

OFFICE OF THE POLICE AND CRIME COMMISSIONER
OFFICE OF THE CHIEF CONSTABLE

JOINT AUDIT COMMITTEE

14th September 2017

Present: Mr J Sheppard (Chair)
Ms D Turner, Mr A Blackmore and Mr R Leadbeter
Together with: Mr J Cuthbert – Police and Crime Commissioner (PCC)
Mrs S Curley – Chief of Staff (CoS)
Mrs J Regan – Information Officer (IO)
Mr N Stephens – Assistant Chief Officer, Resources (ACOR)
Mr J Herniman – Wales Audit Office (WAO)
Ms T Veale – Wales Audit Office
Ms C Fitzgerald – TIAA (IA)

The meeting commenced at 10:00am.

APOLOGIES

Action

1. Apologies for absence were received from Mr G Hughes, Mr J Williams – Chief Constable, Mr D Garwood-Pask – Chief Finance Officer (CFO), Mr M Warrender – Chief Superintendent, Head of Service Development (HoSD) and Ms V Davies – TIAA.

The Chair informed us that Mr G Hughes was missing his final meeting as a member of the JAC and wished him well for the future. We also asked that our best wishes were passed on to the CFO who was recuperating from an operation.

DECLARATIONS OF INTEREST

2. There were no advance declarations made in relation to the business to be transacted.

MINUTES

3. The Chair informed us that the first set of annual performance reviews had taken place recently. It was agreed at these reviews that a timed agenda would be trialled to assist in reducing the length of the meetings. We were informed that those presenting reports would make the assumption that all members had read the agenda papers prior to the meeting and would now only highlight key areas. We also agreed that verbal reports would be avoided in the future to assist in this matter.

The minutes of the meeting held on 29th June 2017 were received and confirmed. The following were highlighted:

Page 4, WAO Update Report

We queried if any challenges had been experienced since the implementation of the Fully Integrated Resource Management System (FIRMS). The ACOR informed us that there had been challenges with the new system; some had been resolved while others were still on-going. We were informed that there had been issues processing payroll but these had now been resolved and all staff had been paid correctly and on time at the end of August. We were advised that there were still issues on-going in relation to other areas such as the payment of invoices which were more difficult to resolve. The ACOR stated that all issues were reviewed on a weekly basis to ensure progress was being made. He advised us that considerable progress had been made over the previous weeks although there were still a small number of invoices outstanding. It was anticipated that all issues would be resolved within the next 2-4 weeks. We queried if the delay in the payment of invoices posed a reputational risk to the PCC and the Force. The ACOR informed us that when a supplier made contact in relation to a delayed payment they were given higher priority to ensure that there was no reputational damage as a result of the delay.

Page 11, Statement of Accounts

We queried if any consideration had been given to producing a joint PCC Group and Force document for the Statement of Accounts as was currently done by South Wales. The ACOR stated that this was a possibility and would be considered in the future.

ACTIONS

4. We received and noted the actions from the meeting held on the 29th June 2017. The following were highlighted:

Action 4, WAO Update Report

We noted that all members had returned their completed Related Party Transaction documents.

Action 9, JAC Draft Annual Report

We noted that the update in relation to the Board Assurance Framework had been marked as complete. We requested that the action was amended to on-going.

IO

CONSULTATION ON WALES AUDIT OFFICE FEES

5. We received WAO Consultation on Fees 2018/19 document and a draft letter in response to the consultation from the ACOR.

The ACOR highlighted that the consultation suggested that we would see a reduction in fees for 2018/19. The WAO informed us that we had already received the reduction as part of the review of the 2017/18 fees as it had been implemented for the police service prior to the consultation being released. The WAO advised us that they would try to ensure the fee for 2018/19 remained the same as the current fee paid by making efficiency savings. We did however note that the fee may

increase if the risk profile was deemed to have altered from its current position.

Action

We highlighted that the section of the report referring to Police and Crime Commissioners and Chief Constables (page 21) only showed the 'Total fee scale for 2017/18' and not for 2018/19. The WAO informed us that there had been an error and would ensure it was rectified.

WAO

We approved the response to the consultation process based on an amendment being made to the reduction in fees section.

