

**POLICE AND CRIME COMMISSIONER FOR WILTSHIRE
AND CHIEF CONSTABLE OF WILTSHIRE POLICE**
Minutes of the JOINT INDEPENDENT AUDIT COMMITTEE
held on 6th December 2017 at 2.00pm
at Police Headquarters, London Road, Devizes

Present: Mr K Bellamy (Chairman), Ms C Baynes, Mr D Line, Mr R McMillan

In Attendance: Mr A Macpherson (Police and Crime Commissioner),
Chief Constable M Veale, Mr C Barker (Chief Finance Officer),
Mr N Darwish (Deputy Chief Executive), Miss S Kyte (Commissioning
and Policy Officer, minutes), Ms G Hawkins (Grant Thornton),
Mr J Murray (Grant Thornton), Mr R Bamberger (SWAP)

PART I: Items to be considered whilst the meeting is open to the public

1. **Appointment of Chairman** Keith Bellamy appointed as Chairman for ensuing year.
2. **Apologies** Alex Blair and Iain Murray
3. **Moments Silence for Steven Booth** Following the sudden passing of JIAC Member Steven Booth, a minutes silence was held.
4. **Declarations of Interest** There were no declarations of interest.
5. **Minutes of the Joint Independent Audit Committee meeting held on 12th September 2017**

Resolved: *To approve the minutes of the meeting held on 12th September 2017 as an accurate record and for the Chairman to sign the minutes.*

6. **Outstanding Actions**

Meeting date: 12th September 2017

Minute 5a): Risks I5 and I8 had been reviewed but a date for delivery of the disaster recovery plan was still awaited.

Minute 7b): The CFO will deal with outstanding audit recommendations under agenda item 11.

Minute 13b): Following the Staff Survey presentation to the September meeting, Members asked two follow-up questions. The responses to these were read out at the meeting and are attached at Appendix A. The CFO added that one of the questions asked in the survey related to whether respondents felt the organisation was an ethical organisation. 72% agreed that it was and 21% stated they didn't have a view. Whilst it was recognised this was not a direct comparison of whether staff were aware of the whistleblowing policy and had confidence in it, it was a contributory response.

Resolved: a) *To note the updates provided with regard to the outstanding actions.*

- b) *That with regard to the Staff Survey and the two follow-up questions asked by Members, the OPCC would circulate the responses from the Force.*

7. Police and Crime Commissioner Update A verbal update was provided by the Police and Crime Commissioner and the following key points noted:

- HMICFRS PEEL inspections – Wiltshire had received some positive reports recently. The information from these reports was currently being collated with the ultimate aim of communicating key and positive messages to the public.
- Primary concern relates to government funding and the settlement that Wiltshire may receive. Whilst it was anticipated that 'police funding will be protected', if the PCC were to increase the policing part of the council tax by 1.9% (the maximum amount allowed under legislation without requiring a referendum) in reality this would present a 'cash flat' increase only. This is a key message which should be communicated to and understood by the public.
- Savings of £3.9m are required to be made in future years which, as an example of the challenge this represents, is the equivalent of the neighbourhood policing element provided by the Force. It is essential that consideration is given now as to how the Force could operate in the future.
- The PCC and the Chief Constable need to be clear on how these savings are to be made and how specialist capabilities would operate not just within the county but also in keeping the country safe.

In response to the PCC's verbal update, Members made the following comments / observations:

- There is a requirement for the public to be educated with regard to these issues. The PCC and the Chief Constable may be ensuring the Force was modernising and changing to meet the savings requirement, ensuring it operates as effectively and efficiently as possible, but the public perception of what the service should provide is not changing. Good communication / engagement messages to the public were essential, and required, in order for them to truly understand the current and future situation.

Resolved: *To note the verbal update provided by the Police and Crime Commissioner.*

8. Chief Constable Update A verbal update was provided by the Chief Constable which echoed that of the Police and Crime Commissioner and the current resourcing difficulties facing the Force.

