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A THROSEDD GOGLEDD CYMRU  
OFFICE OF THE POLICE & CRIME  
COMMISSIONER NORTH WALES



**HEDDLU  
GOGLEDD CYMRU  
NORTH WALES  
POLICE**

## JOINT AUDIT COMMITTEE

**1pm – 25 September 2024  
Online by Microsoft Teams**

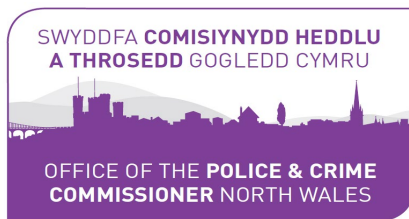
### AGENDA

#### Attendees:

<b>JOINT AUDIT COMMITTEE:</b>	
Rachel Barber - Chair John Cunliffe Allan Rainford	Julie Perkins Dr Norma Barry
<b>FORCE OFFICERS:</b>	
Seb Phillips – Director of Finance & Resources Guto Edwards - Head of Finance Helen Williams - Financial Control Accountant Anne Matthews – Finance & Budgets Officer Chief Inspector Simon Kneale – Corporate Services	James Sutton – Head of Business Intelligence/Chair of Assurance Board Anna Pretious - Environment/Energy Conservation Manager Dewi Williams – Financial Accountant Colin Parry - PND Information and Property Manager
<b>OFFICE OF THE POLICE AND CRIME COMMISSIONER:</b>	
Stephen Hughes – Chief Executive Officer Kate Jackson – Chief Finance Officer	Angharad Jones – PA to the Chief Executive Rebecca Jackson – Modern Apprentice
<b>OTHER ATTENDEES</b>	
Fiona Roe, TIAA	Michelle Phoenix, Audit Wales

	Standing Items		Purpose	Page	Time
1	<b>Apologies &amp; Declaration of Interest</b>	Chair			
2	<b>Minutes of the last meeting</b> The Chair shall propose that the minutes of the meeting held on 30 July 2024	Chair		3-10	5 Mins
3	<b>Actions Log</b>	Chair		11-15	5 Mins
	<b>Standing Items</b>				

4	<b>Organisational Update</b>	Chief Executive Officer & Director Finance and Resources	Information	16-23	5 Mins
5	<b>HMIC Update</b>	Chief Inspector Corporate Services	Assurance	24-27	5 Mins
6	<b>Internal Audit</b> a. Internal Audit SICA 2024/25 and opinion 2023/24 b. Delays to management timelines c. Management Report incl Internal Audit Report Opinion	a&b Internal Audit c. Director Finance & Resources / Budget Officer	Assurance	28-36 37-50	10 Mins
7	<b>Risk Update</b> - Risk Process Development & Current Risk Register - Assurance Mapping - OPCC Risk Register	Head of Business Intelligence  Chief Executive Officer/Chief Finance Officer	Assurance	51-57	10 Mins
8	<b>Work Programme for 2024/25</b>	Director Finance and Resources and Chief Finance Officer	Decision	58-64	5 Mins
	<b>Substantive Items</b>				
9	<b>HMICFRS Value for Money Profiles</b>	Management Accountant	Assurance	65-92	15 Mins
10	<b>Procurement Act 2023</b>	Director of Finance and Resources	Information	93-96	5 minutes
11	<b>Governance Update – incl draft AGS</b>	Chief Finance Officer	Information	97-100	5 Mins
	<b>AOB (Advise the chair ahead of the meeting)</b>				
	<b>DATES OF FUTURE MEETINGS</b> 31 October 2024 (prov Accounts signing) 28 November 2024 25 March 2025 29 July 2025 28 October 2025 16 December 2025				



**HEDDLU  
GOGLEDD CYMRU  
NORTH WALES  
POLICE**

## JOINT AUDIT COMMITTEE

Conference Room 1, FHQ Colwyn Bay and on-line through Teams  
30 July 2024 at 13:00

### PRESENT

#### JOINT AUDIT COMMITTEE:

Rachel Barber – Chair  
John Cunliffe  
Allan Rainford  
Julie Perkins  
Dr Norma Barry

#### FORCE OFFICERS:

Seb Phillips – Director of Finance & Resources  
Helen Williams - Financial Control Accountant  
Anne Matthews - Finance & Budgets Officer  
Chief Superintendent Simon Williams – Corporate Services  
Phil Kenyon – Force Solicitor (item 11 only)  
James Sutton, Head of Business Intelligence ( left meeting at item 8)  
James Davies – Corporate Programme Manager

#### OFFICE OF THE POLICE AND CRIME COMMISSIONER:

Kate Jackson – Chief Finance Officer  
Meinir Jones – Deputy Monitoring Officer  
Angharad Jones – Executive Assistant (minutes)  
Rebecca Jackson – Modern Apprentice

#### OTHER ATTENDEES

Michele Phoenix – Audit Wales  
Jonathan Maddock, Internal Audit  
Fiona Roe, Internal Audit

### 1. APOLOGIES AND DECLARATIONS OF INTEREST

Apologies received from Wayne Jones – Deputy Police and Crime Commissioner, Stephen Hughes – Chief Executive Officer, Guto Edwards - Head of Finance

There were no declarations of Interest.

The Chair welcomed new JAC member Dr Norma Barry.

2. **MINUTES OF THE LAST MEETING**

The minutes of the meeting held on 28 March 2024 were agreed as a true record of the meeting with one amendment to the last paragraph in Section 5. Minutes should read ..... video are available and that similar content also formed part of the Chief Constable’s Roadshow.

3. **ACTION LOG**

The Action Log was updated and will be circulated with the minutes. Actions recommended closed and agreed closed were:

28/03/23 – 13, 07/2/2023 – 4, 28/03/2024 – 6a, 7a, 7b, 9, 10.

4. **ORGANISATIONAL UPDATE**

The Joint Audit Committee noted the updates from the reports provided by the Office of the Police and Crime Commissioner and North Wales Police. Updates were provided on the work undertaken since the last Joint Audit Committee meeting in March with questions asked and answered outside of the meeting.

North Wales Police

Director of Finance and Resources provided the Committee with additional recent updates:

**Pay award** – Police pay award has been announced for police officers at 4.75%. Medium Term Financial Plan assumption was 2.5%. Each additional 1% of officer pay equates to £1.7m and still awaiting confirmation from Home Office on how this additional pay increase will be funded. This pay increase is likely to be reflected as part of the police staff pay award considerations.

**General election** – Labour has pledged 13,000 new neighbourhood police officers and staff. North Wales Police are awaiting further details as to what this means practically. The new Chancellor recently made a statement on public finances and the Force will be working through this to see what effects it will have.

**HMICFRS** – It has been a busy month across the force with interviews and reality testing having taken place, taking the force to the cusp of the hot de-brief with HMICFRS on the PEEL inspection.

**Information Commissioner’s Office (ICO)** – An Independent Review by the ICO with regards to personal data breach process has concluded. Reasonable assurance was given with nine recommendations, two of these identified as urgent (but already in hand with the Force). Director Finance and Resources to share this document with Joint Audit Committee members.

Action 4	Director of Finance and Resources to share Information Commissioner’s Officer report on personal data breaches process with Joint Audit Committee members.
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There has been a recent upturn in ICO referrals from North Wales Police although there is no clear underlying trend. Greater awareness may be a factor. Each referral has been reviewed by the Data Protection Officer and Director of Finance and Resources as Senior Information Risk Owner (SIRO).

## 5. HMICFRS UPDATE AND ACTION TRACKER

Joint Audit Committee noted the update provided within the paper that the PEEL 2024 inspection has now taken place. Much work has gone into preparing for this inspection and have not yet received any feedback.

Formal de-brief will be held on 5 August 2024 but no gradings given at this meeting. Gradings will be provided on 19 August with receipt of the pre-publication report in September. Force will be able to check and question/challenge any decisions, with full publication in November.

Chief Superintendent Corporate Services to update Joint Audit Committee at September meeting on lessons learnt from the PEEL Inspection. More detail will be provided in the November meeting.

Action 5	Chief Superintendent Corporate Service to update Joint Audit Committee members of lessons learnt from PEEL inspection at next meeting.
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Three other Inspections have been undertaken/expected:

- Organised immigration crime – thematic inspection and report expected in the autumn with good practice highlighted.
- Child Protection inspection – no date given yet but expected in not-too-distant future.
- Serious and Organised Crime – highlighted areas where improvements were required and action plan now in place. HMIC returning in November to inspect progress.

## 6. INTERNAL AUDIT

### a. INTERNAL AUDIT SICA 23-24

Joint Audit Committee noted the update provided within the paper which provides an update on progress made against the 2023-24 Annual Plan as of 5 July 2024.

All audit reports for 2023/24 have now been completed and annual report produced and shared with officers.

Joint Audit member noted that the report refers to Dyfed Powys Police in paragraph 7 and questioned if the table related to North Wales or Dyfed Powys.

Internal audit confirmed that the table related to North Wales Police and that the mention of Dyfed Powys Police was a typing error.

Joint Audit member questioned why the Data Protection collaborative report took such a long time to complete.

Internal audit explained that this was because Gwent had gone through a few changes in terms of audit lead contact but that a new officer has now been identified and work is moving forward.

### b. DRAFT INTERNAL AUDIT PLAN 2024/25

The Annual Audit Plan is now in place with most reviews scheduled with most having a starting date in place to undertake the review.

Joint Audit Members questioned:

- ICT data assurance from 2023/24– why deferred. Force noted that because of ICO review and now in the 2024/25 plan.
- ICT infrastructure review – to enable the embedding of the transition process with CGI this was deferred to 2024/25.
- Budget Control – General ledger, are these reviews held yearly – as substantial assurance received on general ledger and most of the financial audits, these are now held every other year to enable other audits to take place where more risk has been identified.

Director of Finance and Resources reported that there are 32 audit days allocated to technology, infrastructure, and information management during 2024/25 and hope that this will be able to provide members with assurance.

c. INTERNAL AUDIT OVERVIEW – MANAGEMENT REPORT

Joint Audit Committee noted the paper which provides an overview of internal controls activity within North Wales Police.