WALES AUDIT OFFICE UPDATE REPORT

6. We received an update from the WAO.

We noted that the WAO planned to undertake an assessment of the arrangements for securing economy, efficiency and effectiveness during September. Findings from this work would be presented to the JAC within the Annual Audit Letter at the December meeting.

We were reminded that a report had been presented to the JAC meeting in June setting out the case for changes to be made in order to simplify the fee regime. We were informed that responses to the paper had been received; an update on the outcome would be provided in the near future.

WAO

We were informed that the WAO were running a seminar on the Early Closure of Local Government Accounts' during October and confirmed that representatives from the finance team in force would be attending.

WALES AUDIT OFFICE ANNUAL AUDIT OF FINANCIAL STATEMENTS-ISA260

7. We received the Annual Audit of Financial Statements ISA260 from the WAO.

The ACOR informed us that the draft accounts were completed on time despite the challenges faced within the finance department. We noted that there were a number of corrections that the Office of the Police and Crime Commissioner (OPCC) and the force had chosen not to make; both organisations and the WAO were satisfied with this approach.

The WAO drew our attention to the adjustments contained in appendix 4 and informed us that these had all now been completed. The WAO acknowledged the difficult year the finance team had experienced due to a number of changes and stated they did not expect there to be problems with the early closure of accounts in future as long as a stable finance team was in place. The ACOR informed us that the control placed around the financial requirements was better than it had been over the previous 12 months. There were 4 posts (1 qualified accountant and 3 assistant accountants) within the finance team that were not filled with permanent staff members; recruitment processes were taking place

in order to fill these roles. He confirmed that he did not need to raise any major concerns with the JAC as he had done this time last year. We queried if the package offered for the 4 vacant roles was competitive. The ACOR stated that the qualified accountants were now expected to be competent in both financial management and financial accounting whereas previously they had specialised in a certain area; this had seen a slight increase to their salary. The force had successfully appointed to 3 of the roles; a recruitment process was currently underway to appoint to the remaining qualified accountant post on a permanent basis.

Action

We requested that a further update in relation to the finance department was provided to the next meeting.

ACOR

We were informed that page 6 of the report stated there were 3 items that had not been adjusted but only 2 were listed; an updated ISA260 would be produced and circulated to the JAC. We were assured that the issues that had not been adjusted were not a cause for concern. We noted paragraph 17 referred to 23 payments totalling £50,000 had been made that had not been recorded in the cashbook whereas the letter of representation referred to 18 totalling £83,000. The WAO informed us that the correct figures were 23 payments totalling £50,000 and that this version of the letter of representation had not been updated; we were assured that this had now been rectified.

WAO

The WAO advised us that due to the early closure of accounts it was expected that future accounts would contain an increased number of estimates and that they would also expect to see uncorrected misstatements.

The WAO would be undertaking post project learning from the closure of accounts process undertaken this year.

STATEMENT OF ACCOUNTS

INCLUDING APPROVAL OF ANNUAL GOVERNANCE STATEMENTS

8. We received the Statement of Accounts for both the PCC Group and Chief Constable.

We discussed a query that had been raised outside of this meeting in relation to the ISO 27001:2013 detailed audit report undertaken by Torfaen County Borough Council (TCBC). We had only recently received the detailed audit report due to an administrative error and noted that there was no assurance rating included. We identified that the audit was referred to in the Annual Report and the Statement of Accounts as having achieved 'substantial assurance' and queried the anomaly. The ACOR had looked into the query and had informed us that the audit was part of the 2016/17 audit plan but was programmed to take place at the end of the year to follow the ISO Accreditation process. The accreditation was achieved and the audit scope was finalised on 13th March 2017.

The audit was completed on 15th March 2017 and was the final report of the 2016/17 programme. This annual audit report was then issued on 24th March 2017 and stated that the audit had received a 'substantial assurance' rating.

Action

TCBC were informed that the detailed audit report had not included the audit findings. This was resolved and an amended detailed audit report issued and circulated to the JAC. TCBC confirmed that the 'substantial assurance' rating referred to in the Annual Audit Report was correct.

Police and Crime Commissioner Annual Governance Statement

Page 25 - We queried if there should be information included in the 'Plan for 2017/18' within the Nolan Principles part 3 'Objectivity' section. The ACOR informed us there should be and agreed to rectify prior to the signing of the documents.

