

**Meeting: Joint Audit Committee**

**Venue: Skype**

**Date: 25th March 2021**

**Due to the current Coronavirus pandemic the meeting held on the 25th of March 2021 was conducted via Skype for Business.**

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| **Members:** | Mr Malcolm MacDonald (MM)Mr Martin Evans (ME)Ms Lynne Hamilton (LH)Ms Kate Curran (KC) |
| **JAC Attendees** | Mr Dafydd Llywelyn, Police and Crime Commissioner (PCC)Mr David Guiney, Temporary Assistant Chief Constable (T/ACC)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 Jason Blewitt, Audit Wales (JB)Mr Jonathan Maddock (TIAA), (JM)Ms Lucy Evans, Audit Wales (LE)Ms Sarah Cooper, HMIC (HC)Mr Huw Morgans, Risk & Business Continuity Management Advisor (HM)Chief Inspector Elaine BendleMrs Kerrie Phillips, Governance Demand & Performance Manager (KP)Mr Steve Bergiers, Senior Manager Health Safety & Sustainability (SB)Ms Debby Jones, Information Manager, Governance and Change (DJ)Miss Caryl Bond, Assurance Support Officer (CB) |
| **Apologies** | Ms Claire Parmenter, Temporary Chief Constable (T/CC)Mr Andre Morgan, Joint Audit Committee Member (AM) |
| **Declarations of Interest:** | None. |

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|  | ACTION SUMMARY FROM MEETING ON (9th December 2020) |
| **Action No** | **Action Summary** | **To be progressed by** |  **Progress** |
| **Action 210** | **CB to amend the date noted on the action summary table to 22nd of October 2020.** | **CB** | **Complete** |
| **Action 216** | **EA to contact the Data Analytics Team and invite them to attend and provide and input at the next Welsh Police Forces Finance and Resources Group.** | **Audit Wales** | **Complete** |
| **Action 220** | **For the risk owner for the Capital Projects risk within the OPCC risk register to be changed to the CoS.**  | **OPCC** | **Complete** |
|  **Action 227** |  **For the DCC or the ACC to attend on behalf of the CC should he be unable to attend a particular JAC meeting in the future.**  | **OPCC/CC** | **Complete** |

MM gave thanks to Mr Mark Collins for his contributions to the Committee and the Force during his time as Chief Constable. The Committee wished him the very best in his retirement.

MM welcome Lynne Hamilton to the meeting as a new JAC member. A welcome was also given to Lucy Evans from Audit Wales who will be taking over from Jason Blewitt. The Committee expressed its thanks to Jason for his work over the last few years.

**A228 2020/21:** **Minutes of the meeting held on 9th December 2020 and Matters Arising**

It was noted that the Committee had received a written update from DoF in relation to A194 on the implementation of the IR35.

MM noted that in relation to A216 - EA to contact the Data Analytics Team and invite them to attend and provide and input at the next Welsh Police Forces Finance and Resources Group. This has been completed and will not impact on the audit work 2021. The aim is that the Committee will receive an input from Audit Wales on this at the June Statement of Accounts Seminar.

**Decision D228: The minutes of the meeting held on 9th December 2020 were accepted as a true record by the Committee.**

**A229 2020/2021: Audit Wales draft Audit Plan for 2021/22**

JB gave his thanks to the Committee for all the fair and constructive challenge over the years in his role as Audit Manager.

JB introduced LE and explained that she will be taking over his role as Audit Manager for Dyfed-Powys and will therefore be attending JAC meetings going forward.

JB explained that this document sets out the work planned to be undertaken during 2021 and that it is a combined plan for the audit work of both the Police and Crime Commissioner and the Chief Constable. JB explained that as members will be aware, the two main areas are the auditing of the PCC and CC’s accounts and to confirm that there are sufficient arrangements in place for the proper use of resources. JB explained that the key risks for the year are set out on pages 6-8. Key risks include the impact of Covid-19 and updates in relation to the McCloud issues. It was noted that the fee is set out on page 10 and remains unchanged from previous years.

It was noted that they are currently working to the deadline of signing off the audit accounts by July. Due to Covid-19 the call of audit was delayed last year, but they are hoping that there will be no delays for 2021. CFO stated that they have been engaging with Audit Wales specifically to discuss issues and the deadline for July. They currently do not foresee any issues and are aiming for sign off at the end of July.