Budget Officer noted that the date on the Health and Safety Management report had not been updated deliberately as difficult to decide when this action had been completed. Further internal audit inspection has taken place and will decide after receiving their report whether this action can be closed. Update will be provided within the September paper to Joint Audit Committee.

Joint Audit member questioned the length of time it takes to complete actions as length of time between when actions initiated and concluded can be lengthy. Is this an issue or do more realistic plans need to be put in place.

Director of Finance and Resources reported that the closure of the actions is only a small part of the actions taken and much work is undertaken to move these matters forward. Certain areas do struggle but everyone tries to undertake the work in a timely manner.

It was noted that the Fleet Management audit recommendation had been delayed but there was no explanation or clear rational as to why.

Budgets Officer reported that a new system is in place and resources have been placed into getting the new system up and running and will investigate the matter further and update at next meeting.

Action 6c	Budgets Officer to investigate why no explanation or clear rational as to why the Fleet Management audit actions had been delayed and provide update at next JAC meeting.
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Joint Audit member noted that a new procurement act will soon be implemented and questioned whether there will be any impact on social value or the social value charter.

Chief Finance Officer noted that the new rules will impact on the Social Value Policy and that this document has recently been updated and will be published on the Commissioner’s website

once translated. Work is also being undertaken with the Procurement Department to make sure that their social value checks incorporate the new rules.

## 7. RISK UPDATE

Joint Audit Committee noted the update provided within the Risk Update paper as of 3 July 2024.

Head of Business Intelligence reported that a national conference was recently held and will be looking at learning from others around digitising the risk process and looking in earnest at making the Forces processes more effective and using technology available.

Joint Audit member questioned if GoSafe is on all the Welsh Forces risk register as understand that this is a national programme.

Director of Finance and Resources stated that the GoSafe risk should be on all risk registers subject to their local policies as it is a national programme. Head of Business Intelligence noted that this could be raised at the next all Wales risk leads meeting.

Action 7a	Risk and Business Continuity Lead to enquire if GoSafe is noted as a risk on all Welsh forces risk registers at next all-Wales meeting.
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Joint Audit members questioned the number of redacted risks and asked whether the Force are sure that all need to be redacted or are being over cautious.

Head of Business Intelligence stated that it would be useful to review and asked whether JAC Risk Lead could review with the Force at their next catch-up meeting.

Action 7b	JAC Risk Lead to review redacted risks at next catch-up meeting with the Force.
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## 8. WORK PROGRAMME FOR 2024/25

Joint Audit Committee noted the updated work programme presented by the Chief Finance Officer. The work programme was updated throughout the meeting with members comments.

Joint Audit member asked if the following could be added to the work programme:

- cultural audit including the action plan.
- NEP update to include data management.
- Capital Strategy – to focus on underspend.

Audit Wales also stated that their timetable for completion of the audit in 2024/25 and 2025/26 would be:

- 2024/25 – 30 October 2025
- 2025/26 – 30 September 2026

It was confirmed that the scheduled meeting dates for 2025 correspond with the dates noted.

## 9. **AUDIT WALES PLAN**

Joint Audit Committee noted the paper tabled by Audit Wales.

Audit Wales noted that they are meeting regularly with the Finance Team and the audit is progressing well.

Joint Audit member questioned why some questions are asked as not relevant to the public sector.

Audit Wales noted that they must ask/review certain areas and that the same rules apply to the police force as to local authorities.

It was noted that the Annual Governance Statement should be added to the list of documents which provide assurance to the Joint Audit Committee that the relevant laws and regulations have been complied with.

Joint Audit member stated that the plan does not address capacity of Audit Wales to undertake the relevant work and questioned why Audit Wales fees had risen by 6.4% while the CPI running at 2%.

Audit Wales stated that the necessary staff were in place to complete the audit work by August as per timetable. Audit Wales reported that the increase was due to inflation and had already consulted on the proposed increase which was agreed at the Welsh Governments Finance Committee and is an across-the-board increase. It was noted that Audit Wales are not allowed to make a profit and if monies are not spent, they will refund.

## 10. **TREASURY MANAGEMNT PERFORMANCE**

Joint Audit Committee members noted the content of the Audit Plan for 2024.

Financial Control Accountant stated that it was a requirement to prepare this report for the Police and Crime Commissioner and that it is presented to the Joint Audit Committee for their information and comments.

It was noted that there were no breaches, no additional borrowing in 2023/24 and investments performed well with over £2.4m received in interest. It was also noted that the liability benchmark does not show that any borrowing will be necessary in the next few years.

Joint Audit member questioned the liability benchmark as adds complexity to an already complex subject and believes that a comment under the table on page 154 of the papers explaining that in future years there is a potential for the organisation to be exposed to interest risk would be beneficial.

It was also noted that an explanation would be beneficial under Table 2 on page 149 as difficult to understand and needed clarity.

Financial Control Accountant to include quotes under both tables to explain the data within the tables.



Action 10	Financial Control Accountant to provide quotes under tables to further explain data within.
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**11. LEGAL REPORT**

Joint Audit Committee noted the paper which provides an overview of legal activity undertaken within the Force in the last six months.

Force Solicitor noted that the department was currently advertising for a new Legal Advisor to deal with the civil claims and employment cases. Cover is being provided by the Force Solicitor and the outsourcing of some litigated claims.

Joint Audit member questioned the process of approving waivers to standing orders and if all requests were sent through the Legal Department and if the Procurement Department were also involved.

Force Solicitor explained that both the Procurement Department and Legal Department are involved in this process and that as Force Solicitor is copied into all requests sent to the Commissioner’s Office. All waivers to standing order are sent via the Commissioner’s office for their approval and usually are aware at an early stage that this will be required ie. only one provider or continuation of existing contract.

Discussion took place regarding the tendering process for kennelling of seized dogs. Further information will be provided to Joint Audit Committee as the tender progresses.

Joint Audit member noted that 25% of public liability claims are noted against “other” category and asked if this could be broken down further as seems to be a catch-all.

Force Solicitor reported that he will look and try and bring more detail into this category and reflect in future Joint Audit Committee papers.

Action 11a	Force Solicitor to clarify what public liability claims are included within the “other” category and include within the next paper to Joint Audit Committee.
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Joint Audit member noted that the Legal Report would benefit from a management summary to highlight any trends and any points of note as difficult to fully identify any issues raised at present as presented as lists and not processes.

Force Solicitor will provide a management summary at the beginning of future papers to Joint Audit Committee.

Action 11b	Force Solicitor to provide management summary highlighting points of note and any issues raised at beginning of future Joint Audit Committee papers and link to policy.
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**12. GOVERNANCE UPDATE**

Joint Audit Committee noted the work undertaken by the Joint Governance Board and the input provided by the Assurance Board.

**13. RISK STRATEGY AND RISK APPETITE STATEMENT – ANNUAL REVIEW**

Joint Audit Committee noted the paper which provided an update on the Force Risk Appetite Statement for 2024/25.

Head of Business Intelligence noted that there are no changes to the practice guide from last year, but the risk appetite has been reviewed and presented to the Force Senior Management Board for ratification.

Joint Audit Committee member asked if there was a need to widen the risk appetite for technology as the risk appetite only refers to specific areas and not all ICT/technology risks are captured.

Head of Business Intelligence stated that this is how the document has been laid out. The annual risk review papers will be presented to the Senior Management Board at the end of August, and this will provide an opportunity for further discussion.

Director of Finance & Resources stated that the risk appetites listed were not exhaustive and that decision making for technology would draw on other risk appetites such as Business Change.

Director of Finance and Resources, Head of Business Intelligence to consider and further discuss with JAC Risk and IT Lead at an off-line meeting the risk appetite in terms of technology.

Action 13	Director of Finance and Resources, Head of Business Intelligence and JAC Risk and IT Lead to meet to consider risk appetite in terms of technology.
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**14. JOINT AUDIT COMMITTEE SELF-ASSESSMENT AND ANNUAL REPORT**

The Annual Report and Self-assessment document presented was noted.

**14. ANY OTHER BUSINESS**

There was no other business raised.

The next Joint Audit Committee meeting will be held on 26 September 2024 at 1pm as a hybrid meeting: in person at Conference Room 1, FHQ Colwyn Bay and over Microsoft Teams.

**JOINT AUDIT COMMITTEE  
ACTION LOG from 28/03/2024**

	Open
	Closed
	Deferred

**New/Open actions from March 2021**

MEETING DATE	MINUTE NO.	ACTION DESCRIPTION	REQUIRED BY (DATE)	PERSON RESPONSIBLE	UPDATE
28/03/2023	8	<b>Risk Update</b> - Head of Business Intelligence to share report on risk management review with members outside of the meeting.	Immediate	Head of Business Intelligence	<p><b>28/06/23</b> Terms of Reference for the Risk Management Review to be undertaken by Gallagher Bassett was shared with JAC via their Google Drive on 07/03/23. Force have changed insurers since to Maven and therefore this review will no longer be carried out by Gallagher Bassett.</p> <p><b>28/09/2023</b> it was agreed with South Wales Police to undertake the Peer Review on 17th November 2023.</p> <p><b>18/10/23</b> NWP informed SWP Risk Manager was on Long Term Sick so review postponed.</p> <p><b>21/02/24</b> Peer Reviews across all Forces raised by Neil Ackers at the NPCC National Risk Management Forum (NRMF). There was consensus that this is a good idea and has been taken forward by Lee Milton, NPCC Strategic Planning and Risk Manager. The following proposal was included in Lee's report to the National Police Chief's Council for their meeting on 20<sup>th</sup> March 2024.</p> <p><i>"As part of wider risk management discussions through the NRMF, the SPP team have also proposed to test support for a 'peer assessment' process. Forces have identified a gap in available peer assessment for risk management, and the potential benefit of a peer support network to undertake some review and baselining of policing's approach. 5.3.2. Following a request from North Wales Police, a test process has been proposed and will be discussed at the NRMF in March. A terms of reference will be drafted and shared for agreement with forces before work is</i></p>

