

**Meeting: Joint Audit Committee**

**Venue: Skype**

**Date: 22nd October 2020**

**Due to the current Coronavirus pandemic the meeting held on the 22nd of October 2020 was conducted via Skype for Business.**

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| **Members:** | Mr Malcolm MacDonald (MM)Mr Martin Evans (ME)Mr Andre Morgan (AM)Mr Alasdair Kenwright (AMSK)Ms Kate Curran (KC) |
| **JAC Attendees** | Mrs Beverley Peatling, Chief Finance Officer (CFO)Mrs Carys Morgans, Chief of Staff (CoS)Mr Edwin Harries, Director of Finance (DoF)Mr Ian Williams, Assistant Director of Finance (IW)Mr Jonathan Maddock (TIAA), (JM)Mr Jason Blewitt, WAO (JB)Mr Huw Morgans, Risk & Business Continuity Management Advisor (HM)ChInsp Elaine Bendle, Demand and Performance, Governance and Change (ChInsp EB)Insp Richard Janas, Inspection and Review, Collaboration and Efficiency (InspRJ)Ms Lynne Davies, Assistant Director Business Support Unit (LD)DI Sharon Griffiths, Investigator, Professional Standards (DI SG)Miss Caryl Bond, Assurance Support Officer (CB) |
| **Apologies** | Mr Mark Collins, Chief Constable (CC) Mr Dafydd Llywelyn, Police and Crime Commissioner (PCC)Mrs Kerrie Phillips, Governance Demand & Performance Manager (KP) |
| **Declarations of Interest:** | None. |

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|  | ACTION SUMMARY FROM MEETING ON (29th July 2020) |
| **Action No** | **Action Summary** | **To be progressed by** |  **Progress** |
| **Action A170** | **CB to amend the attendee list to show CFO in order to match content of minutes and to ensure that the correct spelling is used in A136 2018/19.** | **CB** | **Complete** |
| **Action A170** | **For both the WAO Value for Money collaborative report and the HMICFRS report on collaborative arrangements to be brought to the next meeting as a twofold agenda item.** | **WAO/ HMICFRS** | **Complete** |
| **Action A171** | **For fraud activity to be regularly reported to each JAC meeting.**  | **PSD** | **Complete** |
| **Action A171** | **JM will look into the cases categorised as “other” and report back to the Committee.** | **JM** | **In progress** |
| **Action A171** | **TIAA to revise the figures on page 8 on the number of cases on the 08/08/2019 column to ensure that the total number is correct.** | **TIAA** | **Complete** |
| **Action A171** | **JM will check the date on page 13 of the Assurance Review of Security of Seized Proceeds of Crime (Cash and Assets) where 29/09/01 is recorded as a date for a seizure.** | **JM** | **Complete** |
| **Action A171** | **For the Committee to receive an update at a future meeting on the decision made on the two possible preventative options that are highlighted in the ICT Review of Data Assurance – Management of Police Information (MOPI) and Primary Nominal Index (PNI) report.** | **ICT** | **In progress** |
| **Action 175** | **TIAA to provide and an update at the next meeting on how their plans are going and whether Covid-19 is impacting on their ways of working and progress against their plan.** | **TIAA** | **Complete** |
| **Action A176** | **For the Committee to consider at the next JAC meeting page 4 of the SICA report 2020/21 where it notes the management’s responses to the Briefing note that the Committee consider the methods used for Virtual Meetings and Video Conferencing during the COVID-19 Pandemic and that JAC consider if the briefing note is consistent with established IS&T practices.**  | **JAC** | **Complete** |
| **Action 179** | **JB to check the references within the audit report and the appendixes to ensure that they are corrected for the final version.** | **JB** | **Complete** |
| **Action 181** | **KD to change the figures within the Statement of Accounts on page 68 to reflect the changes mentioned in the Audit Wales report. Figures confirmed as correct, no change required. – Complete.**  | **KD** | **Complete** |

**A191 2020/21:** **Minutes of the meeting held on 29th of July 2020 and Matters Arising**

**Action A191: CB to amend the wording for decision A181 to “The draft Statement of Accounts of both the Chief Constable and Group accounts were recommended for signature by the appropriate signatories subject to any matters arising from the call of audit.”**

**Decision D191: Pending amendments as outlined the minutes of the meeting held on 29th of July 2020 were accepted as a true record.**

JM gave an update in relation to A171. He is waiting on a breakdown from the Professional Standards Department on what is meant by “other” within the Counter fraud external audit report. JM also gave an update in relation to the Assurance Review of Cybercrime Management noting that the action to amend the figures on page 8 relating to the number of cases on the 08/08/2019 column has been completed.