MM noted that the Committee will be receiving a paper on the evaluation of the pension’s process and that Audit Wales are in support of the movement from a 3-year process to a 4-year process. LE confirmed that this is correct.

DoF passed on his thanks to JB for all his help over the years and in particular for his help over last year in working towards early closure through Covid-19 restrictions. The Panel also passed on their thanks to JB and wished him the best in his new role.

**A230 2020/2021:Reports of the internal auditors**

1. **Assurance Review of Creditors**

Outcome: Substantial Assurance with no recommendations. This review is very positive. It shows that Creditor arrangements for Dyfed-Powys Police are robust with appropriate segregation of duties and it was found that all previous recommendations raised have been implemented.

1. **Assurance Review of Estate Management – Governance Arrangements**

Outcome: Limited Assurance with eleven priority 2 recommendations and four priority 3 recommendations. The main recommendations found that the Estates Strategy needs to be finalised and approved, the Terms of Reference for the Strategic Capital Build Working Group, Strategic Estates Group and Operational Estates Group needs to be finalised and approved. It identified that the agendas, papers and minutes are not being sent out to members of the various Estates Groups in a timely manner and limited information has been provided to inform the development of the Estates Strategy 2020-2030.

It was noted that the new Governance structure and the Strategic Estates Group needs aligning to ensure that there is a clear reporting process. It was also noted that the Sustainability Working Group needs to be included within the Governance structure.

CFO stated that since the last meeting they have set up an Estates Gold Group to work through these issues. Meetings have been taking place over the last few months. This group look at issues in terms of governance, performance management, financial management and contracts management. CFO reassured the Committee that a number of the actions have now been completed. They have done a fundamental review of governance arrangements, reviewed the terms of reference for meetings and have made some changes to the Chairperson of the Estate Groups. It was noted that the groups are now being chaired by the T/ACC Steve Cockwell and the T/DCC Emma Ackland.

CFO also explained that they have now aligned the Capital Working Group, looking at some of the major build schemes with the Strategic Estates Group.

MM stated that it was previously mentioned that it may be beneficial for KC to represent the Committee on the Estates Gold Group. KC stated that she would be happy to attend the meetings. The PCC offered to brief KC on progress that has already been made from previous meetings.

**Action 230: For KC to receive a briefing on progress of the Estate Gold Group..**

CoS noted that the Environmental Strategy is now in draft, it will be focusing on the Welsh Government 2030 targets looking at energy reduction, waste recycling and reducing the overall carbon footprint of the organisations.

PCC wished to update the Committee that they had recently put in a bid with Salix for decarbonisation. They have been successful in getting a grant of £880.000 to help with environmental improvements and strategies.

MM also noted that the Estate issues are also documented on the risk register which adds another level of assurance that things are being monitored.

1. **Assurance Review of Health and Safety**

MM welcomed Steve Bergiers, Health and Safety Manager to the meeting.

Outcome: Limited Assurance with two priority 1 recommendations, six priority 2 recommendations and six priority 3 recommendations. The main recommendations found that there is a lack of evidence of the monthly emergency lighting tests being undertaken and chairs were found to be blocking the emergency exit in one of the main buildings.

JM explained that it was found that the Environmental Policy and Guidance on Investigating Workplace Accidents, incident near misses and dangerous occurrences needs to be reviewed and updated. Other recommendations were that outstanding training on all areas of Health and Safety including refresher training are to be provided to curtail the chances of any mishaps and reduce potential workplace incidents and accidents. Departmental Leads who have not undertaken a Health and Safety Inspection since prior to January 2018, are to be required to complete an Inspection as soon as practically possible.

JM acknowledged that there has been an extra demand on the department over the last year with PPE provisions and Covid-19 matters taking priority.

KC queried whether the emergency lighting tests were undertaken but not logged or whether there were gaps in this activity being carried out identified. SB confirmed that the tests were believed to have been carried out, but the log books were not kept up to date. SB confirmed that a piece of work has been undertaken by Estates to ensure paperwork in relation to this area was in order.

KC also queried recommendation 12 and the guidance that Management should be checking with their staff that checks have been undertaken. SB confirmed that it is the responsibility of each Manager to log any Health and Safety concerns and risks on their log and with the Health and Safety department. SB explained that homeworking has caused some delays with this being undertaken due to many individuals being away from the work environment and Covid-19 priorities. Progress has been made in this area since the audit and hopefully significant improvements will be seen.

