police Staff, member of an OPCC, Independent Custody Visitor, Misconduct Panel Member, Special Constable, Police Community Support Officer, Detention Officer), or a Justice of the Peace?*”
3. “*Are you related to an officer / employee / volunteer of the Thames Valley Police / OPCC?*”
4. “*Please provide details of professional or voluntary work you have done and experience you may have of working within the local community that would in your opinion be relevant to this role*”

2.3 It is considered sensible & reasonable that the above information and supporting details, as disclosed by Committee members, should be maintained and updated by Committee Members as and when necessary, and any changes made to the answers to questions (a), (b), (c) and (d), above, be notified to the OPCC (via the Head of Governance and Compliance) on a timely basis. The Head of Governance and Compliance will then arrange for:

* any notifications to be referred to the PCC and Chief Constable;
* the Member’s changes in circumstances to be considered by the PCC and Chief Constable as soon as practicable; and
* a response to be provided to the Committee member as to whether or not the PCC and Chief Constable consider the possible conflict to be a real conflict sufficient to prevent the Committee member from undertaking their role effectively.

2.4 It is anticipated that this self-reporting procedure will satisfactorily identify and address most, if not all, of the types of potential conflicts & concerns that Committee members may face, and facilitate their timely consideration by the PCC & Chief Constable (or their representatives), without incurring disproportionate bureaucracy for either party.

2.5 A Self-Reporting ‘Template’ is attached for the future use of members.

**Gillian Ormston**

Chief of Staff

Office of the Police and Crime Commissioner

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**Committee Members’ Self-Reporting of Potential Conflicts of Interest Form**

**Member’s Personal Details:**

|  |  |
| --- | --- |
| **Surname:** |  |
| **Forename:** |  |
| **Title:** |  |
| **Contact Details:** |
| **Email:** |  |
| **Permanent Address:** |  |
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**Changes in Personal Circumstances to be Reported:**

Please complete in the four boxes below, as necessary, any changes in your personal circumstances or to the supporting details as previously provided to the Office of the Police and Crime Commissioner (OPCC).

|  |
| --- |
| **Have you ever been convicted of an offence or been reported and subsequently given an official written caution, warning or reprimand for any offence?** |
| Change in circumstances: |
| **Are you, or have you been in the last five years, an officer / employee / volunteer of the TVP / OPCC or a related organisation (e.g. Police Officer, member of Police Staff, member of staff of an OPCC, Independent Custody Visitor, Misconduct Panel Member, Special Constable, Police Community Support Officer, Detention Officer, member of a TVP Independent Advisory Group) or a Justice of the Peace?** |
| Change in circumstances:  |
| **Are you related to an officer / employee / volunteer of the TVP / OPCC?** |
| Change in circumstances: |
| **Please provide details of professional or voluntary work you have done and experience you may have of working within the local community that would in your opinion be relevant to this role.** |
| Change in circumstances: |

**Declaration:**

I declare that the information I have provided is, to the best of my knowledge, true and complete. I understand that if it is subsequently discovered that any statement is false or misleading, or that I have withheld relevant information, my appointment as a Committee member of the Joint Independent Audit Committee could be terminated.

**Signed: [ ] Date: [ ]**

**Once completed, please return this Form to:**

Head of Governance and Compliance

Office of the Police and Crime Commissioner

The Farmhouse, Thames Valley Police HQ South, Oxford Road,

Kidlington, Oxfordshire OX5 2NX

or

**Email**: vicky.waskett@thamesvalley.police.uk or charlie.roberts@thamesvalley.police.uk.

Any queries, please telephone **01865 845720** or **01865 541948.**

|  |
| --- |
| **UK General Data Protection Regulation and Data Protection Act 2018**Please note that the information supplied on this form may be held and the enquiries made in processing your disclosure may include reference to personal data held on police computers or manual files. The information provided in this disclosure will be treated in the strictest confidence. |

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**Disclosable Interests: Policing Background**

Ex-Officers/police staff are not excluded from applying, however each application will be considered on a case by case basis depending on the number of existing ex-officers/staff already on the Committee. The Committee must be representative of a cross-section of society and as such, must be diverse in order to maintain objectivity and promote innovation and public confidence.

Please note any applicants with existing links to the Force/OPCC (i.e. family members or friends currently employed) must declare this as a potential conflict of interest. This is not a bar to appointment, and relationships will be considered on a case-by-case basis to ensure fairness and proportionality. Close family relationships within the Force/OPCC would not be appropriate (e.g. partner/parent/child).

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**Expenses**

**Fees, allowances and expenses**

Fees payable will be paid at the rates set out below.

Any fee note or invoice submitted must include (or append) a sufficient breakdown of all time and expenses claimed.

Your claim form must be submitted to Charlotte Roberts at the Office of the Police and Crime Commissioner (OPCC) for Thames Valley via email Charlie.roberts@thamesvalley.police.uk for checking and authorising before submitting to TVP Variations.

Any questions regarding appointment terms or fees should be directed to the Chief of Finance and Deputy Chief of Staff, Martin Thornley at the OPCC for Thames Valley in the first instance.

JIAC Meetings

Fees may be claimed at the following rates:

• Fixed daily sitting rate (for Chair): **£450.00**

• Fixed half day rate (for Chair): **£225.00**

• Fixed daily sitting rate for other Committee Members: **£400.00**

• Fixed half day rate for other Committee Members: **£200.00**

**Please note that a claim form for JIAC must be accompanied with a petrol/electric car receipt if claiming petrol/electric cars otherwise, the claim form will not be submitted for payment.**

Preparation and additional meetings

A fee may be claimed at the rate of one eighth of the daily ratefor each hour necessarily spent in preparatory work or report writing. In relation to each JIAC meeting, Committee members may claim up to one whole day for preparation.