**A192 2019/2020: The final version of ISA260 - Wales Audit Office Audit of 2019/20 Accounts Report**

JB noted that this is the final version of the Wales Audit Office Audit of 2019/20 Accounts Report. A draft version was brought to the last JAC meeting in July but was unable to be finalised due to changes to the call of audit date as a result of matters arising from Covid-19. The call of audit took place on the 1st of September with no issues arising, therefore, the final draft of the accounts were signed on the 3rd of September 2020. JM explained that there were no changes to the version previously brought to the Committee other than some additional information provided in paragraph 11 on the emphasis of matter in relation to the Dyfed Pension Fund. JB noted that all typos recognised by members within the last meeting have now been corrected.

ME queried whether the word council was the correct word to use on page 15 under the Dyfed Pension Fund. JB acknowledged that although the matter does relate to the Council they could have made the sentence clearer in noting that both the Council and Police have disclosed.

MM wished to record the Committees thanks to both Audit Wales and the Finance Team for all the work undertaken to formally certify the accounts within time.

**A193 2019/2020: The Audit Wales Matters Arising 2019/20 letter**

JB presented the Audit Wales annual Matters Arising letter, explaining that this letter picks up minor issues which appear from audits that do not get picked up as part of the ISA 260 report. JB noted that all recommendations have been accepted by management and management responses have been provided for each as noted within the action plan.

KC queried in terms of the management response for the section on investments as the report notes: “Our testing of a sample of ten investments identified one which had no confirmation form available to support the investment. We were able to confirm the investment to bank statements and the ledger in the absence of this confirmation.” However, the management response notes: “Investment documentation is always retained digitally, and we will work with counterparties to obtain this so that it is available for audit.” KC queried if documentation is retained digitally, why was it not available for the Auditors to see.

IW explained that this note refers to their old ways of working which included paper based working, the comment refers to present ways which fully embraces new digital ways of working.

MM noted that it is important for the Committee to keep an oversight of progress made against recommendations and for updates to be given at appropriate future JAC meetings.

KC queried whether issues raised will translate to any extra audits being required.

JB noted that certain points raised would be picked up from other internal audits. CFO also noted that certain aspects would be checked as part of other audits and progress made against the plan will be monitored by the Finance Strategic Procurement Group in order to oversee implementation progress.

**A194 2019/2020: Reports of the internal auditors**

1. **Assurance Review of HR Management – Workforce Planning**

Outcome: Substantial Assurance with no recommendations. The review found that Force has a Workforce Plan and Skills Development Strategy Medium Term Plan in place covering the four year period from 2017 to 2021. The Force has adapted well to the Covid-19 lockdown and utilised newly recruited Officers in contact centres and custody suites. There has been no reduction in the effectiveness of training due to Covid-19, as the way in which training is being delivered has been adjusted.

MM wished to note that this a very positive document which covers issues in which HMICFRS have raised in the past in relation to HR. This report highlights the significant progress made by the Force in these areas.

DoF noted that there has been a lot of hard work undertaken in this area, in particular in getting their recruitment figures achieved over this difficult period. A very positive report which reflects the good work that has been done.

1. **Assurance Review of Capital Programme**

Outcome: Reasonable Assurance with two priority 2 recommendations and two priority 3 recommendations. Recommendations included; Training and clear instructions to be delivered to all key members of staff to ensure that business cases are documented using the approved Project Proposal form and that all Project Proposal forms be physically signed off as part of the review and approval process.

JM ran through the new template used by TIAA for their reports. JM explained that the new style of reporting aims to make the reports more succinct, focusing on a risk based approach looking at two key areas, direct risk and delivery risk.