CoS explained that all recommendations that are connected with the Estates function have now been included as part of the planned preventative processes for Maintenance Technicians and as part of their monthly checks. In addition to this, to ensure that activities are undertaken and logged appropriately, quarterly validation checks will be undertaken by a Senior Manager in estates to ensure compliance with this activity.

LH asked if there is a single accountable person who is in charge of the function.

SB explained that the areas are split between the Health and Safety Department and Estates, however, there is a governance structure which defines responsibilities.

SB gave an update on some of the recommendations. It was noted that all policies mentioned are in the process of being reviewed and revised. The Guidance on Investigating Workplace Accidents has now been completed and is available for all staff on the Force Intranet.

SB explained that due to Covid-19 demands and no classroom based training they have found arranging the 3 day IOSH course challenging. They have secured some funding through the Welsh Government and Pembrokeshire College to deliver IOSH courses online.

Reminder emails have been sent out to all 35 owners of the risk assessments, which are in need of updating, to date, approx. 30 have now been completed, positive progress being made.

They are currently recruiting a Health and Safety Assistant for a 12-month period, this will provide the department with additional support.

DoF noted that there is a Health and Safety Group that is chaired by the DCC, this looks and monitors at all these issues. Each division also holds a quarterly Health and Safety meeting to discuss any health and safety concerns and issues relevant to their area.

MM thanked SB for his contribution to the meeting.

1. **Review of** **Collaborative Fleet Management – Fuel Usage**

JM explained that this was a collaborative review between the Welsh Forces.

Outcome: Reasonable Assurance with two priority 2 recommendations and three priority 3 recommendations.

The two main recommendations for Dyfed-Powys were that following a review of the Allstar invoices for August and September 2020 it revealed numerous instances of premium diesel and some instances of Super/Premium unleaded fuel being purchased. It is recommended that a communication be published to inform all relevant Police Officers and Police staff that the purchase of Premium Diesel, Premium Unleaded and Super Unleaded fuel be only purchased if it is necessary operationally. The second recommendation was that following an analytical review of vehicle data downloaded from the Tranman system of all fuel transactions between January and September, it was noted that there had been 107 transactions where fuel was obtained from Motorway Service Stations, 56 of which were at Pont Abraham Services which is notoriously one of the most expensive fuel stations in Wales. Staff and Officers to be reminded that refuelling at Motorways Services, is only acceptable during operational requirements and that this be kept to a minimum.

DoF noted that they fully accept the recommendations and that Force bulletins and reminders have been circulated to Officers and staff.

1. **Assurance Review of Debtors**

Outcome: Substantial Assurance with one priority 3 recommendation.

The review found that there are robust arrangements in place for the creation of debtor accounts, recovery of outstanding debt. The recommendation was for the Debtors Financial Control Procedure be updated to reflect current practices.

MM wished to pass on the Committee’s thanks to everyone involved.

KC queried how the debtors levels of Dyfed-Powys compare with other forces.

**Action 230: JM to find out how the debtor’s levels in Dyfed-Powys compare with the other Forces.**

IW also explained that the level of debt is reviewed on a monthly basis. Work has also been done on their commercial debts to try and help facilitate smoother transaction cycles.

1. **Appraisal Review of Records Management System (RMS) Project**

Outcome: Reasonable Assurance with one priority 2 recommendation and two priority 3 recommendations.

The review found that the Records Management System (RMS) Project has been procured following an open and transparent process but the implementation has been delayed due to the Covid-19 restrictions. The main recommendation was that the reporting requirements of the Records Management System (RMS) Board need to be set out in the Terms of Reference.

1. **Collaborative Compliance Review of Risk Management – Mitigating Controls**

JM explained that this is a collaborative review with the Welsh Forces.

Outcome: Substantial Assurance with no recommendations.

1. **Interim Follow Up Review**

JM explained that this follow up review shows the management action that has been taken in respect of the priority 1 and 2 recommendations arising from the internal audit reviews at Dyfed Powys Police. It was noted that out of the 62 recommendations 31 have been implemented, 13 are outstanding and 1 was considered and not implemented. Unfortunately, for the remaining 17 they are outstanding. It is noted that during the period in which fieldwork was being undertaken on the follow up, a number of key individuals around the Force were meeting to discuss contingency arrangements for the Covid-19 coronavirus outbreak. Many of these individuals were Responsible Officers for recommendations on this report and therefore were unable to provide a response as their attention was required elsewhere. These recommendations will be included within the next follow-up review.

