



**JOINT AUDIT COMMITTEE  
PUBLIC MINUTES**

Notes of the meeting held on Thursday 8 December 2016  
Meeting Room 1.12, Lloyd House, Colmore Circus, B4 6NQ

**Present:**

- Susan Davis (SD) - Chair
  - Cath Hannon (CH) - Strategic Policing and Crime Board (SPCB) Member
  - Gurinder Josan (GJ) - Strategic Policing and Crime Board (SPCB) Member
  - Ernie Hendricks (EH) - Strategic Policing and Crime Board (SPCB) Member
  - Waheed Saleem (WS) - Strategic Policing and Crime Board (SPCB) Member
  - Mark Kenyon (MK) - Chief Finance Officer - PCC
  - Lynn Joyce - Internal Audit Manager – PCC
  - Gemma Brookes - Principal Auditor - PCC
  - Emily Mayne (EM) - Audit Manager - Grant Thornton
  - Chris Todd (CT) - Head of Force Intelligence - WMP
  - Whordley, David (DWrd) - Intelligence Supervisor - WMP
  - Kath Holder - Organisational Learning & Risk Manager - WMP
  - Andrew Riley - Strategic Prosecutions Manager, Criminal Justice Services
  - Edwards Johnson - Service Improvement Manager, Criminal Justice Services
  - Ainsley-Jayne Cobbett - Intelligence Manager, ROCU
  - Susan Ali Shah - Head of Finance
  - Andy Nicholson - Head of Professional Standards - WMP
- Plus note taker

<b>207</b>	<b>Apologies</b> Apologies were received from Christine Barve and Paul Grady.
<b>208</b>	<b>Declarations on Interest</b> No interests were noted.
<b>209</b>	<b>Minutes of the Last Meeting</b> The Committee agreed the minutes of the previous meeting held on 16 September 2016 as an accurate record.
<b>210</b>	<b>Matters Arising</b> The meeting between the Chair and the DCC in regards to governance review will now be arranged to take place early in 2017.
<b>211</b>	<b>External Audit Annual Letter and Update</b> Emily Mayne presented the report focusing on the main elements: <ul style="list-style-type: none"> <li>- Key risks are the same as in the previous year's report</li> <li>- Issues which arose from the accounts</li> <li>- Government account work</li> <li>- Value for money – the Police and Crime Commissioner (PCC) and the force</li> </ul>

	<p>were in a strong position</p> <ul style="list-style-type: none"> <li>- Highlighted that links to webinars were provided in the report</li> <li>- With regards to the impact of Brexit, Grant Thornton (GT) to raise a watching brief</li> <li>- Integrated reporting</li> <li>- GT are confident that the deadline will be met</li> <li>- Brexit updates to be given as follows: non-executive level – via audit; officer level – as and when, via email or at meetings.</li> <li>- The relaunch of GT's website</li> <li>- The deadline for 16/17 accounts is 31 July 2017. GT are working with Chief Constables to achieve this and the team are aware that this need to happen</li> </ul> <p>The Committee raised the following:</p> <ul style="list-style-type: none"> <li>- They did not expect to see many changes to audit/accounts and GT confirmed that nothing was coming through to indicate that there would be changes on the horizon</li> <li>- Would the date of the next meeting, mid-June, work if completion was by the end of July? GT responded that they would meet with the PCC and CC to discuss, but in terms of JAC, dates should suit the force and the PCC's office.</li> <li>- Partnerships was an area which could use focus from the audit committee.</li> <li>- Value for money was mentioned as something to return to</li> <li>- It would be helpful if GT could attend a seminar with the Committee members regarding the VFM profile to explore the results further and to understand the differences in the approach to statistics of other forces, as an external view would be useful</li> <li>- The step change in information from GT was a good move</li> </ul>
212	<p><b>Police Inspections Update</b></p> <p>Kath Holder introduced the report.</p> <p>At a previous committee it was agreed that to enable greater scrutiny of HMIC recommendations, four reports would be looked at in detail at each committee meeting.</p> <p><u>HMIC Update to JAC December 2016 – main points</u></p> <ul style="list-style-type: none"> <li>- HMIC – change in personnel following TS1. HMIC Liaison is now part of a broader team led by Kath Holder.</li> <li>- Since the last committee meeting the Effectiveness Inspection has been conducted. A draft report should be available in January 2017.</li> <li>- Since the last committee meeting, the Efficiency report has been published with West Midlands Police (WMP) being one of two forces graded as outstanding. There were no recommendations.</li> <li>- HMIC to look at Counter Terrorism; Force response and Force Contact week (w/c 12/12/16)</li> <li>- Inspection to be carried out around modern day slavery. Inspectors will be going to a number of forces</li> <li>- WMP are likely to focus around commitment from leadership to understanding, dealing with victims amongst other areas</li> </ul> <p>The Committee raised the following:</p> <ul style="list-style-type: none"> <li>- The report was very helpful, and explained why spreadsheets were now being used</li> <li>- The rigour around HMIC inspections are increasing – useful to have reports in one place</li> <li>- Are the team able to manage the online tracker?</li> </ul>

- Whether JAC members could have access to the tracker to review responses before going back to HMIC. Discussion took place around the effectiveness of the inspection
- Will the online tracker be active in time for the next meeting in March?