CFO noted that having recognised a number of areas needing improvement and having already put some measures in place the report feels like an accurate reflection of the Force position. There has been a considerable focus on project documentation and the capturing of Business Benefits. These recommendations also link with those from HMICFRS and are actively being captured within the Change and Transformation Group.

Management accept the recommendations and work is being undertaken to progress in the right direction.

JM wished to note that the Executive summary of the reports now also captures elements of good practice. This report found that robust governance arrangements are in place for monitoring and reporting on the progress of the delivery of the capital programme including expenditure and that the capital programme is now presented over a ten year period rather than five as previously to provide a more extensive outlook on the life and cycle of the capital programme**.**

1. **Assurance Review of Payroll**

Outcome: Substantial Assurance with no recommendations. The report found that there are appropriate controls in place to ensure the creation, amendment and deletion of payroll records are actioned correctly and in a timely manner to ensure employees are paid the correct salary. JM noted that this report is consistent with no recommendations being found over the last few years.

The Committee wished to record their thanks for all the work being done in this vital area of work.

1. **Collaborative Appraisal Review of Vetting Of Contractors**

Outcome: Substantial Assurance with one priority 3 recommendation. The review considered the contractor vetting arrangements across all four Welsh Forces and Police and Crime Commissioners. The scope of the review assessed the arrangements in place, checked compliance with the arrangements and compared across the organisations and identify areas for collaboration. The report identified the need for Dyfed-Powys to arrange a date for the implementation of Core-vet, an electronic vetting database.

1. **Appraisal Review of Counter Fraud – Internal Exposure**

Outcome: Reasonable Assurance with two priority 3 recommendations. JM noted that the need to perform IR35 checks made within the Collaborative Creditors review undertaken in December 2019 remains outstanding. A new recommendation has not been raised but it is to be noted that the risk remains until the action has been completed and this is reflected in the overall assurance level.

ME queried the following statement on page 7: “A sample of 5 large contracts was selected from the Tender register document and compared back to the Blue Light Procurement Database (BLPD). For two out of the five contracts selected in the sample, the required documents were available on BLPD. The remaining three contracts were not available on the BLPD. It was noted in discussions with the Procurement and Contracts Manager that there is no formal requirement to upload contracts to the BLPD due to some being commercially sensitive.”

ME noted that 60% of the contracts were not available on the database, and how could the Committee gain reassurance that there are no concerns arising from the missing 60% that were not reviewed in terms of any fraudulent activity. He queried whether there any plans in place for the remaining three contacts to be reviewed? JM explained that they were content with the two that they were able to review and that there is no formal requirement for contracts to be uploaded. However, JM will check if the auditors had sight of the remaining three contracts.

DoF confirmed that he has checked and all (five) contracts were available for internal audit and commercially sensitive ones were not excluded from scrutiny as part of the internal audit process (other than the internal Audit Contract itself). The paragraph relates to DPP not publishing of awarded contracts on the National Bluelight Procurement Database as it is considered that this may release commercially sensitive information.

KC queried why the outstanding action in terms of IR35 checks had not been implemented and when it was likely to be actioned. LD confirmed that checks are routinely undertaken to ensure compliance within the Accounts Payable Team. DoF noted that it appears that the forms have been changed but not circulated.

**Action A194: An update on the implementation of the IR35 to be given at the next meeting.**

1. **Neighbourhoods – Divisional Visits (2) Property and Overtime**

Outcome: Limited Assurance with two priority 1 recommendations, nine priority 2 recommendations and two priority 3 recommendations. The two main findings the report highlighted were that from a sample of 50 exhibits from the Property Management System (PMS) that were recorded as being present at Aberystwyth Divisional Headquarters. The review revealed that six exhibits were unaccounted for and four were found but in the wrong location. The second finding noted that at the time of the visit the PMS system reported 160 exhibits in the "Aberystwyth Temp Cabinet" location. This is where Officers place exhibits temporarily for further investigation or mostly for the Property Officer to move into the main property store.

JM gave a detailed overview of all recommendations highlighted within the report.

LD stated that the comments and recommendations resulting from the report is very much welcomed.