ACOR

Chief Constable Annual Governance Statement

Page 22 – we queried if the reference to the Internal Audit Plan for 2016/17 should read 2017/18. The ACOR informed us it should and would amend the document.

ACOR

We agreed to recommend approval of the Annual Governance Statements for inclusion in the Statement of Accounts to the PCC and the Chief Constable, based on the discussed amendments being made.

YEAR END FINANCE REPORT

9. We received the Finance Report for the Year Ending 31st March 2017 from the ACOR.

The ACOR highlighted the Revenue Account identified savings of £2,548,000 against budget at the year-end. As part of the on-going Staying Ahead Programme, the 2016/17 budget proposal included £4,350,000 (recurring) of planned in-year efficiency schemes against the Comprehensive Spending Review (CSR) target. The additional savings made had allowed the PCC to consider investment in the force.

We noted that the majority of the savings achieved related to officer salaries. Recruitment plans been put in place to increase the number of police officers during 2017/18. There was an overspend on police staff salaries and allowances due to payments associated with redundancies.

The ACOR informed us that £2million of the savings achieved had been paid into the Local Government Pension Scheme (LGPS). This increased the police staff section of the LGPS from 76% funded to 78% funded. The PCC would be considering whether additional payments into the scheme would be made in future years.

The ACOR advised us that there had been £1.8 million movement in forecasting in February 2017 due to new members of staff within the finance department not understanding when the various invoices were received during the financial year, resulting in the forecasting error. The

ACOR informed us that work would be undertaken with the finance team during September on forecasting for the Medium Term Financial Projections (MTFP).

We queried if this report was reconcilable to the Statement of Accounts. The ACOR stated that the report had been finalised prior to the Accounts and that there would be a slight variation between the documents.

We noted that police officer numbers were currently under establishment and queried if this would be a concern to the public. The ACOR informed us that police officer establishment had been budgeted at 1,194 whole time equivalent (wte) posts at year-end in March 2017; at this time actual establishment stood at 1,177 wte posts. During 2017/18 the PCC had provided funding via the investment strategy for 40 additional officers. The force was currently reviewing the roles of 52 police officers undertaking project work to determine if these posts could be returned to the establishment figure. We were also informed that the Staying Ahead 8 process had recently approved funding for a further 18 police officer roles.

The PCC commented that he would like to see as many police officers and police community support officers (PCSOs) as possible on the frontline. This had been identified as a key theme from consultation with the public and was reflected within the Police and Crime Plan. The PCC stated he would discuss recruitment plans with the CC as part of the budget setting process. He also advised us that the transferee process for police officers was currently on-going which would also increase the numbers of officers available.

The PCC advised us that the precept consultation would commence in the near future. There was uncertainty relating to various areas that may affect the funding Gwent receives such as the on-going review of the funding formula and potential issues with the removal of the 1% pay cap and the 1% bonus for police officers. The 1% pay increase had already been accounted for during the 2017/18 financial year; the bonus payment was additional but could be met although the pay increase incorporated into the MTFP for future years would need to be reviewed. We noted that a Minister had suggested that forces would be able to use their reserves to meet the pay increase; we agreed this showed they were not aware of the reasons that forces held reserves. The PCC informed us that representations were being made in relation to the approach undertaken by the Home Office with regard to police officer pay increases by both PCCs and CCs. He reminded us that the total reserves figure for Gwent also included committed reserves for projects such as the building of a new headquarters.

INTERNAL AUDIT – TIAA

10. We received the following reports from internal audit:

a) Update Report

Action

The following audits had been finalised since the last meeting:

- Fleet Management - Delivery; and
- Risk Management – Mitigating Controls.

We noted that a discussion had taken place prior to this meeting in relation to the force rejecting the recommendation to ensure an accredited deputy crime registrar was in place. IA informed us that it was best practice to appoint an accredited deputy crime registrar but was not a legal requirement. Any person appointed to the role of crime registrar was expected to obtain accreditation within 12 months. If the force was comfortable they could appoint to the role quickly IA would accept the rejection of the recommendation. The ACOR advised us that the force was revisiting this recommendation as a result of the query raised by the JAC. He agreed that the force needed to understand who would fill the role if there was an issue. He stated a review of the area was currently taking place; the recommendation would be revisited once this had been completed.