ME asked if TIAA have an escalation process to follow should they continue to have no response. JM explained that they would usually send 2/3 reminders to the owners of any outstanding recommendations. DoF and MM also noted that recommendations are also monitored within the Audit Governance Group. It was noted that it would be useful for any particular area/ department that have many outstanding actions to be invited to the Audit Governance Group to discuss ways forward.

IW noted that it may be helpful to make a distinction between the recommendations that have been implemented and those that are long outstanding within the follow-up. To ensure that those who do have a future date set are completed, but also those which are outstanding with no target date set are differentiated.

DoF also noted positively that the Audit Governance group is making progress, as areas that previously had many outstanding recommendations are now not featuring on the list.

**A231 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 18th March 2021. The report summarises all audits undertaken over the period and summarises the priority one recommendations that are outstanding since the last report.

The period covered by this summary controls assurance report was significantly impacted by the COVID 19 pandemic.

JM explained that Appendix A notes the Governance, Risk and Internal Control considerations during a covid-19 lockdown phase.

JM explained that Appendix C shows the progress against the plan. JM explained that they are on track with only a few reports outstanding.

MM queried whether the Collaborative Project Review – Early Action Together (Adverse Childhood Experiences ACES Project) is still going ahead due to North Wales not taking part. JM confirmed that this review is still in progress with the other Forces and has not been impacted.

**A232 2020/21: Audit Wales draft Audit Plan for 2021/22**

JM explained that the first section of the plan sets out the key emerging themes. These include COVID-19: The impact of the pandemic will carry through into 2021/22, continuing the pressure on policing resources and the knock-on effect of carried-forward leave and sickness absences. Secondly the transition out of the EU: Whilst the UK and the EU have reached agreement on trade, there will be continued uncertainties around staffing. Thirdly, supply chains and Recruitment: The continued implementation of the Government’s three-year national campaign to recruit 20,000 police officers will require significant Human Resources, Training and Development and Workforce Planning input.

JM noted that appendix C sets out the proposed audit plans for the next three years and appendix D is the plan for 2021/22. JM stated that the collaboration reviews will be confirmed and added to the plan. IW stated that the discussions in relation to the all Wales collaborative audits are pointing towards finance audits, Treasury Management audit, the roll of the All Wales Pension Board and Pensions, the adoption of IPNR and the HR response to agile working.

ME reassured the Committee that some robust discussions have been undertaken in relation to appendix D within the Audit Governance Group meetings, it has been created from looking at past reviews and timescales.

IW reiterated that it is good to see that the plan reflects the discussions from the Audit Governance Group meetings.

JM explained that they are hoping to arrange virtual meetings with area leads for them to have an input into the scope of the audits being undertaken.

MM noted that the reporting of fraud to TIAA and JAC needs to be reviewed and this should be discussed in-line with the new Fraud Policy.

**A234 2020/2021: All Wales Collaboration Update Report 2020/21 for Joint Audit & Scrutiny**

MM noted that Members should have received a PowerPoint presentation to go alongside this agenda item. MM noted that as of January 2021 there is only one item outstanding.

**A235 2020/2021: HMICFRS Update**

MM welcomed ChInsp EB to the meeting.

ChInsp EB noted that Members should have received an update from Insp Richard Janas showing a breakdown of outstanding HMICFRS recommendations, AFI’s and causes for concern. It was explained that the Force is currently mid inspection and that the PEEL report should be published in August 2021.

It was explained that the Force Management Statement (FMS) was submitted to HMICFRS in October 2020 due to Covid-19. The Force felt that an autumn submission worked better for Dyfed-Powys and their financial planning. HMICFRS have now stated that Forces can submit their FMS at a time that suits within a twelve-month period. Dyfed-Powys will aim to submit their FMS again in autumn 2021. They are expecting new guidance to be issued from HMICFRS on the completion of the FMS. MM noted that the Committee had campaigned that May was not the appropriate time for the FMS to be submitted and that it is pleasing to hear that this change has been confirmed.

ChInsp Jolene Mann will be taking over ChInsp EB’s role. MM wished ChInsp EB the best with her new role.

SC stated that the FMS has been embedded well with the Force with department leads referencing the FMS in discussions. It was noted that identifying future demand and risks is key. SC also stated that the flexible deadline for submission of the FMS is a positive change as it ensures that the FMS is now working in-line with Force timelines and planning.