LD noted that they have provided a Management response against each of the recommendations and are keen to move matters forward. It is acknowledged that the previous audit undertaken was also given a limited assurance and therefore work is needed in this area to ensure improvement.

AM queried the matter on page 6 in relation to the security of the freezers that are currently used to store exhibits and whether a priority two was appropriate or whether it should have been escalated to a priority one due to the nature of the exhibits. JM acknowledged this point and noted a priority one was considered, however, at the time of the review new freezers had been purchased and movement of the items had commenced. LD confirmed that the movement of exhibits to the new freezers had commenced with the majority of this work having now been undertaken with the aim of completion by the end of October 2020.

LD noted that in terms of the sample of 50 exhibits from the Property Management System (PMS) and the six exhibits that were unaccounted for, these have now been located and the system updated accordingly. In terms of the second priority one recommendation in terms of items being kept in the temporary stores, LD explained that in nearly all cases the items were in the store due to waiting for collection. Items are usually picked up within 28 days, however, due to covid-19 this period of time has been extended, the Force front desks and counters have also been closed during the pandemic, which has caused an additional backlog of items waiting for collection. LD confirmed that progress had been with a large number of items already having been collected and the progress against this matter will continue to be monitored.

LD noted that in terms of the recommendation that the Retention and Disposal of Lost, Found and Detained Property Policy be reviewed and updated to reflect current arrangements, the aim is that this work will be completed and finalised by the end of the year.

LD gave a detailed update in relation to all recommendations noting the progress made against each area raised.

JM noted positively that from a sample of 50 exhibits recorded as being present at Newtown Divisional Headquarters, the review revealed that only one exhibit was unaccounted for. LD stated that they are still waiting for a response from the Officer in Charge in relation to this item however, this will be followed up.

MM noted positively that overtime was looked at with no major issues being identified.

JM also gave reassurance that matters highlighted in this report is also a difficult area for all Forces, the issues highlighted are not unique to Dyfed-Powys.

MM expressed the Committee’s thanks to LD for attending the meeting and for providing an update against the key recommendations arising from the report.

**A195 2019/2020: Summary Internal controls Assurance (SICA) Report 2020/21**

# JM explained that this report provides the Joint Audit Committee with an update on the emerging Governance, Risk and Internal Control related issues and the progress of work as at 15th October 2020. The period covered by this summary controls assurance report was significantly impacted by the COVID 19 pandemic. The report summarises all the priority one recommendations that are outstanding since the last report.

JM noted that they are working well with the Force and despite covid-19 restrictions, reviews are still taking place remotely and progress is being made against the plan.

KC queried that in terms of the Management responses, some are submitted very quick and some take a few months, has there been an improvement of the whole in terms of the timing of management responses?

JM noted that he is working with IW in relation to this area, to ensure that responses are given in time for the reports to be finalised for submission to JAC meetings.

MM stated that the content of pages 13 and 14 is very useful in terms of helping the Committee see which areas may need to be focused on at a future date. MM noted for example that Whistleblowing policies and procedures are highlighted and may be an area that the Committee would like some reassurance on at a future date.

DoF noted that the Force does have a Whistleblowing policy which should pick up all areas highlighted, however, may be an area worthy of a future audit or update.

CFO noted that there is some work required internally to ensure that there is a process in place to pick up areas where action is required formally. It is noted that many of the areas would be being dealt with already, however, work is needed to ensure that there is a formal process in place to pick up all areas requiring action.

**Action A195 2020/21: Thought to be given on a formal process for identifying Internal Audit areas needing action, in order for matters to be addressed and progressed accordingly.**

**A196 2020/21: Update on Internal Audit progress**

IW gave an update on internal audit progress. IW explained that in their last Audit Governance Group meeting there was a focus on performance and implementation of recommendations coming from audits. IW noted that they have completed 6 audits against the plan. It was explained that there was a concern over the number of open recommendations. Work is in progress to ensure that there are no legacy recommendations left outstanding.