MEETING DATE	MINUTE NO.	ACTION DESCRIPTION	REQUIRED BY (DATE)	PERSON RESPONSIBLE	UPDATE
					<p>undertaken. The NRMF is engaged with peer assessment colleagues and the College of Policing to explore proportionate and appropriate support that can be provided to colleagues for agreement with CCC”.</p> <p><b>19/06/24</b> Peer Review was an agenda item at the National Police Chief’s Council (NPCC) Risk Management Forum in Greater Manchester Police Headquarters. Due to the number of ongoing workstreams, the Forum have agreed to progress these in order of priority and therefore the Peer Review of North Wales will not be undertaken until 2025. Work will however continue to agree a Terms of Reference and involve the College of Policing and National Police Chief’s Council.</p> <p>09/09/2024 – Recommend action is closed pending progression of Peer Review Work on a national basis in 2025.</p>
30/07/2024	4	<b>Organisational Update</b> - Director of Finance and Resources to share Information Commissioner’s Officer report on personal data breaches process with Joint Audit Committee members.	ASAP	Director of Finance and Resources	DFR to share relevant ICO content with JAC via Google Drive. <b>Recommend action closed</b>
30/07/2024	5	<b>HMICFRS Update and Action Tracker</b> - Chief Superintendent Corporate Service to update Joint Audit Committee members of lessons learnt from PEEL inspection at next meeting.	November Meeting	Chief Superintendent Corporate Services	09/09/24 – Force unlikely to be in a position to share any PEEL lessons learnt until they receive the final report in November. Members will be updated once in receipt of the final PEEL inspection report.
30/07/2024	6c	<b>Internal Audit Overview – Management Report</b> - Budgets Officer to investigate why no explanation or clear rational as to why the Fleet Management audit actions had been delayed and provide update at next JAC meeting.	September Meeting	Budgets Officer	15/08/24 – FBO contacted Fleet Manager; the delay in updating policy is due to capacity. He has started work on the policy but it will not be completed until end of September. Update to be included in September JAC report. <b>Recommend action closed.</b>
30/07/2024	7a	<b>Risk Update</b> - Risk and Business Continuity Lead to enquire if GoSafe is noted as a risk on all Welsh forces risk registers at next all-Wales meeting.	September meeting	Risk and Business Continuity Lead	06/09/2024 – Enquiries have been made with the other Welsh Forces as requested and the following responses received: Dyfed Powys Police – Yes Gwent Police – Yes South Wales Police – Recorded on an Issues Register. <b>Recommend action closed.</b>
30/07/2024	7b	<b>Risk Update</b> - JAC Risk Lead to review redacted risks at next catch-up meeting with the Force.	Ahead of September meeting	JAC Risk Lead and NWP Officers	06/09/24 - due to unavailability of JAC Risk Lead, this meeting will take place upon his return.

MEETING DATE	MINUTE NO.	ACTION DESCRIPTION	REQUIRED BY (DATE)	PERSON RESPONSIBLE	UPDATE
					<p>Each Redacted Risk is however provided a rationale of why the risk is to be listed in Closed Session and this is documented on the Risk Template, for example, Risk 118 Command and Control Replacement.</p> <div style="border: 1px solid black; padding: 5px; margin: 5px 0;"> <p><b>Report to JAC in Open or Closed Session</b></p> <p><b>Closed Session</b></p> <p><u>Detail Rationale if Closed Session below</u></p> <p>This Risk is operationally sensitive in that if heard in Open Session may highlight NWP's vulnerability for a Cyber attack</p> </div> <p>During the Risk Scoring exercise, the Risk Lead is informed the risk will either be presented at JAC Open or Closed Sessions. The Risk Lead selects which they feel is appropriate and confirms this decision in an email which is saved in the embedded word documented on the risk.</p> <p>Risk and Business Continuity Lead will however contact all Risk Leads of those risks which are Redacted for Closed Session to review their initial decision and change any which they feel can be heard in Open Session.</p>
30/07/2024	10	<b>Treasury Management Performance</b> - Financial Control Accountant to provide quotes under tables to further explain data within.	ASAP	Financial Control Accountant	13.09.24 – Description added in to aid the interpretation of the chart. Updated report shared with audit committee members. Suggest action closed.
30/07/2024	11a	<b>Legal Report</b> - Force Solicitor to clarify what public liability claims are included within the “other” category and include within the next paper to Joint Audit Committee.	December meeting	Force Solicitor	
30/07/2024	11b	<b>Legal Report</b> - Force Solicitor to provide management summary highlighting points of note and any issues raised at beginning of future Joint Audit Committee papers and link to policy.	December meeting	Force Solicitor	
30/07/2024	13	<b>Risk Strategy and Risk Appetite Statement – Annual Review</b> - Director of Finance and Resources, Head of Business Intelligence and JAC Risk and IT Lead to meet to consider risk appetite in terms of technology.	Ahead of September meeting	Director of Finance and Resources, Head of Business Intelligence and JAC Risk and IT Lead	06/09/2024 – Meeting originally scheduled for 30 August 2024 but due to unavailability of JAC members, meeting has been rearranged to 11 September 2024. 13/09/24: Meeting to be rescheduled to after JAC meeting due to lack of availability of all attendees. DFR PA is in the process of looking at suitable dates.

MEETING DATE	MINUTE NO.	ACTION DESCRIPTION	REQUIRED BY (DATE)	PERSON RESPONSIBLE	UPDATE
28/09/2023	13	<b>JAC Briefing – Collaboration Governance Arrangements -</b> Corporate Head of Change and JAC IT lead to discuss most high profile risk collaboration areas at monthly meetings.	Ahead of December meeting	Corporate Head of Change & JAC IT Lead	22/11/2023 – As list of >100 collaboration sit outside Corporate Head of Change area of work and monthly digital meetings would not have capacity to take on broader agenda. Corporate Head of Change compiling list of all collaborations and sourcing dates of governance reviews conducted and once finalised will share with JAC to provide further assurance. 07/12/2023 – JAC member asked where this area of work is governed within the Force. Chief Superintendent Corporate Service work needs to be undertaken and Corporate Head of Change pulling a list together of collaborations being undertaken and how they are currently governed. 06/03/2024 - Register of collaboration created and saved on Google Drive. Additionally, Internal audit are currently carrying out an audit on collaboration. 4/07/2024 – Internal Audit have conducted a collaboration audit and noted substantial assurance. Additionally the recommendation in the audit findings is in the process of being implemented. <b>Suggest action closed.</b>
07/12/2023	4	<b>Organisational Update -</b> Chief Executive to circulate answer to remaining question arising from the organisational update to JAC members outside of the meeting.	Immediate	Chief Executive	11/12/2023 – Update provided to JAC Members. <b>Suggest action closed.</b>
28/03/2024	6a	<b>Internal Audit -</b> Joint Audit Committee members to send any comments on the forward work programme to staff ahead of the July meeting.	Before next Meeting	Joint Audit Committee	No comments received. <b>Suggest action closed.</b>
28/03/2024	7a	<b>Risk Update -</b> Chief Superintendent Corporate Services to look at Risk 81 and 119 in closer detail and update the Committee at the July meeting.	Ahead of July Meeting	Chief Superintendent Corporate Services	<b>20/06/24 Update by Risk and Business Continuity Lead</b> Risks 81 and 119 have now been updated by the Risk Leads and a request has been made to the Finance and Resources SMT to authorise the closure of both risks and removal from the Force Risk Register. <b>Suggest action closed.</b>

MEETING DATE	MINUTE NO.	ACTION DESCRIPTION		REQUIRED BY (DATE)	PERSON RESPONSIBLE	UPDATE
28/03/2024	7b	<b>Risk Update</b> - Chief Superintendent Corporate Services to ask Risk Lead to update table 1 within the document to ensure figures add up correctly.	Ahead of July meeting	Chief Superintendent Corporate Services		14/06/24 Update by Risk and Business Continuity Lead - Apologies, this was a missed 'typo' and the correct figure should have been 26 NWP risks currently recorded on the Force Risk Register and not 27 as stated in the last JAC reports. <b>Suggest action closed.</b>
28/03/2024	9	<b>Audit Wales</b> - Chief Finance Officer to raised questions asked of Audit Wales at meeting when them and ask that response received by end April.	Immediate	Chief Finance Officer		Questions asked of Audit Wales and answers shared with Joint Audit Committee 02/05/2024. <b>Suggest action closed.</b>
28/03/2024	10	<b>Capital Strategy (including the Treasury Management Strategy)</b> - Head of Finance to share slides presented at meeting with Joint Audit members	Immediate	Head of Finance		Shared with JAC members 4/07/2024. <b>Suggest action closed.</b>

Abbreviation Key	
<b>CC</b>	Chief Constable
<b>CEO</b>	Chief Executive Officer (OPCC)
<b>CFO</b>	Chief Finance Officer (OPCC)
<b>DFR</b>	Director of Finance and Resources (NWP)
<b>HMICFRS</b>	Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services
<b>JAC</b>	Joint Audit Committee
<b>NWP</b>	North Wales Police
<b>OPCC</b>	Office of the Police and Crime Commissioner
<b>PA</b>	Personal Assistant to CEO and CFO
<b>PCC</b>	Police and Crime Commissioner
<b>PSD</b>	Professional Standards Department (NWP)
<b>TIAA</b>	Internal Audit
<b>WAO</b>	Wales Audit Office



**Joint Audit Committee**

**Meeting Date:**

<b>Title:</b>	OPCC Organisational Update
<b>Author:</b>	Stephen Hughes
<b>Purpose of the report:</b>	To update JAC members on key OPCC activity since the last meeting
<b>Level of Assurance:</b>	High. Scrutiny meetings take place quarterly and report into the OPCC Management Board for PCC oversight. Areas of concern, when required, are escalated to the Strategic Executive Board for further scrutiny.
<b>The report is provided to JAC for: (tick one)</b>	<input type="checkbox"/> Decision <input type="checkbox"/> Discussion <input type="checkbox"/> Assurance <input checked="" type="checkbox"/> Information
<b>Summary / Key Points:</b>	Summary of the scrutiny activity undertaken by the OPCC.
<b>Recommendations:</b>	That JAC members note the report
<b>Risk register impact:</b>	None
<b>Assurance implications:</b>	None
<b>Equality Impact:</b>	None
<b>Information exempt from disclosure:</b>	None



	<p><b>Joint Audit Committee 25<sup>th</sup> September 2024</b></p> <p><b>OPCC Organisational Update</b></p>
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## Updates

The previous meeting of the Joint Audit Committee (JAC) was held on 30<sup>th</sup> July 2024. This report will provide an update to the JAC on OPCC matters of note since then with particular focus on the scrutiny activities undertaken by the OPCC.