ACOR

We discussed the briefing documents that had been circulated to us in relation to cyber security and cyber crime and noted they would be discussed during the deep dive after the meeting. We also noted that a briefing on the General Data Protection Regulation (GDPR) had been circulated and queried when the next data protection audit was due to take place. The ACOR advised us that a GDPR project team was in place and had an action plan they were working through; the ACOR had oversight of this as the force's Senior Information Risk Owner (SIRO). He stated that the Audit Plan for 2018/19 would include a review on this area. IA informed us that they were undertaking planning work with other sectors in this areas and a key finding was that organisations were not aware where personal data was being held that had been extracted from systems. We queried if there was an opportunity for IA to review the force project plan to reassure us that implementation was on target for May 2018. It would then be useful for a review of the implementation process to be undertaken post May 2018. The ACOR informed us that the GDPR had been included on the risk register but was not deemed to be a critical risk.

ACOR

b) Comparison Report on Audit Plans

We considered the comparison report on internal audit plans that covered the 4 Welsh force areas. IA informed us that there was scope for comparative reporting to be undertaken in the future if it was deemed to be beneficial. The ACOR informed us that the risk profile for each organisation would differ therefore impacting on the areas being audited and also the number of audit days required although he agreed that opportunities needed to be explored, especially as all 4 forces now used the same internal audit provider.

ACOR

IA informed us that it had proved difficult to undertake reviews at the same time across a number of force areas when this had been tried previously. We suggested that if risks were identified when undertaking an audit that this could then be shared across Wales.

Action

IA

We also stated that South Wales may wish to include a caveat in the report as to why the number of days they required was higher than the other forces in Wales. The ACOR stated that South Wales hosted a number of the collaboration activities and are also a bigger force; all of which would impact upon the number of audit days they required.

We noted that audit days for IT were not shown in this report for Gwent as IT audit was undertaken by Torfaen County Borough Council. We requested if the number of audit days could be included so we could compare more accurately. The ACOR stated that the number of extra days for IT amounted to around 10 when undertaken by IA. Now TCBC undertaken IT audit we actually receive a greater number of days as certain areas within the Shared Resource Service were audited jointly with other organisations.

We acknowledged that the internal audit plan should be based on the risk profile of an organisation and noted that this could not be compared in a public forum as the risk registers were restricted items.

The ACOR informed us that IA would raise concern if they believed the organisation did not allocate enough audit days in the annual plan.

INTERNAL AUDIT (TORFAEN COUNTY BOROUGH COUNCIL)

11. We noted the circulated detailed audit reports provided by TCBC in relation to the Shared Resource Service (SRS) and the assurance ratings they had received:

- ISO 27001:2013

We agreed that the query raised in relation to the assurance rating of the report had been resolved and discussed within item 8 of the minutes.

OUTSTANDING AUDIT INSPECTION RECOMMENDATIONS

12.

a) Outstanding Audit Inspection Recommendations Report

We received a report that highlighted outstanding recommendations from previous audit reports and the current status of the work necessary to implement the required actions.

The ACOR informed us that the external audit recommendations table would now be populated with recommendations from the WAO as a result of the completion of the annual accounts audit. We noted that there were 52 internal audit recommendations currently on-going with a further 9 to add as a result of recently finalised audit reports.

Page 1, R03 IT Disaster Recovery

We agreed to discuss disaster recovery in greater detail under the progress report provided at item 20 of the agenda. The ACOR stated that a further update would be provided to the JAC in December. We noted that the revised completion date provided for the disaster recovery recommendations of 21st January 2018 was a Sunday. The ACOR agreed to revise the date provided.

Action

ACOR

ACOR

We agreed to endorse the revised completion dates as requested in the report.

Page 18, Review of Risk Management-Mitigating Controls 2017/18

We noted that a discussion in relation to the rejected recommendation had taken place under section 10(a) of the minutes.

b) Proposed Future Outstanding Audit Inspection Report

We received a report on the proposals for the future monitoring of progress with the completion of audit recommendations.

The ACOR informed us that the current format of the outstanding audit recommendations report worked well and acknowledged the request previously made by the JAC to retain it. IA had developed a portal into which all recommendations were added – the force was also able to add management comments directly into the portal. This recent development would now allow the force to utilise it in order to present a report similar to the current format. The ACOR assured us that with the imminent retirement of the current report writer, he would ensure there was sufficient resource made available to undertake the work required to keep the recommendations updated.