Travelling expenses

Committee members may be paid reasonable travelling expenses between residence and the location of the meeting. If claiming reimbursement of rail fares you must either provide a photocopy of receipt or enter on the claim the rail ticket number and date and place of issue. Travel by car may be claimed at 45p per mile or the HMRC rate if it is higher.

Incidental travelling expenses e.g. bus/tube fares, may also be claimed. Taxi fares may be reimbursed only for journeys for which there is no other suitable method of public transport, or where heavy luggage has to be transported to or from the place of departure or arrival. A photocopy of the receipt for travel by taxi must be provided and full reasons must be given in writing and included on the invoice. Travelling allowances are designed to meet expenses incurred and are in no sense a form of remuneration. Please note that no liability can be accepted in the event of any accident, damage, injury or death.

There is no provision for payment of travelling time to any Committee Members.

VAT

VAT may be claimed by those Committee members registered for the purposes of VAT. In these cases, the VAT registration number should be shown.

Other

Other than provided for above, no other fees or expenses may be claimed unless agreed in advance by the OPCC.

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**Security**

**Force security general reminders**

Security of Thames Valley Police premises, assets and staff is everyone’s responsibility. Committee members are reminded of the following security advice:

● When entering and exiting the premises either on foot or in a car, please ensure you are aware of who is

 around you and conduct your own counter surveillance.

● No tailgating. This includes on foot and at all vehicle barriers/gates.

● Challenge those not wearing ID. All visitors or those wearing a red lanyard must be accompanied at all

 times when within secured areas of a site.

● Report breaches. Whether this is on an electronic device (incorrectly directed emails or messages) or if

 you identify a concern at a Force location, report it and take necessary action at the time.

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**Conducts and Standards**

At all times, all Committee members must maintain the highest standards of conduct and integrity.

You must not:

* Bring the Police and Crime Commissioner (PCC) or Thames Valley Police (TVP) into disrepute.
* Use your position improperly to advantage yourself, your family or friends.
* Disclose confidential information.

As part of this, you will be asked to sign an agreement setting out your responsibilities under the UK General Data Protection Regulation (UK GDPR).

Please note that applicants must be over the age of 18 and in order to guarantee the independence of the process, personnel under the direction and control of any Police Force or PCC are not eligible to sit as a Panel member. If your circumstances change whereby you come under the direction and control of a Police Force or PCC, you must notify the OPCC immediately.

Furthermore, in order to maintain confidence in the process, the PCC will not normally appoint someone with unspent criminal convictions (with the exception of fixed penalties). Each case will be considered on its own merits, however any changes to your criminal record must be communicated to the OPCC immediately. You must therefore notify the OPCC immediately if you are reported or arrested for, or charged with a criminal offence.

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**Guidance for Presenting Papers to the Joint Independent Audit Committee**

For the JIAC meeting there needs to be a speaker for each agenda item and this is arranged through Charlotte Roberts to identify attendees suitable to present at the meetings.

* The Committee members will read your paper in advance. The paper should stand alone without additional talk over – it should be clear what it is about, and what the narrative is. If you are requesting a decision from the Committee, make clear what that decision is.

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* If you are responding to a commission from the Committee, do not hesitate to ask the Chair for more information or background about the commission.
* Make sure your paper is written in plain English, and that any acronyms are spelled out to help those of us who are not immersed in the technical language of policing. The paper must also be written in a way that complies with the Public Sector Bodies (Websites and Mobile Applications) (No. 2) Accessibility Regulations 2018.
* The JIAC’s terms of reference (see pages 15-18 of the Handbook) sets out what the Committee are responsible for considering. You may find it helpful to refer to them to frame your paper. Not all of the Committee’s responsibilities will apply to every paper. The Committee consider a broad range of strategic and, sometimes, operational risks – focusing on protecting the organisation and the public from potential failures of governance – while not to duplicate the work of others (such as the Professional and Ethical Standards Panel or the Police & Crime Panel etc.) or stepping into the shoes of the Police and Crime Commissioner or the Chief Constable.
* So, in very broad terms, when the Committee reads your paper their key interests are:
	+ **Governance**: how are decisions made for this topic, within TVP/OPCC, by whom and with what scrutiny? With what data? Are decisions made in one area connected to relevant decisions in other areas?
	+ **Risk**: to what extent does this topic expose TVP/PCC to strategic, operational or reputational risk? How are those mitigated? To what extent have “bad” outcomes been anticipated, rehearsed, and addressed? Does this area involve novel, sensitive, potentially controversial or untested ideas, which warrant deeper discussion?
	+ **Controls/Assurance**: if action “x” is being taken, how does TVP/PCC gain independent assurance that “x” has actually happened? Could “x” be manipulated fraudulently or for individual gain, and what would detect/deter/prevent that?
	+ **Accounting**: to the extent that your topic is reflected in the accounts of TVP/OPCC, is it compliant with required standards?
* The Committee are not here to mark homework – their focus is less on the answer TVP/the OPCC has reached or how you tell it, but whether you have reached it through a solid route. So, for example, if you are producing an annual report on a focus area, the Committee will be interested in:
	+ What data do you have about the area?
	+ Does the data tell you what you need to know, or do you need to collect more or different data?
	+ If there is some data which is not fully trusted, how have you handled that?
	+ What do you understand from the data – is there a trend?
	+ Do TVP/the OPCC need to do something in response to the data? How have you decided what to do?
* When you come to the JIAC meeting the Chair will invite you to introduce your paper briefly. You should not expect to read through your paper. The Committee will have read and discussed the paper in advance. Rather, please give us a few sentences verbally to open discussion e.g. why this paper is coming to the Committee, the key points the Committee are to note and what you want from the discussion.