## People and Organisational Development Scrutiny Board

The Office of the Police and Crime Commissioner will shortly introduce the People and Organisational (POD) Scrutiny Board which will be the scrutiny forum for functions carried out by the Force's POD Department. The POD Scrutiny Board will:

Monitor and scrutinise the manner in which POD responsibilities are dealt with by North Wales Police with a view to satisfying the Police and Crime Commissioner that the arrangements and processes in place are appropriate and effective.

Scrutiny is informed by an analysis report prepared by the Head of People and Organisational Development specifically for the quarterly meeting. The content will be structured around the People Strategy and Delivery Plan (drawing on the information generated through the associated internal governance forums). For example

- The OPCC will monitor trends in the topics selected for scrutiny and will also monitor the Force on the action it takes where problems are identified.
- The OPCC will consider POD policies due for review in the coming quarter and will also receive updates on POD policies that have been through review in the previous quarter.
- The OPCC will monitor and scrutinise the Force's performance on implementing recommendations from HMIC inspections and/or others in relation to HR matters.
- The OPCC will consider equality, diversity and human rights matters which are relevant to the POD business area.

## **Checkpoint Scrutiny Board**

The Deputy PCC recently chaired the Checkpoint Scrutiny Board. The purpose of the Checkpoint Cymru Scrutiny Board is to provide the Police and Crime Commissioner (PCC) with reassurance and oversight of the delivery of the Checkpoint Cymru Diversion Scheme. The Board enables appropriate scrutiny of this commissioned service, to support the PCC in the delivery of the Police and Crime Plan in a number of ways, namely:

- Addressing the root causes of offending and provide support to rehabilitate offenders
- Diverting young people away from the criminal justice system
- Improve the effectiveness of support schemes for females, supporting the Women's Justice Strategy
- Assurance the budget for Checkpoint Cymru is being used in the most efficient and effective way

The Scheme was originally developed and implemented by the Office of the Police and Crime Commissioner (OPCC); therefore, its continued implementation is important to the PCC. Furthermore, the Board will allow support and assistance to be provided by the PCC to the Checkpoint team to further embed its work within North Wales Police.

### **Board Objectives**

- To have oversight of the Checkpoint Cymru Scheme
- To ensure services are being delivered effectively and efficiently
- To receive reassurance the Scheme aligns with the Priorities of the Police and Crime Plan
- To support the work of the Checkpoint Manager
- To support the Prevention Hub Superintendent in embedding the scheme and its ethos into North Wales Police core business
- To ensure the Scheme delivers value for money as a commissioned service of the OPCC

## **Out of Court Disposal Scrutiny Panel**

The scrutiny panel is intended to bring greater transparency and consistency in the use of Out of Court Disposals (OoCD), so as to increase public understanding, confidence and trust.

The objective of the panel is to independently assess, scrutinise and quality control the use of OoCD, in North Wales Police. The panel can make recommendations, feedback on individual cases to officers, communicate findings, promote best practice and identify potential policy development or training needs for consideration by the force or other agency involved. The panel cannot change the original outcome of the case.

## OFFICIAL

The panel meets quarterly with a quorum of five, which should include the Chair, North Wales Police, Victim Support and a Magistrate. After discussion, each case will normally fall into one of four categories –

1. Appropriate use and consistent with policy/guidance
2. Appropriate use with panel members reservations
3. Inappropriate use or inconsistent with policy/guidance
4. Panel fails to reach a conclusion

Feedback is then provided back to North Wales Police through a report to Justice Services.

### **Professional Standards Scrutiny Board**

The Office of the Police and Crime Commissioner Professional Standards Scrutiny Board is the scrutiny forum for all functions carried out by the Force's Professional Standards Department. The Professional Standards Scrutiny Board monitors and scrutinises the manner in which complaints and misconduct allegations are dealt with by North Wales Police with a view to satisfying itself that the arrangements and processes in place are appropriate and effective. Scrutiny is informed by an analysis report prepared by the Professional Standards Department specifically for the quarterly meeting. This includes:

- A Force wide oversight of complaint, misconduct and performance issues
- Performance in the timeliness of complaints handling
- Anti-corruption data (to include data on reportable associations)
- Suspensions/restrictions
- The number of written communications issued by the Force under regulation 13 of the Police (Complaints and Misconduct) Regulations 2020 where an investigation has not been completed within a "relevant period"
- Specific cases of interest
- Matters referred to IOPC year to date
- Further information which meets the requirements of The Elected Local Policing Bodies (Specified Information) (Amendment) Order 2021 (**Appendix A**).

<b>Report Author:</b>	<b>Stephen Hughes, Chief Executive</b>
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**Joint Audit Committee**

**Meeting Date: 25<sup>th</sup> September 2024**

<b>Title:</b>	Organisational Update – North Wales Police
<b>Author:</b>	Seb Phillips, Director of Finance & Resources
<b>Purpose of the report:</b>	To provide the Joint Audit Committee with an overview of key organisational events and issues taking place since the last JAC meeting.
<b>Level of Assurance:</b>	
<b>The report is provided to JAC for: (tick one)</b>	<input type="checkbox"/> Decision <input type="checkbox"/> Discussion <input checked="" type="checkbox"/> Assurance <input checked="" type="checkbox"/> Information
<b>Summary / Key Points:</b>	<p>This report provides a high-level Organisational Update for North Wales Police highlighting key issues and events affecting the organisation for the period from 06.07.24 to 04.09.24.</p> <p>The issues and events are analysed between four categories of Finance; People, Learning &amp; Innovation; Operational and Public / Community.</p> <p>The report is provided to offer the Audit Committee an insight into the broad range of activity being undertaken in NWP and to provide assurance that certain important matters that the Audit Committee is already sighted on continues to progress.</p> <p>There are no decisions or responses required from the committee in relation to the contents.</p>
<b>Recommendations:</b>	For members of the Joint Audit Committee to note the Director of Finance & Resources' report.
<b>Risk register impact:</b>	None.
<b>Assurance implications:</b>	None.
<b>Equality Impact:</b>	None.
<b>Information exempt from disclosure:</b>	None - All content in <b>Open</b> Session

# JOINT AUDIT COMMITTEE

25<sup>th</sup> September 2024

## Organisational Update

Report by Director of Finance & Resources, North Wales Police

### 1. Introduction

This report provides a high-level Organisational Update for North Wales Police, highlighting key issues and events affecting the organisation for the period from 06.07.24 to 04.09.24.

The issues and events are analysed between the four categories of Finance; People, Learning & Innovation; Operational, and Public / Community.

### 2. Finance

- 2.1 Full year revenue projections have been produced at the end of Q1 with the full year revenue figures projecting a £0.452m underspend, so materially on budget. Confirmation is awaited on a number of additional grants.
- 2.2 The Government announced a 4.75% pay award for police officers in July 2024. It is anticipated that the pay award will be accompanied by an element of additional funding contribution from the Government to help finance it, with any further funding implications being managed through the forthcoming organisational planning process. The police officer pay award is effective from 01.09.24. A decision is awaited from the Police Staff Council on a pay award for police staff and clarity is also awaited on how any associated funding will be allocated.
- 2.3 The capital budget for 2024-25 has been revised from the original budget of £18.119m to £18.913m. It is forecast that not all of the £18.9m will be spent in 2024-25. Re-assessment and re-phasing of the programme is ongoing but the initial corporate finance assessment is that 31% of projects are expected to be delivered this FY, 6% are already confirmed as not being delivered this FY and 63% are still TBC.
- 2.4 Planning for 2024-25 budgets is underway. The remaining budgets will be reviewed by the Service and Functional Leads using a similar governance process to the one adopted over the past 3 years.
- 2.5 New Procurement legislation comes into Force from 23<sup>rd</sup> October 2024 with the Procurement team working through the implications in preparation.
- 2.6 The Chancellor has announced that the Autumn budget will take place on 30<sup>th</sup> October where difficult decisions are anticipated. Alongside this, work has been taking place nationally to inform a Spending Review (with the last Comprehensive Spending Review taking place in 2021).

### **3. People, Learning & Innovation**

- 3.1 The Force remains on track to achieve its 2024-25 Uplift headcount target and also to achieve its additional temporary uplift target of a further 10 (taking it to 1737 Police Officers) at the assessment date of 30 Sept 2024. A further PCSO intake of 16 PCSOs also took place in July24 as NWP seeks to maintain its strength in this area.
- 3.2 The NWP Workforce Representation Strategy, delivery plan and delivery model have been reviewed having explored good practice elsewhere. The focus will now switch to delivery of the updated strategy.
- 3.3 Work following the Cultural audit continues to progress with the 'Inclusive leadership programme' concluding in July24 and a Neurodiversity survey, being launched in August24. NWP is believed to be the first police force to undertake such a survey on this scale. The resulting insight should enable targeted support to be provided where it is most needed as we strive to create a more inclusive culture.
- 3.4 The Force restated its commitment to the Welsh language, applying the principles associated with it being a Protected Characteristic and ensuring we can engage internally and externally with in the appropriate way. Work is underway to look at our recruitment and promotion processes in conjunction with the College of Policing in this regard.
- 3.5 Work continues around talent mapping. A Talent Support and Professional Development survey has been sent to all employees at the rank of chief inspector and above and police staff equivalent which closed on 3<sup>rd</sup> September 2024. The results will be used to assist in identifying talent pathways.
- 3.6 Approximately 650 NWP officers are affected by the McCloud Pension Remedy. Annual Benefit Statement-Remedial Service Statement (ABS-RSS) were issued to most of these officers at the end of August24 with a number still to be issued. Those affected are being supported with further information available via the Pensions Hub, National NPCC Team and XPS, our Pension Administrator.
- 3.7 Work continues on the Force change programmes with the embedding of Mobile App usage and the ongoing work around the Command & Control system upgrade priority areas of focus.