ANNUAL REPORT OF THE JOINT AUDIT COMMITTEE - FINAL

13. We received the final version of the JAC Annual Report for 2016/17.

The Chair informed us that the Annual Report had been updated by the IO following discussion at the June meeting and that the final report was provided for agreement by Members.

We approved the report and recommended that it was provided to the PCC and CC as evidence of the work undertaken by the JAC during 2016/17.

JAC DEVELOPMENT DAY ACTION PLAN

• INCLUDING DISCUSSION ON LEAD MEMBER APPOINTMENTS

14. We received the development day action plan along with a document containing the key areas covered by the JAC over the course of the previous 12 months.

The following was discussed:

No.1. Circulate Terms of Reference

We requested that the Dyfed Powys website was checked for a copy of the JAC terms of reference and that a comparison was undertaken across all 4 to ensure there were no areas missing from Gwent's.

Action

IO

No.2. Circulate Self-Assessment Forms

We queried if there was any significant difference in the self-assessment forms that had been circulated. The IO would review and feedback to members.

IO

No.6. Consideration to be given to the role of the JAC Chair in strategic briefings

The ACOR advised us that now the new CC was in post he would raise the possibility of discussing the role of the JAC at a future Team Gwent meeting.

ACOR

We agreed it was difficult for the JAC to keep up-to-date with strategic issues as meetings only took place 4 times per year. This was mitigated to a certain extent with the deep dive sessions and the attendance of the PCC and CC at meetings as this enabled them to raise strategic issues as necessary and also listen to any feedback provided by the JAC. We stated we also received the agendas of the PCC's Strategy and Performance Board (SPB) via the monthly decision log link that was circulated by the IO. We also noted that the SPB meetings were open to public attendance and that JAC members could attend if they so wished.

No.7. Collaboration

We were informed by IA that all 4 forces areas in Wales now used the same provider for their internal audit function. The ACOR agreed it may be beneficial to consider consolidating the contract across Wales if possible. The CoS informed us that a new all-Wales DCC had recently been appointed in order to progress the collaboration agenda. There was an all Wales meeting during November where collaboration was to be discussed; she stated that this may assist in streamlining some of the internal audit processes discussed.

ACOR

We requested that the ACOR raised the completion of the document at the next All Wales Police Resource and Finance Group and also follow up on the arrangements of the next All Wales JAC Development Day in order for a date to be agreed. We suggested it would then be appropriate for this action plan to be discussed and completed at the development day. We agreed that the action plan no longer needed to be presented to this meeting.

ACOR

No. 10. Lead Member Appointments

The Chair informed us that the document detailing the key areas covered by the JAC over the previous 12 months had been discussed by all members prior to the start of the meeting. It had been agreed that each member would consider the areas on the list and provide suggestions to the Chair on those they felt they were able to lead on. This information would be collated by the Chair and fed back to officers.

ALL MEMBERS

CHAIR

JAC SELF-ASSESSMENT ACTION PLAN

Action

15. The Chair advised that an action plan had been prepared by the IO, based on the results and subsequent discussions of the Self-Assessment exercise at the June meeting.

We agreed the contents of the document and stated that the completed actions could be removed from the action plan.

IO

BUDGET SETTING TIMETABLE

16. We received and noted the Budget Setting Timetable for 2018/19.

The ACOR informed us that the CC would present his budget bid to the PCC at the SPB in November. He reiterated that there were a number of issues as previously discussed outside of their control that would need to be considered.

The ACOR also confirmed that the budget setting process was currently on track.

MEDIUM TERM FINANCIAL PROJECTIONS

17. We reviewed the MTFP from the ACOR.

The ACOR informed us that the grant funding we were due to receive from central government was still uncertain. Consideration needed to be given to the new emerging demands being placed on the service such as the terrorism threat. Positive messages had been received from government in relation to funding to support the threat from terrorism but this may be impacted by the removal in the cap on police officer pay awards. The ACOR also highlighted that discussions were still ongoing nationally in relation to police staff pay awards. These factors would need to feature in the budget discussions the PCC and CC were to have in relation to future resourcing.

The ACOR drew our attention to the investment made by the PCC as a result of accelerated efficiency savings achieved during 2016/17. The ACOR also highlighted the investment being made in the Fusion project which involved the replacement of all laptops over the coming 6-9 months and also the replacement of the airwaves handsets in the coming years; both which would realise business benefits. We were informed that wi-fi was being installed in all frontline police vehicles to assist with operational efficiencies.