**A236 2020/2021: Joint Corporate Governance Framework 2021/22**

CoS gave thanks to Claire Bryant in the OPCC for reviewing and amending the Joint Corporate Governance Framework. It was noted that a light touch review had been undertaken due to the upcoming changes with the PCC election and appointment of a new Chief Constable. The document has been updated to reflect statutory changes and to ensure that it links with other key documentation.

MM noted that the Section on Collaboration needs to be strengthened in the future review.

KC commented that the document refers to the Fraud and Anti-Corruption Protocol stating that should there be any internal fraud or corruption identified, JAC will be told quarterly in their meetings. KC queried whether there should be a requirement to put something in about lines of reporting Fraud to JAC, especially if there are no meetings pending imminently, should the Chair of JAC be notified of any fraud activity in-between meetings if urgent.

CFO agreed with KC’s comment. The reporting of Fraud activity to both TIAA and JAC will be reviewed and needs to be strengthened.

**Action 236: For the line of reporting, any fraud and anti-corruption matters to JAC be reviewed and strengthened.**

**A237 2020/2021: Medium Term Financial Plan (MTFP) including the Capital and Reserves Strategy 2021/22 – 2025/26**

CFO presented the MTFP to the Committee, it was noted that the document has been built upon since the Finance seminar and was presented to the Police and Crime Panel in February for the panel to consider the PCC’s precept proposal. The documents sets out a wide range of financial issues and impacts. The document has been strengthened this year and has strong links with the FMS. CFO noted that Covid-19 has caused financial implications such as PPE sourcing, additional enforcements and income loss recovery. CFO wished to thank the Finance team, who have worked through a very challenging period. It was noted that Penally camp has also raised some financial challenges, a special grant funding application was submitted and although accepted there was a 1% threshold.

CFO explained that future uncertainties include the spending review and a 1-year settlement being given again, the threat of a funding formula review and Pension changes.

CFO noted that within the Reserves Strategy, an insurance reserve has been created to mitigate against increases in self-insured levels of exposure and an Operational reserve to mitigate peaks in critical and major incidents.

LH commented that this is an impressive and comprehensive plan. LH queried in relation to benefits and the force establishing a Business Benefits Realisations post to work with senior managers to ensure benefits are both realised and captured appropriately. LH noted that within the All Wales collaborative update there was also a discussion around benefits. LH queried what governance arrangements are in place in terms of benefits realisation and how benefits are recognised and incentivised.

DoF noted that a lot of work has been undertaken in relation to benefits over the years. It was also a HMICFRS recommendation that the Force look at their approach to benefits.

It was noted that they now look at benefits from an early stage of every project by using a project proposal form which captures benefits from inception through to completion. Benefits are also monitored at Change and Transformation Board meetings that are chaired by the DCC. The Force does also now have a Benefits Realisation Officer in place.

KC commented on page 45, which sets out all the savings the Force are hoping to achieve next year. It was acknowledged that finding savings over the last few years have been tough; KC queried what they are considering in doing in particular around the back office to make those savings without affecting the service provided.

DoF explained that they do split their savings planning. Firstly, those savings that are already firm, in place and delivered. These are monitored by their Finance Business Partners, these include posts that have already been changed, or savings been made from working differently. They also have a group of savings that have firm programmes in place, these include savings with the project management structures, IT projects such as Office 365 and record managements system etc. The third category is looking at emerging technologies, the circular economy, alternative fuels and automation. The Force are confident that they should be able to maintain savings as per the plan going forward.

PCC also reiterated that the Salix grant and work in relation to decarbonisation will have a positive impact on the electricity bill for the Force with savings of approx. £1 million a year.

**Decision 237: The Members recommend the approval of the Medium Term Financial Plan (MTFP) including the Capital and Reserves Strategy 2021/22 – 2025/26.**

**A238 2020/2021: Treasury Management Strategy (TMS)**

CFO presented the TMS to the Committee. The TMS sets out the Commissioner’s Treasury Management Strategy including Prudential Indicators, Financing Requirement and Minimum Revenue Provision policy for 2021/22. The TMS sets out the economic background, a forward look at interest rates, local issues and debts and investments. Performance data looked at in the Finance seminar showed that the Force compares well against some of the other organisations.

The strategy now includes new counterparty limits as recommended by Treasury Management Advisors. The CFO wished to highlight from the JAC training day that CIPFA are currently consulting on a proposed new TMS practice which links in to environmental social governance risk management. The Force will be linking in with their TMS advisors in relation to this area.