### **4. Operational**

- 4.1 The force continues to feature well in recent Crime Survey England & Wales data being published. Highlights are provided below:
  - 1<sup>st</sup> for treating people fairly
  - 2<sup>nd</sup> for treating people with respect
  - 4<sup>th</sup> for having overall confidence
  - 2<sup>nd</sup> for risk of household crime
  - 3<sup>rd</sup> largest reduction in total recorded crime at 12.9% compared with a national decrease of 3.2%
  - 7<sup>th</sup> largest reduction in Violence against the Person offences, with reductions seen across Violence with and without injury and Stalking and Harassment
  - 2<sup>nd</sup> largest annual reduction in Sexual Offences
  - 2<sup>nd</sup> lowest Robbery

- 3<sup>rd</sup> lowest for Vehicle Offences
  - 8<sup>th</sup> lowest rate of Residential Burglary nationally and a better than average reduction year on year
- 4.2 HMICFRS conducted a PEEL (Police Effectiveness, Efficiency and Legitimacy) inspection concluding its fieldwork during July and Aug24. A debrief was held on 5<sup>th</sup> August 2024 and the Force awaits the formal report.
- 4.3 The Force has acquired 30 additional defibrillators through partnership with 'Save a Life Cymru' and they are now in all Roads Crime Unit (RCU) vehicles, Armed Response Vehicles (ARVs) and Rural Crime team vehicles. A number of defibrillators have also been installed in police stations.
- 4.4 There has been some delay to the roll-out of new vehicles following an issue with the supplier who provides the cells that feature in the response vehicles. An alternative supplier has been identified, training received, and a priority order has been established to ensure the vehicles are rolled out to the areas most in need as soon as they can be.
- 4.5 Caernarfon police station was officially re-opened by the Police & Crime Commissioner and Chief Constable in July24 following modernisation works.
- 4.6 Op Early Dawn was launched at the end of August in response to the announcement that prison estates across the country are full. Four prisoners came to police cells in North Wales and were quickly moved once arrangements were made with the courts and the prison escort service. Preparations are underway for the potential release of further prisoners in future.
- 4.7 During the period, NWP provided mutual aid to other forces, in particular providing support to Merseyside and Northumbria during the national public disorder following the tragic incidents that took place in Southport. Whilst disorder was not seen in North Wales there have been a number of convictions including inciting racial hatred online.
- 4.8 Performance monitoring at Force and OPCC level continues with key performance updates from the Strategic Executive Board held on 15<sup>th</sup> July 2024 including deep dives into the areas of Visibility & Engagement and Neighbourhood Policing.

## **5. Public / Community**

- 5.1 Since the launch of Phase 1 of 'Right Care Right Person' 6 months ago, 1,800 fewer incidents were attended by officers because it was more appropriate for other agencies to manage the incidents. Benefits realisation work assessing the impact of this is ongoing.
- 5.2 The Force is currently working through the replacement of its copper line infrastructure. This is expected to have an impact on its 999 call response times once fully implemented.

## **6. Recommendations**

For members of the Joint Audit Committee to note the Director of Finance & Resources' report.



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OFFICE OF THE POLICE & CRIME  
COMMISSIONER NORTH WALES

### Joint Audit Committee

Meeting Date: 26<sup>th</sup> September 2024

<b>Title:</b>	HMICFRS Report
<b>Author:</b>	Sarah O'Hara, Audit and Inspection
<b>Purpose of the report:</b>	To provide committee members with an overview of the PEEL ( <i>Police Effectiveness, Efficiency &amp; Legitimacy</i> ) 2024 inspection interim findings and future planned inspections.
<b>Level of Assurance:</b>	High
<b>The report is provided to JAC for: (tick one)</b>	<input type="checkbox"/> Decision <input type="checkbox"/> Discussion <input checked="" type="checkbox"/> Assurance <input type="checkbox"/> Information
<b>Summary / Key Points:</b>	<ul style="list-style-type: none"> <li>The HMICFRS PEEL Inspection period has now concluded, with initial findings presented to Chief Officers on 5<sup>th</sup> August. Additional evidence has been provided post debrief to HMICFRS on the areas the force wished to offer further insight on.</li> <li>Gradings and identified areas for improvement will not be known until the draft PEEL report is shared with the force circa 30<sup>th</sup> September 2024. The force will then have a period of two weeks to respond to any inaccuracies as part of the pre-publication checks.</li> <li>The final report is anticipated to be published in November 2024.</li> <li>The report concluding the findings from the Organised Immigration Crime thematic inspection remains to be published.</li> <li>A revised framework and methodology has been published for forces to utilise for police integrity inspections and the national child protection inspections.</li> <li>The review of progress of the areas for improvement identified from against the Serious Organised Crime inspection is due in November 2024. A date is yet to be confirmed.</li> </ul>
<b>Recommendations:</b>	None.
<b>Risk register impact:</b>	None.
<b>Assurance implications:</b>	None.
<b>Equality Impact:</b>	None.
<b>Information exempt from disclosure:</b>	Initial PEEL Inspection findings; for force information only.





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Gogledd Cymru diogelach

**NORTH WALES POLICE**  
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## JOINT AUDIT COMMITTEE

**Date: 26<sup>th</sup> September 2024**

**Paper: HMICFRS Report**

**Author: Sarah O'Hara**



### 1. Purpose

To provide committee members with an overview of the PEEL (Police Effectiveness, Efficiency & Legitimacy) 2024 inspection interim findings and future planned inspections.

### 2. PEEL Inspections

HMICFRS have expressed thanks to the organisation for the engagement and hospitality received from officers and staff during this PEEL inspection process, which commenced in January 2024 and is now at the point of conclusion.

Inspection findings were presented by HMICFRS to Chief Officers on Monday 5<sup>th</sup> August. These initial findings were presented via PowerPoint with question area summaries highlighted via bullet points. Please note that no graded judgements or areas for improvement have been presented from the inspectorate at this stage, these will be reflected at the point of draft report and not before. Members should also take cognisance that this is an early de-brief and so whilst indicative of what may be expected in the final report, it is by no means a final draft and may be subject to change. A copy of this presentation has been appended to this report for your perusal.



NWP Debrief 2024  
for NWP.pptx

Whilst the majority of the initial findings HMICFRS presented were accepted, it was felt that some areas did not correctly reflect the force position. To support HMICFRS further understanding in these areas, a report was pulled together to provide HMICFRS with further explanation or evidence.

The force now awaits the draft version of the report to complete its pre-publication checks. This involves a review of the report and an opportunity to challenge any inaccuracies. The report is due to be received circa 30<sup>th</sup> September 2024, with a two-

week turnaround for a response. It is anticipated the report will be published in November 2024.

### 3. Other Inspections

- **Thematic Inspections:**
  - **Organised Immigration Crime:** North Wales Police was selected to participate in the thematic inspection into Organised Immigration Crime, which took place in May earlier this year. The report is due for publication in Autumn, but no dates have yet been presented, nor draft report to date.
  - No other inspections have been diarised; thematic inspections usually provide forces with six weeks' notice.
- **National Child Protection Inspections**
  - HMICFRS have refreshed their National Child Protection Inspection framework and methodology, which includes a decision to now grade forces in this area, which was previously narrative only. We are now looking to work with service leads to ensure that the force is prepared and equipped with the new inspection framework to conduct an early benchmarking exercise to understand our position. Further information on this inspection topic is available here: [National child protection inspection programme - framework - His Majesty's Inspectorate of Constabulary and Fire & Rescue Services \(justiceinspectorates.gov.uk\)](https://www.justiceinspectorates.gov.uk/national-child-protection-inspection-programme-framework-his-majestys-inspectorate-of-constabulary-and-fire-rescue-services/)
- **Police Integrity Inspections**
  - Whilst removed from the schedule of a forces' PEEL inspection, the integrity element is added to the report once published, similar to that of serious organised crime. The integrity element of the inspection considers professional standards, vetting and counter corruption arrangements within a force. No dates have been set for North Wales Police, but similarly to the above, we are now looking to work with service leads to ensure that the force is prepared and equipped with the new inspection framework to conduct an early benchmarking exercise to understand our position. Further information on this inspection topic is available here: [Police integrity inspection programme - methodology - His Majesty's Inspectorate of Constabulary and Fire & Rescue Services \(justiceinspectorates.gov.uk\)](https://www.justiceinspectorates.gov.uk/police-integrity-inspection-programme-methodology-his-majestys-inspectorate-of-constabulary-and-fire-rescue-services/)
- **Serious Organised Crime**
  - North Wales Police is due a review of progress made towards the areas for improvement in November 2024. The force is confident that the work taken place to date and ongoing will satisfy the inspectorate. The latest position is attached for information.



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## **Police and Crime Commissioner North Wales and Chief Constable North Wales Police**

Summary Internal Controls Assurance (SICA) Report

September 2024

Final

# Summary Internal Controls Assurance

## Introduction

1. This summary controls assurance report provides the Joint Audit Committee with an update on the emerging Governance, Risk and Internal Control related issues and the progress of our work at North Wales Police at 4<sup>th</sup> September 2024.

## TIAA Ltd becomes a Certified B Corporation

2. TIAA Ltd has achieved its certification as a B Corporation (or B Corp), joining a growing movement of companies that are reinventing business for the benefit of all people and our shared planet. Verified by B Lab, the not-for-profit behind the B Corp movement, the achievement demonstrates that TIAA Ltd meets high standards of social and environmental performance, transparency, and accountability alongside a commitment to goals beyond shareholder value.

The news comes as the ongoing climate crisis and widening social inequality continue to pose urgent challenges to our economy. B Corp Certification assesses the entirety of a business’ operations and currently covers five main impact areas: Governance, Workers, Community, Environment and Customers. The certification process is rigorous, with companies required to reach a score of 80 points in the B Impact Assessment while providing evidence of responsible practices relating to energy supplies, waste and water use, worker compensation, diversity, and corporate transparency. A business must also legally embed their commitment to purpose as well as profit in their company articles.