In response to the update provided by the Chief Constable, Members asked the following:

- In some police force areas the media were reporting incidents of police officers / PCSOs not responding to some incidents of crime as the local force had deemed they were no longer able to respond to low level crime due to lack of resources. The Committee wished to know if this was a situation which was recognised in Wiltshire. The Chief Constable had recently been in discussion with his two hub Superintendents about this issue and whilst resourcing was an issue and policing at current levels remains a challenge in Wiltshire, the Force were not yet ready, or required, to contemplate making a policy decision on whether it should no longer respond to certain types of low level crime. The Force was performing well but is the fourth worst funded force in England and Wales. The Force would not become

complacent and continue to work with partners and public sector organisations to address issues in partnership. It would also continue to review the HMICFRS Value for Money profiles to identify if any further efficiencies could be found. The Chief Constable reported that Wiltshire had modernised more than any other force and that officer numbers was the lowest per population than anywhere else. The Force continued to receive good reports from HMICFRS PEEL inspections with the most recent report for efficiency grading the Force as 'good'. This was a light-touch inspection due to the previous performance of the Force in this area. The Force was in the top seven of good performing forces in the country.

- Resolved:**
- a) *To note the verbal update provided by the Chief Constable and the 'good' grading received by the Force in recent HMICFRS PEEL inspection, despite being the fourth worst funded force.*
 - b) *OPCC to note the update provided by the Chief Constable with regard to the modernisation of the Wiltshire force for inclusion in the annual statement due in June 2018.*

9. PCC Risk Register

The DCX provided Members with a brief overview of the current PCC risk register. In response to questions raised by Members, the following was noted:

Risk I2 (Failure to produce a MTFS that enables the PCC to deliver his P&C Plan priorities and fails to identify delivery of necessary savings): The CFO reported the MTFS had been presented at the recently held CMB. The savings requirement for 2018-19 had been £3.3m but this had been reduced to £1.3m following the use of reserves and by not making the revenue contribution to capital. The savings requirements for 2019-20 would be £4m. The funding announcement from the government was expected in the next two weeks following which this risk would be reviewed.

Risk I6 (Partners make decisions that impact upon the PCC and Police without discussion or involvement in decision making process): The DCX stated that the PCC had met recently with SBC and would now need to wait to see their budget for 2018-19 to see where they were looking to make savings. At that point the PCC/OPCC would liaise with SBC so that the full impact of these savings was understood by both parties.

Risk I8 (ICT services are not resilient and transformational to support effective and efficient policing): David Line stated he was disappointed that the ICT disaster recovery plan had not yet been received and a date when this would be had not been identified. David referred to a SWAP training event he had attended recently with Alex Blair where there was a presentation on cyber security and how this was an area that should be scrutinised by audit committees. The HM Treasury Audit and Risk Assurance Committee Handbook states that audit committees should evaluate the processes the organisation has in place for the following five areas:

- governance
- threat intelligence, third party, and supply chain
- structure and resources
- incident response
- people, training, and awareness

It was requested that time be allocated at a future meeting where cyber security could be considered as a specific item on the agenda. This was agreed and the CFO would bring a report to either the March or June meeting of the Committee addressing how

the PCC and the Chief Constable manage the five areas referred to previously. The CFO provided a brief overview of key processes in place such as penetration tests which were carried out on an annual basis, Op Electric which took place recently, and the fortnightly ICT oversight meetings which were chaired by the CFO. Whilst a disaster recovery plan had not been received specifically for ICT, every Force department had its own disaster recovery plan in place. The Committee welcomed the update which provided some reassurance and thanked the CFO. The PCC risk register would be updated accordingly to reflect this discussion.

The Chairman thanked the DCX, CFO, and the Commissioning and Policy Officer for producing the PCC risk register and an informative covering report.