It was noted that the Force took advantage of a one-year extension with their current TMS advisors. They have now gone out to tender and the award notice will be given shortly. It is felt that a review of the TMS structure would be timely.

**Decision 238: The Members recommend the approval of the Treasury Management Strategy to the CC and PCC.**

**A239 2020/2021: Draft Accounting Policies for 2020/21 Statement of Accounts**

MM noted that there are a couple of incidents where there is inconsistency, some instances the document refers to the Local Government Scheme and other instances where it is noted as Pension scheme.

IW confirmed that the document is unchanged from last year.

MM noted the second document for Members to consider is the Pension Valuation and the intent to defer a full valuation until 2022 and undertake a roll forward approach for the 2020/21 Statements.

**Decision 239: For the Committee to recommend the intent to defer a full valuation until 2022 and undertake a roll forward approach for the** **2020/21** **Statements.**

**A240 2020/2021: Annual Accounts timetable**

DoF noted that the timetable is similar to last year, which worked well. However, they have factored in some additional time for quality assurance and accuracy checking. MM offered to be involved in the accuracy checking process. DoF thanked MM and stated that this would be much appreciated.

**A241 2020/2021: JAC Draft annual report 2020/21**

CoS gave thanks to CB for preparing the draft report. CoS explained that they are looking for the Committees views on the priorities for 2021/22 and any learning that was taken from the All Wales session earlier this week.

**Action 241: For members to email CB with any feedback and views on the JAC priorities for 2021/22.**

CB will pull together a second draft following the Committees comments received via email and will re-circulate electronically prior to the next meeting.

**Action 241: For a copy of the draft Annual report be sent to former member Alasdair Kenwright for his feedback and views.**

**A242 2020/2021: Draft Commissioners and Chief Constable Annual Governance Statement (AGS) 2020/21**

KP highlighted how both the CC’s and PCC’s AGS have been merged into one document. It was explained that last year they refined the content of the documents in-line with advice from CIPFA around the seven principles of good governance. This is supported by a matrix of evidence that business leads review and discuss within the Corporate Governance Group meetings, discussions are undertaken around areas of risk and Corporate Governance priorities.

KP explained that they have recently received guidance from CIPFA in relation to how they compile their AGS. Earlier in the week at the CIPFA All Wales meeting a discussion took place on the guidance document and the content has been taken into consideration for this AGS. Two areas which were highlighted within the guidance were in relation to the Financial Management Code and the organisations’ response to the pandemic and consequent governance implications.

A proposal was made in the Corporate Governance Group to align the AGS to a Board Assurance Framework approach that will help us identify key areas of risk around governance fora and help articulate these risks within the AGS. The proposal was agreed and therefore KP will be working with relevant Force individuals and the OPCC over the next few months to develop this approach with the support of the Corporate Governance Group. KP will submit progress updates on this to JAC.

MM noted that there is no mention of the Investment of People Gold Award within the AGS. KP will incorporate this within the AGS.

MM also noted that there are some occasions where abbreviations are not fully explained and that there are some inconsistencies with HMIC and HMICFRS being used. It was also felt that the MTFP and how it links with the FMS and AGS could be explained further.

CFO noted that they will be strengthening the points in relation to the Financial Management CIPFA’s code before the final draft.

DoF stated that in terms of timescales, they are aiming for the AGS to be signed in May. If Members have any comments, these should be fed back to KP as soon as possible.

**Action 242: For Members to send any comments on the AGS back to KP as soon as possible for completion in May to be achieved.**

**A243 2020/2021: Force Corporate Risk register**

MM welcomed HM to the meeting.

HM explained that Members would have received the full Force Corporate Risk Register and a summary report.

HM updated the Committee on the most significant risk areas. HM noted that in relation to the Road Traffic toxicology issues there was a national update recently received. The backlog continues to increase, however, the resilience within the Forensic Scientific Service is able to absorb this increase at this time. The Force has the Scientific Support Unit and the Criminal Justice Department working together to ensure that evidence is sent through to the Criminal Justice process in time to make sure that statutory time limits are complied with. Whilst it remains a high area of risk, it is being managed effectively at this time.

The second key area of risk is the CAPITA fall back site in Ammanford. HM explained that CAPITA contacted the Force recently and have given the date of the 20th of April to continue with the work.

HM noted that the third area of risk was in relation to Crime Recording and HMICFRS Cause for Concern. It was noted that they will now see significant progress being made against this risk with the implementation of the End 2 End project which is progressing well.