TIAA Ltd is now part of a growing community of over 8,000 businesses globally that have certified as B Corps. The B Corp community in the UK is one of the largest and fastest-growing in the world, with over 1,700 companies spanning a range of different industries and sizes. Names include The Guardian, Innocent Drinks, Patagonia, Tony’s Chocolonely, The Big Issue, Finisterre, Elemis, and Sipsmith Gin.

## Audits completed since the last SICA report to the Joint Audit Committee

3. The table below sets out details of audits finalised since the previous meeting of the Joint Audit Committee.

*Audits completed since previous SICA report*

Review	Evaluation	Key Dates			Number of Recommendations			
		Draft issued	Responses Received	Final issued	1	2	3	OEM

No reports have been finalised since the last SICA Report.

## Progress against the Annual Plan 2024/2025

4. Our progress against the Annual Plans for 2024/25 are set out in Appendix A.

## Changes to the Annual Plan for 2024/25

5. There is one change to the approved plan are detailed within the table below. The collaborative Connect Teams Channels audit has been cancelled by each force.

### Progress in actioning priority 1 recommendations

6. We have made no Priority 1 recommendations (i.e. fundamental control issue on which action should be taken immediately) since the previous SICA. The recommendation trackers are provided for the Committee.

### Root Cause Indicators

7. The Root Cause Indicators (RCI) have been developed by TIAA to provide a strategic rolling direction of travel governance, risk and control assessment for Police and Crime Commissioner North Wales and Chief Constable North Wales Police. Each recommendation made is analysed to establish the underlying cause of the issue giving rise to the recommendation (RCI). The analysis needs to be considered over a sustained period, rather than on an individual quarter basis. Percentages, rather than actual number of reviews/recommendations made permits more effective identification of the direction of travel. A downward arrow signifies a positive reduction in risk in relation to the specific RCI.

*RCI – Direction of Travel Assessment*

Root Cause Indicator	Qtr 1 (2023/24)	Qtr 2 (2023/24)	Qtr 3 (2023/24)	Qtr 4 (2023/24)	Qtr 1 (2024/25)	Medium term Direction of Travel	Audit Observation
<b>Directed</b>							
Governance Framework	-	-	11% (1)	33% (3)	-	↔	As no reports have been finalised no comparative data could be determined
Risk Mitigation	-	-	-	-	-	↔	As no reports have been finalised no comparative data could be determined
Control Compliance	84% (20)	-	78% (7)	56% (5)	-	↔	As no reports have been finalised no comparative data could be determined
<b>Delivery</b>							
Performance Monitoring	4% (1)	-			-	↔	As no reports have been finalised no comparative data could be determined
Sustainability	4% (1)	100% (1)			-	↔	As no reports have been finalised no comparative data could be determined
Resilience	8% (2)	-		11% (1)	-	↔	As no reports have been finalised no comparative data could be determined

### **Frauds/Irregularities**

8. We have not been advised of any frauds or irregularities in the period since the last SICA report was issued.

### **Other Matters**

9. We have issued a number of briefing notes and fraud digests, shown in Appendix B, since the previous SICA report.

### **Responsibility/Disclaimer**

10. This report has been prepared solely for management's use and must not be recited or referred to in whole or in part to third parties without our prior written consent. The matters raised in this report not necessarily a comprehensive statement of all the weaknesses that exist or all the improvements that might be made. No responsibility to any third party is accepted as the report has not been prepared, and is not intended, for any other purpose. TIAA neither owes nor accepts any duty of care to any other party who may receive this report and specifically disclaims any liability for loss, damage or expense of whatsoever nature, which is caused by their reliance on our report.

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## Progress against Annual Plan 2024-25

System	Planned Quarter	Current Status	Comments
<b>Collaborative – Pan Wales</b>			
Sustainability	1	Planned start date 10 <sup>th</sup> December 2024	Lead Force – Gwent Police – moved to late Q3 at the request of Dyfed-Powys Police
Connect Teams Channels	2		Audit Cancelled by each force
Uniform Stores	2	Fieldwork completed	Lead Force – Gwent Police
Health and Safety	2	Fieldwork completed	Lead Force – North Wales Police
Payroll	4	Planned start date 21 <sup>st</sup> November 2024	Lead Force – Dyfed-Powys Police
<b>North Wales Only</b>			
Western Area – Command Unit	1	Fieldwork completed	
Business Continuity Planning	1	Draft report issued 3 <sup>rd</sup> September 2024	
Performance Management	2	Fieldwork completed	
ICT Infrastructure Review	2	TBC – awaiting vetting outcomes	
Commissioners Grants	2	Draft report issued 4 <sup>th</sup> September 2024	
Fleet Management – Repairs	2	Suggested start date 17 <sup>th</sup> February 2025	Moved to Q4 at the request of Management due to new system being implemented
ICT Data Assurance	2	TBC – awaiting vetting outcomes	
Risk Management – Mitigating Controls	2	Planned start date 23 <sup>rd</sup> September 2024	
Cyber Security	3	TBC – awaiting vetting outcomes	
Capital Programme – Project Management	3	Planned start date 30 <sup>th</sup> September 2024	



System	Planned Quarter	Current Status	Comments
HR Absence Management linked to Agility	3	Fieldwork completed	Brought forward from Q2 at the request of Management
HR Management Strategy	3	Planned start date 14 <sup>th</sup> October 2024	
Expenses and Additional Payment	3	Planned start date 21 <sup>st</sup> October 2024	
Treasury Management	3	Planned start date 30 <sup>th</sup> September 2024	
Creditors	3	Planned start date 4 <sup>th</sup> November 2024	
Anti-Fraud/Counter Fraud	3	Planned start date 14 <sup>th</sup> October 2024	
Pensions	3	Fieldwork commenced	
Property Subject to Charge (Evidential Property)	4	Planned start date 3 <sup>rd</sup> February 2025	
Occupational Health Unit	4	Planned start date 17 <sup>th</sup> December 2024	
ICT Network Security	4	TBC – awaiting vetting outcomes	
Follow-up (year-end)	4	Planned start date 12 <sup>th</sup> February 2025	
Contingency	1-4	TBC	
Liaison with Audit Wales Management	1-4		
Annual Planning	1	Final Report Issued 9 <sup>th</sup> July 2024	
Annual Report	4		
Audit Management	1-4		

**KEY:**

	To be commenced		Site work commenced		Draft report issued		Final report issued
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## Appendix B: Briefings on Developments in Governance, Risk and Control

TIAA produce regular briefing notes to summarise new developments in Governance, Risk, Control, Counter Fraud and Security Management which may have an impact on our clients. These are shared with clients and made available through our Online Client Portal or TIAA website. A summary list of those briefings issued in the last three months which may be of relevance to North Wales Police is given below:

### Summary of recent Client Briefings and Alerts

Date Issued	Sector	Briefing Type	Subject	Web Link	TIAA Comments
30 AUGUST 2024	ALL	Security Alert	Social media trolling of NHS staff	<a href="#">Social media trolling of NHS staff - TIAA</a>	In an era where online interactions can significantly impact mental health and workplace morale, it is essential to stand up against harassment targeting our dedicated NHS workforce.  Our alert details a recent incident and what you can do to protect your organisation.
30 AUGUST 2024	ALL	Security Alert	Nitrous Oxide thefts	<a href="#">Nitrous Oxide thefts - TIAA</a>	Our Security Management team have issued a new security alert regarding a rise in nitrous oxide thefts. Stay informed and take necessary precautions to protect your assets.
14 AUGUST 2024	ALL	Anti-Crime Alert	Fake QR Codes in Parking Scam	<a href="#">Fake QR Codes in Parking Scam - TIAA</a>	There have been reports of scammers placing fake QR codes on parking ticket machines. These deceptive codes lead unsuspecting victims to malicious websites that mimic sites such as RingGo or PayByPhone. Our alert details how to stay safe from these scams.
07 AUGUST 2024	ALL	Security Alert	National Protests	<a href="#">National Protests - TIAA</a>	National protests took place across the country, and it is crucial to stay informed and stay safe. Our alert shares important information and tips on how to protect your organisation and staff during these uncertain times.
02 AUGUST 2024	ALL	Client Briefing Note	Global IT Outage highlights need for robust IT Disaster Recovery and Business Continuity	<a href="#">Global IT Outage highlights need for robust IT Disaster Recovery and Business Continuity - TIAA</a>	In light of the recent global IT outage, it has become even more evident how crucial it is for businesses to have robust IT disaster recovery and business continuity plans in place. Our briefing details the importance of being prepared for unexpected IT disruptions.

26 JULY 2024	ALL	Data Protection Alert	New Digital Information and Smart Data Bill	<a href="#">New Digital Information and Smart Data Bill - TIAA</a>	The UK government is introducing a Digital Information and Smart Data Bill (DISD), distinct from the previous government's failed Data Protection and Digital Information Bill in several ways. Learn more about this new bill and the actions to take to keep your data protected.
26 JULY 2024	ALL	Client Briefing	The Economic Crime and Corporate Transparency Act 2023	<a href="#">The Economic Crime and Corporate Transparency Act 2023 - TIAA</a>	Learn about the Economic Crime and Corporate Transparency Act 2023, aimed at boosting the UK's efforts to combat economic crime and improve corporate transparency. Discover the Act's key points and requirements.
15 JULY 2024	ALL	Client Briefing	Cyber Security Threats	<a href="#">Cyber Security Threats - TIAA</a>	The National Cyber Security Centre (NCSC) has published an alert of a significant risk to IT systems and infrastructure. Attackers are exploiting vulnerable Small Office and Home Office (SoHo) devices at organisations to leverage attacks. Typically, SoHo devices (broadband routers etc) do not feature the advance security protection of enterprise level IT systems, thus making them an easy target.
25 JUNE 2024	ALL	TIAA Article	As featured in The Saturday Telegraph – Impact of Artificial Intelligence and the future of Internal Audit	<a href="#">As Featured in The Saturday Telegraph - Impact of Artificial Intelligence and the Future of Internal Audit - TIAA</a>	Our fifth article published in the Saturday Telegraph, talks about the impact of artificial intelligence and the future of Internal Audit.
25 JUNE 2024	ALL	Podcast	Ageing Workforce Podcast	<a href="#">Ageing Workforce Podcast - TIAA</a>	People are living longer and working longer. Naturally, that brings its own set of challenges for managers and business owners. In this Podcast, Ruth Wragg-Jones from Fitzgerald HR and David Foley, Advisory Director at TIAA, talk about the complexities of the Ageing workforce, considerations to identify and explore and how to put a plan in place to help ensure your workforce remains effective and successful.
19 JUNE 2024	ALL NHS/ Healthcare	Anti-Crime Alert	GP Practices Targeted by CEO Fraud	<a href="#">GP Practices targeted by CEO fraud - TIAA</a>	Intelligence received indicates that the phishing scam commonly known as CEO fraud has been operating across some GP practices. The fraud is perpetrated through the sending of an email to the Practice purporting to be from one of the practice partners, requesting invoices to be paid.