- Resolved:**
- a) *OPCC to update PCC risk register following the funding announcement by the Government.*
 - b) *CFO to produce a report on cyber security for either March or June meeting of the Committee addressing the five areas listed in HM Treasury's Audit and Risk Assurance Committee Handbook.*
 - c) *OPCC to ensure PCC risk register is updated accordingly to reflect the discussion on cyber security.*

10. Internal Audit: Update Report

A report by SWAP had been circulated and the following key points noted:

- The report gave a positive assessment of the Force risk and control processes
- No significant risks had been identified in the final audit reports issued to date for 2017-18
- Appendix A provided a schedule of work for 2017-18 which SWAP said would be completed by 31st March 2018
- Appendix B detailed the customer feedback process utilised by SWAP – this information had been provided following a request from Members at the last meeting
- SWAP do not independently verify the follow-up of previous audit recommendations and rely on the internal Force process

Members asked whether they had sight of any of the audit reports. The CFO stated that he believed all reports with a 'partial' opinion were considered at JIAC. It was agreed that the OPCC would confirm this and ensure the relevant reports were included in future JIAC papers.

SWAP confirmed that the final report for the follow-up audit for control of ammunition, guns and tasers had been issued that morning and that they were happy with the controls in place.

- Resolved:**
- a) *That the OPCC would confirm with the CFO the final audit reports which JIAC had sight of and ensure these were included in future JIAC papers.*
 - b) *To note the content of the report and the update provided by SWAP.*

11. Internal Audit: Outstanding Audit Recommendation

The CFO provided a verbal update on the three outstanding audit recommendations. A report listing those recommendations which were outstanding and an update on these would be included in future JIAC papers as has been done previously.

Resolved: CFO to ensure report on outstanding audit recommendations is included in future JIAC papers.

12. External Audit Report

- Resolved:**
- a) The OPCC would circulate the links to the four reports referenced in the Grant Thornton report to JIAC Members.
 - b) CFO to deliver a short presentation on the HMICFRS Value for Money profiles to the next JIAC meeting.
 - c) To note the content of the report.

13. External Audit Annual Audit Letter

Further to the discussion earlier in the meeting with regard to cyber security, David Line asked whether there was a requirement for auditors to report on this matter within the annual governance statement. Jackson Murray stated that this was not currently included in the CIPFA code but that should this be amended to include cyber security then they would provide comment on it.

Resolved: To note the content of the annual audit letter.

14. HM Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS)

Resolved: To note the update included on the agenda and the verbal report by the Chief Constable under agenda item 8.

15. Annual Member Briefing Session and JIAC Self-Assessment 2017

The Chairman reported that as in previous years, the intention would be to hold a briefing session for Members only towards the end of January / early February. The session would look at the matters raised from the recent SWAP training event for audit members and would consider the self-assessment template completed annually by Members. An improvement plan for JIAC for the next twelve months would be developed from the results of the self-assessment. The session would run from 10.00am-1.00pm.

Resolved: OPCC to liaise with Members on suitable date for annual briefing session and to make all other necessary arrangements.

16. Emergency Services Mobile Communications Programme (ESMCP) Beat Radio

The CFO provided a verbal update to Members and the following points were noted:

- Programme replaces current Airwave system
- New radio system was expected to go live December 2019
- There have been a number of delays to the programme and estimated transition date is now late 2020 / early 2021
- Delays are impacting on costs, for example the South West forces set up a regional team to manage the transition and as a result of the delayed timescale costs of the regional team are likely to increase
- Some issues have arisen with regard to proposed solutions, for example the handset which would negate the need for officers and PCSOs to have separate mobile phones although this now looked less likely
- £3.2m has been allocated within the capital plan for this programme but is a guesstimate due to limited financial information

Resolved: To note the verbal update provided by the CFO.