ME queried the risk score of 12 in relation to the risk that Dyfed-Powys Police ICT systems/network may be compromised from a Cyber-attack involving, but not limited to, malware on ICT systems, Ransomware, Hacking, Phishing, Distributed denial of service (DDoS) Attacks. ME noted that there is still a high number of individuals still clicking on the links within the test emails and asked if the score will increase due to previous methods of trying to get staff to understand the risks are still not fully working.

HM explained that there is still a lot of work ongoing in relation to this area to try and change the culture of the organisation. It was noted that the next phase of testing will commence after Easter and this will target individuals accessing the emails from their mobile devices. Learning is working but progress being seen is slow.

**A244 2020/2021: OPCC Corporate Risk register**

CoS explained that the Committee should have received two documents, one paper detailing the most recent work that has been undertaken on the OPCC risks and a copy of the full register. CoS wished to thank HM for all his support to the OPCC, it was noted that HM and Cheryl within the OPCC work closely together on the registers to ensure consistency of approach.

CoS explained that the paper reports a number of developments since the last meeting. CoS explained that whilst valid at the time there were many operational risks entered onto the current register, including several relating to COVID-19. It is now felt that the OPCC Risk Register needs to contain higher-level risks that demand a more detailed strategic oversight by both the Compliance & Performance Manager and the Executive Team.

CoS also noted that in relation to risk management sharing between the OPCC and Force, they have now put in place guidance in relation to this to ensure that there is a clear process and governance process when risks are shared.

CoS explained that they have discharged nine risks, six have been retained, one new risk in relation to Estates as previously discussed and two have been moved on to the dynamic risk register.

PCC passed on his thanks to HM for all his support in helping to develop the OPCC risk register.

**A245 2020/2021: Corporate Governance Group meeting held 23rd February 2021**

MM noted that the Committee have received the actions from the last Corporate Governance meeting.

 **A246 2020/2021: Audit Governance Group meeting held on the 28th January 2021**

IW noted that he will circulate a presentation to members which will include an update on Audit Performance.

**Action 246: IW to circulate his presentation on Audit Performance with the Committee Members.**

**A247 2020/2021: Fraud activity update**

MM noted that on page 3 of the Fraud and anti-corruption Protocol it states, “All line managers should ensure that they are sighted on the Anti-Fraud and Corruption Policy and with this protocol.” MM felt that this should be changes to “must ensure”.

MM also noted that within the Policy under 2.6 it states, “This policy should be read in conjunction with the Corporate Governance Framework 2021/22.” MM noted that the date should be removed to avoid having to update the date each year.

CoS agreed with all MMs comments. CoS thanked the CFO for all her work and support on these documents. CoS asked members if they agreed to approve the Policy pending on MMs points being amended and KC’s comment on the need to strengthen the line of reporting of Fraud activity to both TIAA and JAC.

CFO also reassured the Members that they will look at ways of strengthening the reporting of Fraud activity to the JAC Chair and also look at the line of reporting to TIAA following this meeting.

**Decision 247: The Members to approve the Fraud and anti-corruption Policy and Protocol once the amendments have been made as discussed within the meeting.**

**A248 2020/2021: Update on data breaches**

MM welcomed DJ to the meeting.

DJ highlighted that the Disclosure Unit experienced a backlog of work during 2020 and an action plan was set in place with the aim of addressing the situation. DJ reassured the Committee that as they will see from the paper provided there has been a significant improvement. The backlog has been in the main resolved and compliance rates for Subject Access Requests and Freedom of Information requests has improved.

The action plan included reviewing processes, establishing whether it would be more appropriate for some requests to be dealt with elsewhere etc. Regular updates in respect of this plan have been be made to the Policing Board and the Information Manager/Data Protection Officer has reported fortnightly to the DCC/Senior Information Risk Owner (SIRO).

DJ noted that there have been fifty potential Data Protection breaches recorded since the previous report. DJ noted that although this number is high the type of breaches reported in the main are low risk. Only two have needed to be referred to the Information Commissioner’s Office (ICO) and the ICO advised no further action in respect to both matters.

A discussion took place on how data breaches are dealt with. DJ reassured the Committee that individuals are given advice and that there are specific NCALT training packages available that they expect all staff to complete. All data breaches are also discussed at the Information Assurance Board.