04 JUNE 2024	ALL	Data Protection Alert	The Data Protection and Digital Information Bill Failed	<a href="#">The Data Protection and Digital Information Bill Failed - TIAA</a>	<p>The Data Protection and Digital Information Bill has failed to complete its legislative passage in the necessary time frame before the General Election. It is understood that late amendments added by the Department of Work and Pensions are what caused the Bill to fail.</p>
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**Joint Audit Committee**  
**Meeting Date: 25<sup>th</sup> September 2024**  
**OPEN SESSION**

<b>Title:</b>	Internal Control Report
<b>Author:</b>	Anne Matthews, Finance & Budget Officer
<b>Purpose of the report:</b>	To provide the Joint Audit Committee with an overview of Internal Control activity within the Force
<b>Level of Assurance:</b>	High
<b>The report is provided to JAC for: (tick one)</b>	<input type="checkbox"/> Decision <input type="checkbox"/> Discussion <input checked="" type="checkbox"/> Assurance <input type="checkbox"/> Information
<b>Summary / Key Points:</b>	<p>This report focusses on the management response to ongoing Internal Audit issues, focussing on avoiding duplication with the TIAA SICA report where possible.</p> <p>The Audit plan for 2024/25 will feature in the SICA report and so is excluded from this report for that reason.</p> <p>However, NWP is happy with the progress against the plan; the ICT audits are awaiting dates, but progress is being made with the vetting of new auditors for resilience.</p> <p>The report includes:</p> <ul style="list-style-type: none"> <li>• The recommendation status from previous TIAA Audits</li> <li>• The recommendations issued with revised due dates for implementation. It should be noted that the Data Protection Act recommendation 280898 has a revised due date since the last meeting; the Records Management Procedure will be completed once the Data Management Strategy has been completed. Following delays with the contractor the Estates Management recommendation 271957 also has a revised due date. This timeline allows for review and publication.</li> <li>• The management response regarding Client Briefing Notes, Fraud Alerts, Fraud Articles and Security Alerts issued in the period.</li> <li>• An Update on Limited Assurance audits is included. It is important to note that both HR Absence Management and Health &amp; Safety have been audited recently, draft reports are imminent.</li> </ul> <p>Supplementary detail is provided by the Appendices to the report, should it be required.</p> <p>Internal audit is a fixed agenda item discussed in the bi-monthly Joint Governance Board meetings; Internal audit is also discussed during monthly meetings held between the DFR, HoF and FBO. FBO attends the monthly All Wales internal audit meetings where progress on all audits is monitored.</p>
<b>Recommendations:</b>	None
<b>Risk register impact:</b>	TIAA control findings have been considered for reflection on the Force Risk Register.



**HEDDLU  
GOGLEDD CYMRU**  
**NORTH WALES  
POLICE**



SWYDDFA COMISIYNYDD HEDDLU  
A THROSEDD GOGLEDD CYMRU  
OFFICE OF THE POLICE & CRIME  
COMMISSIONER NORTH WALES

<b>Assurance implications:</b>	This report is directly relevant to Internal Control Activity providing Assurance in North Wales Police.
<b>Equality Impact:</b>	None
<b>Information exempt from disclosure:</b>	N/A

**JOINT AUDIT COMMITTEE**

**INTERNAL CONTROL REPORT – 25<sup>th</sup> September 2024  
REPORT OF THE NORTH WALES POLICE AND CRIME COMMISSIONER AND CHIEF CONSTABLE**

**1. INTRODUCTION**

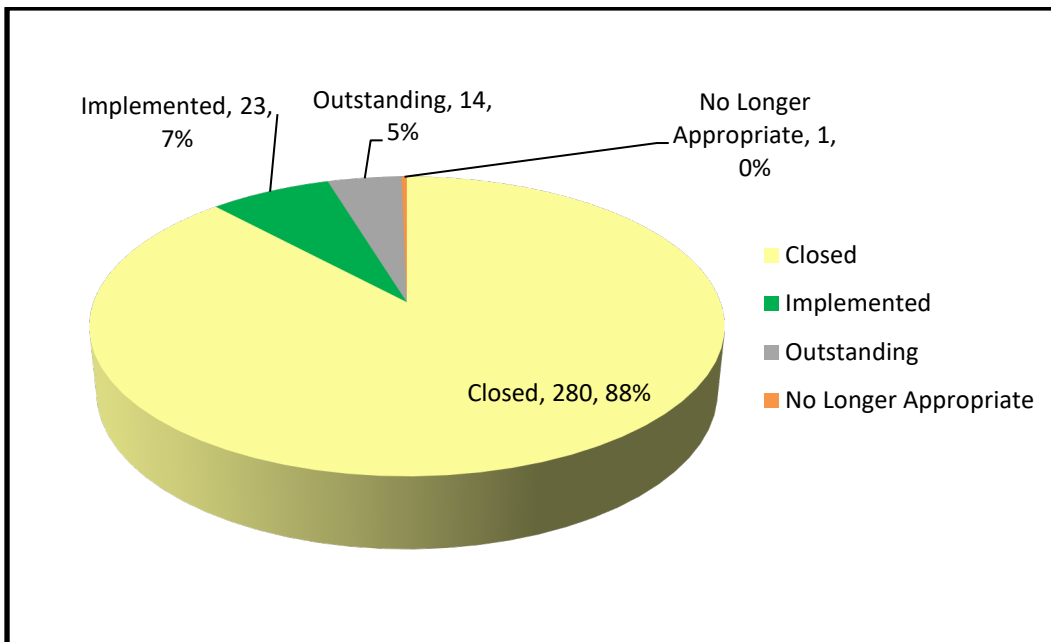
This report focusses on the management response to ongoing Internal Audit issues, focussing on avoiding duplication with the TIAA SICA report where possible.

The report includes:

- The recommendation status from previous TIAA Audits
- The recommendations issued with revised due dates for implementation
- The management response regarding Client Briefing Notes, Fraud Alerts, Fraud Articles and Security Alerts issued in the period
- An Update on Limited Assurance audits
- Summary

**2. RECOMMENDATION STATUS OF TIAA AUDITS**

The position on Internal Audit recommendations as at 04/09/2024 is outlined below:



Movement since the last JAC meeting is as per the below:

- 2 new recommendations received during this period.
- 2 new recommendations implemented.
- 10 existing recommendations implemented.
- 1 existing recommendation – NLA (No longer Appropriate)
- 7 recommendations closed by TIAA.

Summary of 12 recommendations that have been implemented since July meeting detailed below:

No of Recs				JAC MEETING
Priority Level	ID	Job	Rec status	25/09/2024
<b>2</b>	<b>269283</b>	22/23 HR Absence Management	Existing	1
	<b>269284</b>	22/23 HR Absence Management	Existing	1
	<b>269285</b>	22/23 HR Absence Management	Existing	1
	<b>269286</b>	22/23 HR Absence Management	Existing	1
	<b>269290</b>	22/23 HR Absence Management	Existing	1
	<b>277945</b>	23/24 Fixed Assets – ICT Assets	Existing	1
	<b>277946</b>	23/24 Fixed Assets – ICT Assets	Existing	1
	<b>269291</b>	22/23 HR Absence Management	Existing	1
	<b>276294</b>	23/24 Eastern Area – Command Unit	Existing	1
<b>2 Total</b>				<b>9</b>
<b>3</b>	<b>280490</b>	23/24 Telematics Collaborative	New	1
	<b>269292</b>	22/23 HR Absence Management	Existing	1
	<b>280779</b>	23/24 ICT Change Management	New	1
<b>3 Total</b>				<b>3</b>
<b>Grand Total</b>				<b>12</b>

The carried forward recommendations continue to be monitored and pursued routinely.

The **accumulative** total of 23 implemented recommendations as at 04/09/2024 is outlined below:

Status Summary - Implemented	Category	No
Implemented on or before original due date	Cat 1	9
Implemented on or before 1st revised due date	Cat 2	1
Implemented on or before 2nd revised due date	Cat 3	2
Implemented on or before 3rd revised due date	Cat 4	6
Implemented on or before 4th revised due date	Cat 5	0
Implemented on or before 5th revised due date	Cat 6	0
Implemented after original and/or revised due date	Cat 7	5
		<b>23</b>

Analysis of the 14 outstanding recommendations as at 04/09/2024 is also outlined below:

Status Summary - Outstanding Recommendations	Category	No
No of Recommendations - still on original due date	Cat 1	2
No of Recommendations - 1st revised due date	Cat 2	3
No of Recommendations - 2nd revised due date	Cat 3	3
No of Recommendations - 3rd revised due date	Cat 4	1
No of Recommendations - 4th revised due date	Cat 5	1
No of Recommendations - 5th revised due date	Cat 6	1
No of Recommendations - Overdue	Cat 7	3
		<b>14</b>

An ongoing emphasis on trying to ensure that the initial deadlines set are both appropriate and realistic (to ensure that the revision of dates is not happening as a matter of course) remains in place.

Analysis of the 14 outstanding recommendations and how they tally to each audit is provided on Appendix 1.



The latest position and update regarding the 14 outstanding recommendations is included in Appendix 2. This includes the Responsible Officer for each outstanding action with roles, rather than individual names included in the report.

### 3. RECOMMENDATIONS ISSUED WITH REVISED DUE DATES FOR IMPLEMENTATION

#### Collaborative Assurance Review of Data Protection Act

Recommendation 280898 has been revised to 30/09/2024 at the request of the Head of information Assurance.