Kath Holder provided an update on the progress of the HMIC recommendation tracker, which is anticipated to be implemented early in the new year.

Lynn Joyce clarified that a pnn email account is currently required to access the tracker system.

#### Witness for the Prosecution

Andrew Riley presented the key points of the report. This report is a national report which was published in 2015. It contains 10 recommendations, 4 were to be progressed by the National Police Chief's Council and the College of Policing. Of the remaining 6, 4 are graded amber and two are green.

Key issues:

- The force is increasingly identifying vulnerability
- There is more interaction between CPS and the force
- The electronic filing system has been remodelled giving more clarity and better identification of vulnerability
- WMP file quickly achieving a 80% rate with information sent to CPS
- Witness Care Unit officers have a number of options – victim support, pre court visits etc.
- The system is more complex but identifies what and where action needs to be taken
- Case Management Unit (CMU) - cases are screened for a number of things including vulnerability

The Committee raised the following:

- How much influence do forces have on what training is provided by the college of Policing?
- In terms of HMIC report involving cases of police officers and vulnerable people, how is this managed i.e. ensuring the protection of victims?
- How does the CPS carry forward and manage vulnerable people once passed to them?

The force responded as follows:

For a number of cases there is liaison with CPS in 2 areas;

- Pre-charged - the best way forward is considered and recommendations are made
- Victims Code – looks at how officers liaise with victims. The witness case unit will take over to support through what is a harrowing experience, in conjunction with the CPS.

#### Disability Hate Crime

The paper presented by Inspector Ainsley-Jayne Cobbett is about the education given to staff around disability hate crime. This includes not making assumptions; involving victims; levels of under-reporting (victims sometimes just want the abuse to stop). The main points are:

- Training of police and partners is delivered by a person who is a paranoid schizophrenic. The training includes how he feels when he has had to interact with the police, or the difficulty when 101 ask him questions when he is already hearing questions in his head
- Training is also delivered to PSD, and custody staff
- Response teams and the Public Protection Unit (are becoming more aware of issues such as forced marriage, and that victims may not have the capacity to deal with what is happening to them
- Joint training with partners
- Different methods on how to obtain information
- Work with 3<sup>rd</sup> party reporting centres
- Aware that victims may not want to give details
- CPS are training staff on disability hate crime

The Committee raised the following:

- Does the force have oversight on what the victims wants?
- It would be helpful if more oversight on whether victims are getting the information they require to enable them to decide whether to make a statement or not. They wanted to ensure that this is a personal decision made by the victim.
- They required more explanation on the deadlines for the tasks on the tracker and were informed that work is on-going and why some of the items were not green
- The Committee asked whether there would be an online tracker.

The force responded:

- HMIC will still be looking for updates on making the process more effective
- Each case states what the victim wants
- Even when the case has been handed over to the CPS, the officer still works with the victim to make sure they are comfortable and protected. Police responsibility is maintained throughout the process
- The file will contain the victim's wishes i.e. if the victims wants to read a statement out
- As the case progresses and goes to trial, there is constant dialogue. Victim statements can be taken in crown Court during the pre-trial hearing. The best time for this to be done depends on the complexity of the case
- There would be an online tracker to move to a culture of looking at risk/recommendations and say when they would expect to see change, setting review dates and holding people to account. The issue has been raised with Force Liaison Officers.

#### Vulnerable People in Custody

This report was a national report published in 2015. The report contains 18 recommendations with 12 graded as green and 6 amber. Inspector Johnston highlighted the following points:

- Recommendations are generally chased by a national lead who is aware of the tracker. A national committee was set up and has had 1 meeting.
- The data collection tool is poor
- Data of children kept in custody is not recorded overnight. It is necessary to physically go into the record and input what actions were taken

The Committee raised the following:

- Would the tracker be green if the force attended all Health and Wellbeing meetings?  
This has been escalated to the PCC  
Had WMP2020 affected the ICIS computer system?