The Estate Strategy had been developed over a 10 year period in order to ensure the PCC had an appropriate estate for the needs of the business going forward.

The PCC reiterated the uncertain financial landscape we were currently experiencing and stated we would need to continue to work in the ways reflected within the MTFP. He advised us that subject to consultation

there would likely be an increase in the precept level for 2018/19. The PCC informed us that the estate provision needed to be well located and accessible to the public. Feedback received from the public showed that the presence of a police station provided assurance to the communities they were located in – he had made a public pledge to the people of Gwent that the police would not be withdrawing from communities. He did however advise that how the service was provided may need to be reviewed in the future with sharing of facilities with other emergency services, such as the Abertillery model, a possible solution. The PCC highlighted the recent opening of Caerphilly police station within the town centre as a result of feedback from the public. We were informed that public statements on the future of the police estate would be made after discussions with the Police and Crime Panel.

Action

The ACOR advised us that the projected recurring deficit/surplus figures contained within the MTFP were subject to significant change due to the uncertainty faced. He stated it was imperative for focus to continue to be placed on the efficiency savings process.

We thanked the ACOR and PCC for the update and stated that in order to ensure a balanced budget there was a need to either make further efficiency savings or request more money from the public. We requested that in order to approve the budget setting process at the next meeting it would be useful to understand what these options looked like.

**ACOR/
CFO**

RESERVES AND COMMITTED FUNDS STRATEGY

18. We received and noted the PCC's Reserves and Committed Funds Strategy.

The Reserves Strategy assisted members in discharging their duties in relation to the budget setting process and the annual financial statements.

We noted that this report would also be presented to the Police and Crime Panel in order to assist in their deliberations regarding the Commissioner's precept proposal for 2018/19.

The ACOR informed us a large portion of the reserves were committed to fund the new headquarters building and the private finance initiative. Once the allocated reserves had been removed, the remaining was the PCC's general reserve, which was available to mitigate the impact of unexpected events or emergencies.

We raised concern that the 'Accelerated Efficiency Savings' reserve contained in appendix 5 would not cover failure to meet the projected efficiency savings on a recurring basis. The ACOR advised us that the due to the size of the original savings target a reserve had been included to cover slippage within a financial year, not to cover the savings needed to be made on a recurring basis. He advised us that this reserve had not been utilised for the previous 3 years. We supported this prudent approach but raised concern that the Home Office may see it as a

method to support areas such as pay awards without having to provide any additional funding to PCCs.

Action

The WAO raised concern that statements made in sections 3.6 and 5.3 of the Strategy could be interpreted that they provide an opinion on the appropriate level of reserves a PCC holds. We noted that they would only intervene if levels of reserves went lower than was required. We agreed that both sections of the report would be reviewed and that the wording contained within the brackets at section 3.6 would also be removed.

CFO

We queried when the police officer 1% bonus was to be paid. The ACOR informed us that the bonus was based on salary and would be paid for the period between 1st September 2017 to 31st March 2018. We noted that the bonus was not pensionable.

GWENT POLICE ANTI-BRIBERY AND CORRUPTION POLICY

19. We received and noted the force Anti-Bribery and Corruption Policy.

The ACOR advised us that this was an area monitored frequently with significant levels of training provided due to the risk posed to the organisation with breaches of the policy dealt with by the Professional Standards Department.

We queried if gross misconduct automatically resulted in dismissal. The ACOR informed us it would not necessarily result in dismissal but would be determined by the circumstance of each individual case.

We queried if the anti-bribery and corruption message was relayed to suppliers in the procurement process. The ACOR assured us that this was referenced in the standard terms of contract. We also noted that certain suppliers were also vetted; this was completed on a risk-based approach.

SHARED RESOURCE SERVICE ANNUAL MONITORING REPORT

20. We received the annual report for 2016/17 from the SRS in the delivery of ICT services.

The ACOR informed us that in addition to the annual report which had been discussed at the SPB in May, a six month progress report was also provided for PCC scrutiny at the SPB meeting in November.

We noted the schedule of projects completed during 2016/17. The ACOR informed us that a large amount of work had been undertaken to replace or update a number of outdated systems and introduce new systems such as Voice Over Internet Protocol (VOIP).