IW explained that they are also tracking which areas are receiving the highest number of recommendations. In the last Audit Governance Group meeting they invited the Temp Head of HR, which is currently the Department with the highest number of recommendations, to discuss progress being made. JM is also invited to these meetings and it was felt that this approach worked well and will be adopted going forward to receive up to date feedback on the progress being made and for guidance and support to be given were needed to help drive improvements. The Professional Standards department will be attending the next meeting to discuss open recommendations.

**A197 2020/2021: Treasury Management report – performance during 2019/20 and mid-year review of performance during 2020/21**

CFO explained that the report gives context on the economic environment, to review the performance during 2019/20 and to give an update on the mid-year position. CFO explained that during both 2019/20 and 2020/21 to date all Treasury Management activities have been undertaken in compliance with the approved Treasury Management Strategy and underpinning practices. CFO wished to bring to the Members attention that a test borrowing was undertaken in the last financial year in order to test the financial procedures and controls as they had been in a fortunate position to have not needed to borrow for some considerable time.

In terms of the treasury management investment activity the CFO noted that they are in close liaison with the Treasury Management Advisors to ensure that all activities consider the most up to date advice. Updates are given on a daily basis as market rates change. Interest rates are very low at present which is resulting in a reduction in the projected income from investments which is being factored into the financial year monitoring.

MM thanked everyone who was involved in pulling together the document.

CFO confirmed that Arlingclose will be invited to the Finance Seminar in December to provide their annual input to Members.

**A198 2020/2021: Corporate Governance Framework**

MM noted that this was on the agenda for Members to note the final version. All necessary changes that the Committee noted in the last meeting have been made.

**A199 2020/2021: Draft JAC terms of reference**

MM noted that it is an annual requirement for the JAC terms of reference to be reviewed. It is noted that the document has adopted the Force template for terms of references.

A discussion took place on the amendments made which are highlighted in red. AM noted that the verb needs amending in a few sections from “to” to “will” in order to ensure continuity with the rest of the bullet points in the document. AM gave a suggestion on the wording of bullet point on page 1, suggesting “Review and monitor the effectiveness of Policies and procedures on Fraud irregularity and corruption.”

MM noted that there is some repetition within the document and suggested that Members email CB with their comments. A revised version will then be taken to the Corporate Governance Group for their comments prior to being finalised in their next JAC meeting in December.

**Action A199: Members to email CB with their comments and suggested amendments needed within the draft JAC ToR.**

**A200 2020/2021: HIMCFRS and FMS verbal update**

MM welcomed ChInsp Elaine Bendle and Insp Richard Janas to the meeting. InspRJ noted that he was the new HMICFRS Force liaison Officer. InspRJ gave a brief update on HMICFRS activity explaining that all activity was suspended on the 13th of March this year due to COVID-19 and resumed in July with a revised plan of activity for 2020/21. Inspectorate activity has resumed and there is work ongoing in terms of catching-up with previous scheduled inspections. The main theme is how policing is responding to COVID-19, what is working well and what is being learnt, how the sector is dealing with the problems they face and opportunities to make sustainable improvements to the service. The approach that HMICFRS is taking combines elements of thematic, PEEL and joint inspection programmes with a focus on fast dissemination of inspection findings and building our knowledge of force response to feed into continuous assessment/monitoring activity.

Insp RJ explained that there are three overarching questions which assesses how the Force understood and prepared for the potential and actual impact of the pandemic, how the Force responded initially, how it is now responding to challenges of the pandemic; and how the Force is evaluating the response to the pandemic – i.e. identifying what’s working/what’s not and using this to shape how the service operates. The nine key areas which are being looked at by HMICFS in terms of the pandemic are; Strategic leadership, Preparedness, Partnerships, Vulnerability, Investigations, Enforcement, Reporting (requests for service), Wellbeing and custody.

The Inspection is being carried out in October with the aim of sharing lessons learned and key findings in November/December. The thematic report will be published early 2021.

Insp RJ noted that the PEEL inspection is due to resume towards the end of the year and Dyfed-Powys has been confirmed as selected as a Force to pilot the new inspection framework. The report is expected to be published around August 2021.