	<ul style="list-style-type: none"> <li>- Regarding bed availability, it would be useful to see where the pressure point is to make this happen</li> </ul> <p>The force responded as follows:</p> <ul style="list-style-type: none"> <li>- Sometimes beds are found but are unsuitable as they can be as far away as Yorkshire</li> <li>- This has been raised at children safeguarding meetings</li> </ul> <p>The Chair commented that this seems like an area which the force should be monitoring.</p> <p>Recommendation to be made to the PCC that this be discussed nationwide.</p> <p><b>Action:</b> The Chair to discuss with PCC that a region wide conversation needs to be held in regard to children and vulnerable people in custody. <u>Stop and Search</u></p> <p>Chief Superintendent Chris Todd presented the report and highlighted the following:</p> <ul style="list-style-type: none"> <li>- that the initial inspection in 2013 was superseded by another inspection in 2015</li> <li>- Information can be accessed by the public via the PCC's website and Police.uk</li> <li>- A further inspection is to be undertaken and WMP should go from good to outstanding</li> <li>- The Force are awaiting direction relating to road traffic stops as there is the perception of officers stopping young black men but no data is recorded. This data should be captured and the e-Search system is to be expanded to a mobile application. Clarity is being sought from the Home Office and College of Policing.</li> <li>- Four forces are piloting the recording of road traffic stop and searches, Home Office will then provide an update as to what to record.</li> </ul>
213	<p><b>HMIC Tracker Update</b></p> <p>This item was discussed earlier in the meeting.</p>
214	<p><b>Force Risk Management Strategy, including Force Risk Register and OPCC Risk Register</b></p> <p>Mark Kenyon informed the meeting that the OPCC paper would be presented at the March 2017 meeting.</p> <p>MK touched on aspects of the Police and Crime Plan, highlighting that the plan contained some new priorities one being substance mis-use.</p> <p>Kath Holder explained the following</p> <ul style="list-style-type: none"> <li>- NPU's and departments have risk registers – risks are escalated between the 2, and enables the discovery of duplicate risk</li> <li>- HMIC liaison has been brought into the team to help assess what should be driven forward</li> <li>- Changes to the Risk Management process means no monthly Risk Register Board – there will instead be a Risk and Organisational Learning Board chaired by the DCC</li> <li>- There was a series of training last year around organisational risk</li> <li>- Looking at new year training for new recruits.</li> <li>- Risk register configuration <ul style="list-style-type: none"> <li>1 – managed tab – seeking to do something about</li> <li>1 – monitored tab – cannot change but can plan for</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>- Corporate risk register presents the strategic risks to force. Trying to be more efficient on how this is looked at</li> <li>- 2 new posts have been introduced which will work with partner agencies, looking at streamlining so more accurate information is provided</li> <li>- No. of risks on the corporate risk register were discussed: Hillsborough – Legal Services working on potential claims – families of deceased, survivors and families of survivors On-going Birmingham Pub Bombings Child sexual abuse</li> </ul> <p>Undercover police – not as high a risk – WMP not expecting heightened scrutiny</p> <p>The Committee raised the following:</p> <ul style="list-style-type: none"> <li>- Was it appropriate for A19 to be classed as green, and if the force win, will that be the end of the matter?</li> <li>- Is Project Opera still current?</li> <li>- Data protection officers in organisations being cautious, even when police have combined to gather the data.</li> <li>- Where was being able to prevent harm to members of the public on the register?</li> <li>- How legal is it to use that phrase “positive action” with regards to work force demographics. The phrase is also used in the Police and Crime Plan</li> </ul> <p>The force responded:</p> <ul style="list-style-type: none"> <li>- Legal Services think that A19 can remain green Aspirations for Project Opera did not materialise as the force wanted. Work is on-going in that area. It is working well in pockets of the organisation</li> <li>- The phrase “positive action” was previously discussed with the force. The agreement was that the force should be as transparent as possible. The paper was signed off by the DCC</li> </ul>
215	<p><b>Irregularity Investigations Update</b></p> <p>The purpose of the report is to provide members of the Committee with the status of all fraud investigations from April 2015 until current, with details of outcomes and sanctions.</p> <p>Chief Superintendent Andy Nicholson presented report and hoped it gave reassurance that this area is reasonably tight</p> <p>The Committee raised the following</p> <ul style="list-style-type: none"> <li>- HMIC report referred to an increase in resources to tackle corruption and abuse of authority. How confident is the force about getting the resources?</li> <li>- Do supervisors and managers monitor the actions?</li> <li>- Investigation timescales</li> <li>- Proportionality</li> <li>- Changes to take place around complaints which are likely to become active in 2017/18</li> </ul> <p>The force responded as follows</p> <ul style="list-style-type: none"> <li>- They are pretty confident about gaining more resource. Chances of this were raised as a result of 2 ex-officers who abused their status for sexual gain and misuse of police systems. This gives a strong organisational hand to say more officers in these units are needed. PSD have less than half the officers of other forces.</li> <li>- Speed was the biggest challenge, but this was getting better.</li> </ul>