DJ explained that the Scanning Project (anticipated completion was November 2020) has been particularly delayed as a result of the series of Covid-19 lockdowns. There is now only one staff member engaged in reviewing paper records and conducting the requisite scanning. As things stand currently it is hoped that the scanning work can be completed by Easter. It was also noted that work on the PNI duplicate matching has progressed at pace, particularly as staff have been redeployed from the scanning project to this work stream while they are working from home. Additionally staff from other departments have been assisting the Records Management team as a result of COVID restrictions.

**A249 2020/2021: JAC members Update**

MM expressed that he found the Annual St David’s Day conference very informative. It was noted that should any Members wish to listen to the conference, all clips are available on the PCC’s Facebook page.

**A250 2020/2021: All Wales JAC Training Day update**

It was noted that the training day highlighted many areas that would be coming to JAC meetings in the future. ME noted that new areas identified will need to be considered for the JAC Annual Report priorities for the coming year.

**A251 2020/2021: JAC Succession Planning arrangements**

CoS explained that there will be a need to recruit Committee members due to terms of Office coming to an end at the end of this year. Adverts will go out early summer. CoS also noted that unfortunately MMs term of Office on the Committee will be ending in October meaning that a new JAC Chair will also need to be appointed.

It was also mentioned that South Wales have recently gone out to specifically advertise the role of JAC Chair as an alternative to appointing a Chair from within the group. CoS noted that all these options can be considered over the next few months. CoS asked Members to get in contact with her if they would like to discuss this or have any views that they would like to share.

**Action 251: CoS will email all Members asking for their views on the appointment of a new JAC Chair and recruitment to the Committee.**

**A252 2020/2021: Any other business**

MM stated that he has been in discussion with the CFO and CoS regarding the workload of the Committee. It is felt that a separate meeting to discuss this would be beneficial.

**Action 252: For a JAC future planning meeting to discuss JAC workload and agenda length to be set up.**

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| Documents circulated to Members since 25th March 2021 |
| **Name of document** | **Date shared** |
| **Final draft of JAC Annual report for Members consideration.** | **07/06/2021** |

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| DECISIONS ARISING FROM MEETING 25th March 2021 |
| Decision No. | Decision Summary | Progress |
| **D228**  | **The minutes of the meeting held on 9th December 2020 were accepted as a true record by the Committee.** | **Complete** |
| **D237**  |  **The Members recommend the approval of the Medium Term Financial Plan (MTFP) including the Capital and Reserves Strategy 2021/22 – 2025/26.** | **Complete** |
| **D238**  | **The Members recommend the approval of the Treasury Management Strategy to the CC and PCC.** | **Complete** |
| **D239**  | **For the Committee to recommend the intent to defer a full valuation until 2022 and undertake a roll forward approach for the 2020/21 Statements.** | **Complete** |
| **D247** | **The Members to approve the Fraud and anti-corruption Policy and Protocol once the amendments have been made as discussed within the meeting.** | **Complete** |

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|  | ACTION SUMMARY FROM MEETING ON (25th March 2021) |
| **Action No** | **Action Summary** | **To be progressed by** |  **Progress** |
| **A230**  | **For KC to receive a briefing on progress of the Estate Gold Group.** | **OPCC** | **In progress** |
| **A230**  | **JM to find out how the debtor’s levels in Dyfed-Powys compare with the other Forces.** | **TIAA** |  |
| **A236**  | **For the line of reporting, any fraud and anti-corruption matters to JAC be reviewed and strengthened.** | **OPCC** |  |
| **A241**  | **For members to email CB with any feedback and views on the JAC priorities for 2021/22.**  | **Members** | **Complete** |
| **A241**  | **For a copy of the draft Annual report be sent to former member Alasdair Kenwright for his feedback and views.** | **CB** | **Complete** |
| **A242**  | **For Members to send any comments on the AGS back to KP as soon as possible for completion in May to be achieved.**  | **Members** | **Complete** |
| **A246**  | **IW to circulate his presentation on Audit Performance with the Committee Members.** | **IW** | **Complete** |
| **A251**  |  **CoS will email all Members asking for their views on the appointment of a new JAC Chair and recruitment to the Committee.** | **CoS** |  **Complete** |
| **A252**  | **For a JAC future planning meeting to discuss JAC workload and agenda length to be set up.** | **CB** | **Complete** |

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| **ONGOING ACTIONS SUMMARY FROM PREVIOUS MEETINGS** |
| **Action No** | **Action Summary** | **To be progressed by** |
| **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** |