Insp RJ made the Committee aware that the Home Office has commissioned an inspection of the Policing of Public protests. This inspection will look at how well the police manage intelligence relating to protests, how well the police plan and prepare their response to protests, how well the police collaborate in relation to protests, how effective the decision-making processes are and how do they affect the police response to protests. It aims to determine whether the legislation give the police the powers they need to deal effectively with protests.

MM noted that the Force have received a very positive internal audit report on workforce planning which cover a number of key areas which have been of interest to HMICFRS. It would be useful for this document to be brought to the attention of Sarah Cooper. MM will be mentioning it at the next HMIC and Governance meeting.

**Action 200: For a copy of the Assurance Review of HR Management – Workforce Planning to be sent to Insp Janas.**

ChInsp EB gave a presentation on the Force Management Statement (FMS), sharing the headline findings from the FMS 2020 with cross-cutting themes. It was explained that work on the FMS commenced in January with a Strategic Planning Event being held. Due to Covid-19 on the 12th March 2020 the Demand/ FMS team were displaced from HQ and required to work remotely. Due to the pandemic on the 18th of March all FMS work stopped as the demand team were seconded to work on Covid-19. However, work recommended in May and the FMS was submitted to HMICFRS on the 20th October 2020. Six Forces have submitted their FMS reports. FMS reports are usually submitted in May, however, due to Covid-19 this was no longer a requirement. The FMS Steering Group will make a decision around future submissions of FMS and whether Forces will be able to submit their FMS at a time which suits them. The recommendation that Karen Mellodew will be making as Deputy Portfolio lead is that forces should be allowed to submit FMS reports when it suits them and their planning cycles.

It was noted that the other Forces who had submitted their FMS had made no reference to the impact of Covid-19. HMICFRS will be writing to those Forces who had not included COVID-19 requesting an addendum to their FMS asking them to articulate what changes have been made in response to the pandemic. It is pleasing to note that Dyfed-Powys had already included COVID-19 as a key consideration in their FMS.

ChInsp EB gave a brief overview of all 12 key chapters within the FMS, detailing key headlines.

ChInsp EB noted that the Force are carrying out an internal debrief on the 11th November 2020.

MM expressed the Committee’s thanks to both ChInsp EB and Insp RJ for their inputs.

DoF also wished to thank everyone involved in the FMS it is a great achievement to have submitted a FMS under the current circumstances.

**A201 2020/2021: HMIC Collaboration report**

ChInsp EB explained that this is a report by HMIC on the collaboration between Forces. Dyfed-Powys took part in this review sharing their experiences in particular in terms of recruitment in that Dyfed-Powys’ work is an All Wales team approach. The All Wales approach has been highlighted as having many aspects of good practice. One recommendation has been allocated to Dyfed-Powys in relation to implementing a system to track the benefits of our collaborations using the methodology created by the NPCC. This is currently being explored.

**A202 2020/2021: The Audit Wales Collaboration review report**

JB explained that as Members will be aware the Auditor General each year will seek assurance that policing bodies have proper arrangements in place for the economy efficiency and effectiveness of the use of resources. This is usually reviewed October time and is included as part of their annual audit letter. In 2018/19 Audit Wales extended the review at the request of the Forces to look at economy efficiency and effectiveness of the use of resources but with regards to the collaboration arrangements between the Welsh Forces.

No additional fee was requested from Audit Wales for this piece of work. A summary report has been created for each Force to form their own action plan arising from this.

The overall findings noted that arrangements are in place to support good governance and the efficient, effective and economic use of resources for the collaboration between Welsh Police Forces, however there are aspects of these arrangements that could benefit from a number of processes being clarified and formalised.

**A203 2020/2021: Covid19 and Force significant Corporate Risks**

HM gave an overview of new/ increased areas of risk, these included; Cybersecurity and the risk that the Dyfed-Powys Police ICT systems/network may be compromised from a Cyber-attack. An assessment of the risk resulted in an entry being made on the Corporate Risk register on 2nd October 2020. HM highlighted that the risk of cyber-attack is a global problem that is growing in its scope and sophistication. However, at a time when the Force’s cyber-threat defences continue to be strengthened, it is important to be mindful of research data which shows that between 90% - 95% of all successful attacks by cybercriminals are caused by human error. For example, fake emails made to look like they are coming from legitimate sources, will prompt users to enter their usernames and passwords. Work has therefore been undertaken to raise awareness and understanding within the organisation of the importance of vigilance. In January 2020, the Force commenced a series of exercises initially aiming to measure the awareness of the cyber-threat across the organisation, and then to focus on employee engagement in order to influence learning and cultural change. An on-line learning package was launched on 13th July 2020 to help to raise awareness of how all officers and staff can help to protect the Force and ensure service delivery is not compromised.