	<ul style="list-style-type: none"> <li>- In response to proportionality, the force now seek to deploy staff to other posts whilst the investigation is being carried out as opposed to suspension on full pay. This has resulted in a saving of £1 million per year.</li> </ul> <p>There was an action that the length of time for investigations are to be included for future reports.</p>
<b>216</b>	<p><b>Internal Audit Activity Report 2016/17</b></p> <p>Lynn Joyce presented the highlights of the report:</p> <ul style="list-style-type: none"> <li>- There were 49 audit reviews completed to either final or draft stage for the period to November 2016; 42 reviews had been reported and agreed with management up to November 2016.</li> <li>- 15 follow ups undertaken</li> <li>- Breakdown of recommendations has increased this year to date and is expected to continue to increase over next 12-18 months due to the transition process</li> <li>- 2 outstanding recommendations from 14/5 relate to energy conservation. A strategy is being drafted but progress has been delayed due TS1. Update will be given at the next meeting</li> <li>- National Fraud Initiative: Data matching exercise is underway which matches an extensive range of data from almost 1,300 organisations from across the UK.</li> <li>- Performance – Report production and client satisfaction were slightly below target</li> <li>- A more thorough review had been carried out at Tally Ho this year to which the force had contributed funding</li> <li>- There are currently 4 honorary accounts in the plan</li> </ul> <p>The committee raised the following:</p> <ul style="list-style-type: none"> <li>- Was anything new been found this year during the honorary Tally Ho?</li> <li>- The Tally Ho audit should be continued for another year</li> <li>- Force uniform policy was discussed in respect of write-off of obsolete uniform and whether this should follow the normal write off procedure of being reported to the PCC</li> <li>- Security around where obsolete uniforms could end up</li> <li>- It was agreed that it would be useful to check this</li> <li>- The force will be buying the national uniform for 2020 but it is assumed that this would be phased in</li> </ul>
<b>217</b>	<p><b>Internal Audit Assurance Opinions &amp; Recommendation Ratings</b></p> <p>Lynn Joyce presented the paper on proposals to change the assurance opinions and recommendation ratings on Internal Audit Reports, which had been discussed at a previous Committee meeting.</p> <p>The Committee were asked to consider and approve the revised Internal Audit Assurance Opinions and recommendation ratings – the change was <b>approved</b>.</p>
<b>218</b>	<p><b>HMIC Value for Money Profile</b></p> <p>Mark Kenyon presented the main points of the paper</p> <p>The Chair said she was happy to take advice on the points raised and that it would be good if GT could assist with this as part of a separate seminar to assess the outcome of the report in more detail.</p>

	<p>The Chair mentioned income jumping out on every set of graphs and asked if this was because WMP do not collaborate.</p> <p>The Chair also commented on the number of police officers and low numbers of specials and PCSOs</p> <p>No other areas were picked up for discussion by the Committee during the meeting, but it was agreed a separate session should be established to discuss the results in more detail.</p>
<b>219</b>	<p><b>Public Sector Internal Audits Standards Update</b> Lynn Joyce presented the main points of the paper</p> <ul style="list-style-type: none"> <li>- The action plan was on target</li> <li>- Attention was drawn to discussion of external assessment at the last meeting. Two options of assessment are available: a full assessment or validated self-assessment. LJ would prefer validated self-assessment as a self assessment has already been prepared</li> <li>- This requires anything under £25,000 to obtain 3 quotations.</li> </ul> <p>The Committee was asked whether it was happy to use the assessment criteria which had been put together by LJ. This was agreed.</p> <p>The validated self-assessment option was <b>agreed</b>.</p>
<b>220</b>	<p><b>External Audit Process</b> Mark Kenyon presented the paper which was to inform Members of the latest position in relation to the appointment of External Auditors for both Police Crime Commissioner and the Police Constable of the West Midlands. This is to enable External Auditors to be in place from April 2018 to complete the audit of accounts for the financial year 2018/19.</p> <p>MK also presented a letter from Public Sector Audit Appointment re invitation to opt into the national scheme for auditor appointments</p> <p>The final decision on this belongs to the PCC.</p> <p>The Committee <b>agreed</b> that advice to the PCC is that he uses the national process.</p>
<b>221.</b>	<p><b>External Audit Performance Assessment</b> MK presented the paper. The chair asked the Committee if they were satisfied that it was reflective of overall opinion.</p> <p>The Committed raised the following:</p> <ul style="list-style-type: none"> <li>- The GT spec should be formalised to show exactly what was required of them.</li> </ul>
<b>222.</b>	<p><b>Committee Work Plan 2016/17</b> The Committee confirmed that they had no issues with the current work plan.</p>

Meeting ended at 12.30