We noted the number of calls received by the IT service desk and the classification of those calls.

The ACOR informed us of the significant savings achieved in the 2016/17 budget. These savings were as a result of the positive decisions made via the Staying Ahead 8 programme such as only providing maintenance agreements for platinum and gold IT systems. For those systems deemed not as integral to the running of the force, maintenance contracts were in place to resolve problems as and when they occurred.

Action

The ACOR advised us that Blaenau Gwent County Borough Council and Newport City Council had also joined the SRS.

Within the SRS Strategy appendix we queried what the difference was between the new project methodology and the old 'waterfall methods' and why the new methods had not been widely accepted. The ACOR informed us that previously staff had one contact within the SRS who they dealt with if they encountered an issue with their IT service. Now staff are required to report all problems via the service desk rather than to individual people and work is programmed accordingly. We noted that the previous method continued to be utilised and could therefore interfere with the completion of other on-going work.

IT DISASTER RECOVERY PROGRESS REPORT

21. We received and noted the IT disaster recovery progress report.

The ACOR informed us the report detailed the work completed to date and the activities planned. He stated the project had been challenging but hoped it would be completed in February 2018.

We noted the work plan and requested that a colour-coded key was added to the document.

ACOR

We queried if the completion date of February 2018 would remove the audit recommendations from the Outstanding Audit Recommendations report. The ACOR informed us that it would as the infrastructure would be in place. However, the project itself may continue as all the systems were added and tested to ensure they were working correctly.

The ACOR informed us that a further update would be provided to the December meeting of this Committee. He also stated that progress reports would be provided while the systems were being tested. He advised us that once all testing was completed then TCBC would undertake an audit which would be provided to members via the usual process.

ACOR

ACOR

EXCLUSION OF THE PRESS AND PUBLIC

22. The information contained in the report(s) below has been subjected to the requirements of the Freedom of Information Act 2000, Data Protection Act 1998 and the Office of the Police and Crime Commissioner for Gwent's public interest test and is deemed to be exempt from publication under sections 7.

JOINT STRATEGIC RISK REGISTER

Action

23. We received and monitored the Joint Strategic Risk Register.

We queried if there were timescales for the organisation to move from its current risk position to its planned risk position. The ACOR stated that it would not be appropriate for all risks contained on the register to be allocated a timescale but would consider if this could be included for certain areas.

ACOR

We requested a reminder as to how the register was monitored internally. We were informed that the register was monitored at the monthly Service Improvement Board that was chaired by the DCC and attended by the senior officers of the OPCC. We were advised that the JAC were presented with all New, Critical and High level risks and also any risks that were being removed from the register.

We noted that there were a number of outstanding policies that were due to be reviewed by the force and queried if any of those policies were ones that should be presented to the JAC as stated within the terms of reference. The ACOR would review and feedback to members.

ACOR

OPCC RISK REGISTER

24. We received and monitored the OPCC Risk Register.

The CoS informed us that the risks contained on this register were specific to the OPCC. We were advised that the IO had identified that the risk process within the OPCC needed to be reviewed and that training would be sought for the CoS and the CFO in order to progress this further.

We noted that the register was considered at the OPCC Executive Board meeting on a monthly basis.

ANY RELEVANT REPORTS FROM OTHER ORGANISATIONS THAT SHOULD BE BROUGHT TO THE ATTENTION OF THE JOINT AUDIT COMMITTEE

25. No reports from other organisations were presented for discussion.

ANY OTHER BUSINESS

26. a) The following meeting dates for 2018 were agreed:

- Thursday 8th March
- Thursday 28th June
- Thursday 13th September
- Thursday 20th December

- b) Update on JAC Recruitment

The IO informed us that an appointment panel for the JAC recruitment process had been established and consisted of the CFO, ACOR and an independent human resources consultant.

Action

The advert was due to be released the last week of September for a 3-week period. Shortlisting would take place on 26th October with interviews taking place on 13th November.

We informed the IO that the Welsh Assembly ran a site to promote jobs such as those of the JAC and stated it may be worthwhile finding out more information.

TO IDENTIFY ANY RISKS ARISING FROM THIS MEETING

27. There were no new risks arising as a result of the meeting.

The meeting concluded at 1.10pm.