17. Expenses Update

The CFO provided an overview to Members on the expenses process for police officers and police staff. He provided reassurance to Members that the process allows for anomalies to be dealt with (eg. if an individual is claiming more than is allowed for an evening meal) but that a common sense approach is taken and if there is a legitimate reason then the individual would be reimbursed in full (eg. the supervisor states that the individual had no alternative but to take their evening meal at this restaurant as it was the only place to eat).

Resolved: *To note the verbal update provided by the CFO.*

18. Date of Future Meetings

Wednesday 21st March 2018 at 2.00pm

Thursday 7th June 2018 at 9.30am

Thursday 19th July 2018 at 2.00pm

Thursday 15th November 2018 at 2.00pm

PART II: Items during whose consideration it is recommended that the public should be excluded because of the likelihood that exempt information would be disclosed

19. Exclusion of the Public

Resolved: *In accordance with Standing Order 6 of the Committee's Standing Orders to exclude the public from the meeting for the business specified in Items 20 and 21 below because it is likely that if a member of the public were present there would be disclosure to them of exempt information as defined in Paragraph 7 (information relating to any action taken or to be taken in connection with the prevention, investigation or prosecution of crime) of Appendix 2 of the Committee's Standing Orders.*

20. Minutes of the Joint Independent Audit Committee meeting held on 12th September 2017

Resolved: *To approve the minutes of the meeting held on 12th September 2017 as an accurate record and for the Chairman to sign the minutes.*

21. Force Risk Register

The CFO reported that the Force risk register had been thoroughly reviewed at a recently held internal meeting and, as a result, a number of risks had been significantly updated. A verbal update was provided by both the Chief Constable and the CFO and the following key points noted:

- *Operational Resourcing and Deployment Levels:* The gold group established to manage this risk had now concluded but risk score would not be revised down until those newly recruited to the organisation had completed their training.
- *ANPR:* The Force system in place is currently considered tier 3 and should be tier 1 (ie. a backup system should be in place). A number of changes to the system had been carried out but more work was required. Whilst this matter is to be addressed urgently, due to competing priorities it was unlikely to be progressed further until the New Year.
- *Review of Funding Formula:* At the time the Force risk register had been circulated to Members, the MTFs had not been presented to CMB. Now this had been done it was likely that the impact score would be reduced as a plan was in

- place to balance the budget for 2018-19 without changes to the funding formula.
- *Inability to manage non-emergency demand in a timely way:* Call abandonment rates had now reduced and were around 5% from 14%.
 - *PND capability and access:* This risk had been reviewed and updated in November 2017 not September 2017 as was stated in the relevant column.
 - *Impact of public confidence on Wiltshire Police as a result of Op Conifer:* Following the publication of the Op Conifer report, the likelihood and impact scoring had both been reduced from 4 to 3, giving a new total score of 27.
 - *BAME representation within Wiltshire Police (Equality Act):* The Chief Constable stated that following good work by the positive action team, nearly 4% of the workforce were from BAME backgrounds (up from 1.6% as reported in the risk register). This achievement should not be underestimated. Should this figure continue to stabilise or improve then the risk score would be reduced.
 - *ESMCP (Beat, More than Radio):* The CFO referred Members to the verbal update he provided earlier in the meeting at agenda item 16.
 - *Lack of understanding and analysis of sickness levels:* Noted that the narrative provided in the report did not relate to this risk. The update for this risk was circulated at the meeting.

In response to the updates provided, Members raised the following queries:

- *Lack of ICT resources:* The update provided referenced a skills gap analysis within the department but no timeframe was given. The CFO stated he would raise this at the Joint ICT governance board to request this information.
- *Digital Platform:* Rohan McMillan asked how the General Data Protection Regulation (GDPR) which will apply from May 2018 would be managed. The CFO stated that a new project had been established (0365) and that this would reduce the amount of data and number of emails held by staff. This work would be carried out on all systems whilst a cloud storage system is adopted. The Force Protective Security Manager is continuing to review this risk.