The second key area of risk is the forensic medical examination of children is not robust and exposes the Force to risk. This area of risk was originally raised on 23/04/18 and discharged from the Corporate Risk register on 29/10/19. The risk was discharged as a result of the SARC Project Board agreeing a future model for the provision of SARC services for adults and children across south, mid and west Wales. On 25/08/20, D/Supt. Anthony Griffiths reported that the implementation of the new Regional SARC model had stalled, due to the Health Boards and NHS Wales Collaborative prioritising the Covid-19 response.

In order to mitigate this risk, the 3 southern Wales forces have pushed the Cardiff & Vale Health Board to convene another SARC Project Board meeting, so that a way forward can be agreed. This was scheduled for early September. Also, a paper was to be put forward to the Wales Chief Police Officers Group to agree a plan for ISO accreditation.

MM queried a point in relation to the data and Crime Recording integrity risk and why the score was increased from a 14 to a 16.HM explained that the risk score was changed back in January 2020 which is why the score does not appear in the most recent report narrative. HM explained that the need for an increase was linked to commentary from HMICFRS when they gave feedback at the end of 2019.

An update was given in relation to the risk on the Force Communication Centre – Fall-back site. On 31/05/16 a risk was raised on the Force Dynamic Risk register in relation to the lack of a fall-back site in the Force for the Force Communication Centre (FCC), which creates considerable risk to the Force in relation to maintaining business continuity in the event of the FCC being compromised. Tender processes commenced in 2016 to develop a fall-back facility in Ammanford Police Station, in August contact was made with CAPITA who indicate they will return to site at Ammanford in September. The reason for the recent delay was due to a significant issue found with one of their core services within the application and it had to be reengineered and once tested would be deployed to us.

CAPITA did not attend in September and have recently cancelled their new date of the 26th October. Reports have now been submitted to the ACC and the DoF proposing both long and short term plans in order to mitigate risks.

ME queried whether the Force have started the tender process/ expressions of interest for a new technology approach. DoF noted that there are already frameworks in place in which they could capitalize on, implantation will take some time, hence the need for both a short term and long term plan.

HM explained that in relation to Covid-19 the latest update is that their specific risk register is now dormant. If considered necessary, the register will be revisited in the future.

**A204 2020/2021: OPCC significant Corporate Risks**

CoS noted that the majority of risks identified are in relation to Covid-19, which have now been put forward for discharge on the basis that they are now business as usual. The majority of the risks were Estates related but have now been discharged by the OP Talla Structure. Members noted the report.

**A205 2020/2021: Corporate Governance Group meeting held 29th September 2020**

Members noted that they had received a copy of the actions for their information.

**A206 2020/2021: Audit Governance Group meeting held on the 21st September 2020**

CoS noted that this item had been covered by IW within his update on internal audit progress. CoS reiterated that they had re-focused the group to look at internal audit activity, predominately looking at the historic actions and recommendations that are outstanding from audits to make sure that relevant progress is made. Each meeting is dedicated to focus on a particular business area which is identified through reviewing the register and picking an area which has a large number of recommendations pending.

JM commented that this approach seems to be working well with valuable conversations taking place in terms of being able to begin to close off those recommendations which are outstanding.

**A207 2020/2021: Fraud activity update**

SG gave an update in relation to the Anti-Fraud and Corruption Policy. SG noted that herself and Cheryl Gayther from the OPCC have been working on developing a joint Policy in order to look at matters of Anti-Fraud and Corruption internally that affect Police Officers, and Staff of both organisations. The main focus of the Policy initially was to confirm and make sure that there was an established reporting process in place with regards to identification of suspected fraud and to give individuals the confidence to know when and how to report matters.