- Resolved:**
- a) *That the CFO would request information from the Joint ICT Governance Board in relation to the skills gap analysis and when this would be completed.*
 - b) *To note the contents of the Force Risk Register and the updates provided by the CFO.*

The meeting commenced at 14.00
and concluded at 15.55



Keith Bellamy
JAC Chairman

GLOSSARY

ANPR	Automatic Number Plate Recognition
BAME	Black and Minority Ethnic
CFO	Chief Finance Officer
CMB	Commissioner's Monitoring Board
DCX	Deputy Chief Executive
ESN	Emergency Services Network
GDPR	General Data Protection Regulation
HMICFRS	Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services
ICT	Information, Communication and Technology
JAC	Joint Independent Audit Committee
MTFS	Medium Term Financial Strategy
OPCC	Office of Police and Crime Commissioner
PCC	Police and Crime Commissioner
PEEL	Police Effectiveness, Efficiency, and Legitimacy
PND	Police National Database
SBC	Swindon Borough Council
SWAP	South West Audit Partnership

FORCE STAFF SURVEY

Following the presentation on the Staff Survey provided at the JIAC meeting held on 12th September 2017, Members were invited to submit questions after the meeting which the Force would respond to. Two questions were received and these are detailed below along with the Force response.

Question:

Whilst fully appreciating the Force does have a Whistleblowing Policy, it is only effective if staff are not only aware of it, but have confidence in the management and process being fair so that they would use it if they had a serious concern. Was this addressed in the recent Survey and if yes, what were the results; or if not, will it be considered for inclusion in future Surveys?

Answer:

The most recent survey was a pulse survey and therefore the number of questions was limited to 33, 12 of these questions were included within a 'culture/other' section. Whilst there was no specific questions around 'whistle blowing' in the pulse survey, questions around whether staff believe that values and behaviours were demonstrated consistently, whether the force manages poor performance in line with values and behaviours, whether the Force acts as an ethical organisation and whether staff feel empowered to make decisions were all asked.

The last full survey (in 2016) had a total of 63 questions with a specific question around the reporting of wrongdoing (see question and results below). It is my expectation that this will continue to be included in future full surveys so we can continue to track the direction of travel.

Q: Our organisational culture is one where I feel able to report wrongdoing

Results:

Strongly agree: 12%

Agree: 54%

Neither agree or disagree: 19%

Disagree: 10%

Strongly disagree: 5%

Within the detailed report for the 2016 survey, ORC (the company who carry out the surveys for the force) stated the following:

"The journey of positive shift of Wiltshire Police into a culture where employees feel able to report wrong-doing is pleasing to see; there has been a statistically significant increase of 19 percentage points increase since 2014. In the last survey this question generated a high number of uncertain responses (30%) which have been capitalised on and opinions have become more positive."

Question:

The response rate has declined in each of the last four years. What steps are the Force considering to reverse this trend?

Answer:

Whilst it is disappointing that the response rate has declined, we are still receiving responses from a significant number of officers and staff. The response rate was 58% in 2014, down slightly to 57% in 2016 and then 53% in 2017, a 4 percentage point drop from the previous year.

By comparison, the employee engagement index has increased by 11% since 2014. The engagement index in 2017 was 72%, a 4% increase from 68% in 2016. This is the core measure of how engaged staff and officers are with working for the Force and serves as a good temperature check of where we are as an organisation.

Every staff survey has been heavily promoted internally via our key internal communication channels (whole force email, Firstpoint news, submissions within e-brief and more recently via the internal app, Siren). Managers have been briefed and have cascaded information to their teams. Advanced notification has been given to officers and staff about the survey along with direct reminders by email to staff who have not completed the survey by a certain point.

Future staff surveys will continue to be promoted using all available internal channels and also possibly via SCT blogs and videos - we will continue to reiterate to officers and staff how important their views are and emphasise the value that each completed survey brings.