The initial draft was prepared months ago, however, it was explained that version 1 of the Policy contained a lot of detail and following guidance the draft has been re-visited leaving only the necessary information that is needed which outlines the reasons for the Policy, the legislation and scope of the Policy and what they hope to achieve together with requisite equality Impact Assessments.

Version 2 has gone back to the Force Policy Team who are happy with the latest version.

The content removed from version 1 will now be written into a separate guidance document which will sit behind this Policy and will be published publically.

SG noted that the next consultative formal meeting will be held on the 3rd of November, therefore, subject to JAC’s agreement this version will be circulated for consultation with key individuals such as Unison and Police Federation etc. prior to going to JNCC for approval.

AM noted that it would be useful to see a copy of the guidance document which will go alongside the Policy as is the responsibility of the Committee to review the effectiveness of the implementation of Policies and procedures in place in terms of fraud.

SG noted this and stated that the guidance document will contain all the necessary detail in order to reassure the Committee in terms of their responsibilities in this area. SG will share this document with the Committee once it has been finalised.

CoS queried what the timescales are looking at and when they are hoping to have the Anti-Fraud and Corruption guidance document in place. SG noted that the content for the guidance document is ready and should be completed prior to the meeting on the 3rd of November.

CoS suggested that both the Anti-Fraud and Corruption Policy and the guidance document be brought to the next JAC meeting on the 9th of December.

**Action 207: For the Committee to receive a copy of the Anti-Fraud and Corruption Policy and the guidance document for consideration at the next JAC meeting on the 9th of December.**

**A208 2020/2021: JAC membership Update**

Advertisements went out in September looking for two new JAC members. Interviews are scheduled this afternoon with three individuals being interviewed.

**A209 2020/2021: Any other business**

Members had no other business to raise.

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| DECISIONS ARISING FROM MEETING 22nd October 2020 |
| Decision No. | Decision Summary | Progress |
|  **D191** | **Pending amendments as outlined the minutes of the meeting held on 29th of July 2020 were accepted as a true record.** | **Complete** |

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| Documents circulated to Members since 22nd of October 2020 |
| **Name of document** | **Date shared** |
| **JAC terms of reference for reviewing prior to the next meeting.** | **27/10/2020** |

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|  | ACTION SUMMARY FROM MEETING ON (22nd October 2020) |
| **Action No** | **Action Summary** | **To be progressed by** |  **Progress** |
| **Action 191**  | **Action A191: CB to amend the wording for decision A181 to “The draft Statement of Accounts of both the Chief Constable and Group accounts were recommended for signature by the appropriate signatories subject to any matters arising from the call of audit.”** | **CB** | **Complete** |
| **Action 194**  | **An update on the implementation of the IR35 to be given at the next meeting** | **ICT/ DoF** | **In progress** |
| **Action 195**  | **Thought to be given on a formal process for identifying Internal Audit areas needing action, in order for matters to be addressed and progressed accordingly.**  | **IW** | **In progress** |
| **Action 199**  | **Members to email CB with their comments and suggested amendments needed within the draft JAC ToR.** | **CB/ Members** | **Complete** |
| **Action 200**  | **For a copy of the Assurance Review of HR Management – Workforce Planning to be sent to Insp Janas.**  | **CB** | **Complete** |
| **Action 207** | **For the Committee to receive a copy of the Anti-Fraud and Corruption Policy and the guidance document for consideration at the next JAC meeting on the 9th of December.** | **SG** | **Complete** |

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| ONGOING ACTIONS SUMMARY FROM PREVIOUS MEETINGS |
| **Action No** | **Action Summary** | **To be progressed by** |
| **A97 2017/18** | **CoS to consider where the trust legally sits in terms of its link with the OPCC.** | **OPCC**  |
| **Action A171** | **JM will look into the cases categorised as “other” and report back to the Committee.** | **JM** |
| **Action A171** | **For the Committee to receive an update at a future meeting on the decision made on the two possible preventative options that are highlighted in the ICT Review of Data Assurance – Management of Police Information(MOPI) and Primary Nominal Index (PNI) report.** | **ICT** |