Latest update - The Records Management Procedure is not complete yet. I have been writing the Data Management Strategy and TOR for the Data Management Board, once I have completed them I can update the procedure which will align to the strategy.

#### Estates Management Strategy

Recommendation 271957 has been revised to 31/10/2024 at the request of Head of Facilities ad Fleet.

Latest update - Following delays with contractor the due date has now been revised to 31/10/2024; this timeline allows for review and publication.

### 4. MANAGEMENT RESPONSE REGARDING CLIENT BRIEFING NOTES (CBNs) FRAUD ALERTS, FRAUD ARTICLES AND SECURITY ALERTS INCLUDING THOSE ISSUED IN THE PERIOD - 2024

Current status of CBNs, Fraud Alerts, Fraud Articles and Security Alerts is shown below:

Type	Total No rec'd	No rec'd in current period	Action Required	Open Actions
CBNs 2024_2	5	3	0	0
Fraud Alerts	0	0	0	0
Fraud Articles	0	0	0	0
Security Alerts	0	0	0	0

CBNS, Fraud Alerts and Security Alerts received during the period were reviewed and progressed by the management team.

There were three CBNs but no Fraud alerts, Fraud articles or security alerts issued in the period 05/07/2024 to 04/09/2024.

#### CBNs

- CBN2024\_07i – Cyber Security threats - cyber security threats are monitored via the risk register - **Closed**.
- CBN\_2024\_07ii – The Economic Crime and Corporate Transparency Act 2023 – robust procedures/processes in place; alongside segregation of duties i.e., no single individual can authorise payments be it in creditors, treasury management and/or payroll. These processes are audited by TIAA on an annual basis – **Closed**.
- CBN\_2024\_08 - Global IT Outage highlights need for robust IT Disaster Recovery and Business Continuity - NWP were not in any way directly impacted by this recent Global IT outage although indirectly some parts of the CGI infrastructure were, but where ICT worked closely with CGI to manage any disruption that could have had an impact on NWP. There are Business Continuity obligations set out in supplier contracts too to ensure that their own operations are sufficiently robust to withstand such scenarios with minimal impact on us as their customer. Further detail in appendix A – **Closed**.

## 5. UPDATE ON LIMITED ASSURANCE AUDITS

### HR – Absence Management – Limited Assurance

2022/2023 HR Absence Management – 9 x important and 1 x routine recommendations.

9 recommendations have been implemented and 1 recommendation was deemed No Longer Applicable since the introduction of the new Attendance Management policy.

All recommendations have been reviewed during the recent audit carried out by TIAA; this audit concluded on 03/09/2024.

It is unlikely that the audit report will be finalised ahead of this meeting so the Finance and Budget Officer will give a verbal update on the day.

### Health and Safety Management – Limited Assurance

2022/2023 Health and Safety Management (HSM) – 3 x important recommendations

1 x implemented

2 x outstanding recommendations

Recommendations 271373 and 271374 were issued in relation to HSM training being provided to officers and staff as they are promoted to supervisory positions and provision of training to existing Supervisors.

It was agreed at the Joint Governance Board on 18/06/2024 that the implementation dates on the two outstanding recommendations could be revised in line with the 2024/2025 planned audit. This audit is a collaborative audit between North Wales, Dyfed Powys and Gwent police.

The fieldwork for this audit is complete and the draft report is imminent.

It is unlikely that the audit report will be finalised ahead of this meeting so the Finance and Budget Officer will give a verbal update on the day.

## 6. SUMMARY

This report is provided to the Joint Audit Committee to provide assurance around the internal control activity taking place in the period supplementing the information held within the TIAA SICA report.

**Appendix 1** - Analysis of the 14 outstanding recommendations and how they tally to each audit.

No	ID	Service	Job	Year	Risk Area	Type	Recs Monitored Via	Linked to Risk Register
001 002 003	249424 249425 249426		REDACTED					
004 005	269698 269701		REDACTED					
006 007	271373 271374	Internal Audit	22/23 Health and Safety Management	2022	Directed Risk	Existing	Quarterly Joint Governance Board; Quarterly SLT; Quarterly Health and Safety Board	-
008	271957	Internal Audit	23/24 Estates Management - Strategy	2023	Directed Risk	Existing	Quarterly Joint Governance Board; Quarterly Estates & Facilities Board	93. Inadequate financial resources to deliver service plans
009	272557	Internal Audit	22/23 HR – Use of OLEEO - Collaborative	2022	Directed Risk	Existing	Quarterly Joint Governance Board; All Wales People and Organisational Gold Group; Silver Resourcing Group	-
010	274228	Internal Audit	23/24 Procurement	2023	Delivery Risk	Existing	Quarterly Joint Governance Board	-
011	277947		REDACTED					
012	280148	Internal Audit	23/24 Fleet Management - Fuel	2023	Directed Risk	New	Quarterly Joint Governance Board; Quarterly Vehicle user group which reports into the quarterly Strategic Finance Resources Board meetings.	-
013	280475	Internal Audit	23/24 Collaborations and Partnerships	2023	Directed Risk	New	Quarterly Joint Governance Board	-
014	280898	Internal Audit	23/24 Collaborative Assurance Review of Data Protection Act	2023	Directed Risk	New	Quarterly Joint Governance Board	-

**Appendix 2 – Latest Management Response relating to Outstanding Recommendations**

Overview

Priority	No	ID	Job	Original Date	Revised Due Date	No of Recs
2	001	249424	REDACTED			1
	002	249425	REDACTED			1
	004	269698	REDACTED			1
	005	269701	REDACTED			1
	006	271373	22/23 Health and Safety Management	30/06/2023	31/08/2024	1
	007	271374	22/23 Health and Safety Management	30/06/2023	31/08/2024	1
	009	272557	22/23 HR – Use of OLEEO - Collaborative	30/11/2023	30/11/2024	1
	010	274228	23/24 Procurement	31/03/2024	30/09/2024	1
<b>2 Total</b>						<b>8</b>
3	003	249426	REDACTED			1
	008	271957	23/24 Estates Management - Strategy	30/11/2023	31/10/2024	1
	011	277947	REDACTED			1
	012	280148	23/24 Fleet Management - Fuel	31/05/2024	30/09/2024	1
	013	280475	23/24 Collaborations and Partnerships	30/09/2024		1
	014	280898	23/24 Collaborative Assurance Review of Data Protection Act	31/07/2024	30/09/2024	1
<b>3 Total</b>						<b>6</b>
<b>Grand Total</b>						<b>14</b>

No	ID	Job	Risk Area	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Revised Due Date	Category	Latest Response
001	249424	REDACTED									
002	249425	REDACTED									
003	249426	REDACTED									
004	269698	REDACTED									
005	269701	REDACTED									
006	271373	22/23 Health and Safety Management	Directed Risk	Health and safety training be provided to officers / members of staff as they are promoted to supervisory positions with an emphasis on their responsibility in reporting accidents to an appropriate deadline.	2	<p>Head of L&amp;D to agree on a process to ensure that managers and supervisors, who upon promotion, are given an appropriate health and safety input by a force trainer, outlining their responsibilities in terms of a) investigating injuries and near miss incidents, and b) recording their findings in line with the law and the Force's H&amp;S Policy. In addition, Line managers/supervisors, will be provided with key information in terms of RIDDOR reporting, e.g., what categories of injuries and near misses fall under RIDDOR, and, critically what the decision-making process is to ensure that RIDDOR reports are submitted to HSE within the 15-day statutory deadline by the Force's Health and Safety Manager without exception. Note: Need to Know relating to the above circulated to all NWP employees twice in 2022/23.</p> <p>HSM submits a report on a monthly basis to DFR who in turn reports relevant issues to the Senior Force Governance Forum to ensure that Command and SMT units take responsibility and held to account in terms of the correct reporting process relating to the reporting of Injuries, Near Misses and DSEs, and fundamentally, the recording of Line Managers investigations to ensure the safety and welfare of staff under their command.</p>	Head of L&D	30/06/2023	31/08/2024	7	<p>27/02/2024 - Confirmation received from Head of Training that Trainer has delivered first of the Foundation Modules of the First Line Leadership Programme in November 2023, this incorporated a half-day session on Health and Safety for supervisors which met all the requirements listed in the recommendations.</p> <p>There are three further foundation modules planned for 2024 (April, August and November). The trainer also recommends to delegates that IOSH training is considered for personal development.</p> <p>Health and Safety E-learning packages are scoped out to identify what packages address the responsibilities in relation to the DSE, HS1, A879 reporting; mandatory e-learning will be commissioned through the Learning and development Board.</p> <p>The Training Manager will liaise with the Health and Safety Manager and various trainers that deliver Health and Safety training to ensure that any identified Health and Safety training gaps are picked up as part of ongoing TNA.</p> <p>TNA = Training Needs Assessment – identifying what existing and future training requirements are and their level of priority.</p> <p>24/06/2024 - Update from Finance &amp; Budget Officer (FBO) - Extract from latest report submitted to Joint Governance Board (JGB) on 18/06/2024 shows continued improvement. It was agreed at the JGB that the due date would be revised to coincide with the Collaborative Health and Safety audit being carried out 01-04 July 2024.</p> <p>As this is a collaborative audit between North Wales Police, Gwent Police and Dyfed Powys Police FBO liaised with TIAA to agree a revised due date of 31/08/2024. thus, allowing completion of audit in the three Welsh forces.</p> <p><b>03/09/2024 - update from Finance and Budget Officer - the fieldwork for the collaborate audit is complete and the draft report is imminent.</b></p>

No	ID	Job	Risk Area	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Revised Due Date	Category	Latest Response
007	271374	22/23 Health and Safety Management	Directed Risk	All Officers / members of staff in supervisory positions be provided with health and safety training that outlines their responsibility in submitting A879, HS1 and DSE forms and the risks to the organisation caused by lack of compliance with HSE regulation.	2	<p>Newly promoted supervisors and managers, attending courses, will be provided with an appropriate DSE input and presentation by a force trainer in terms of their responsibilities to staff working from home and in an office environment (place of work). Note: Need to Know and presentation circulated to all NWP employees twice in 2022/23.</p> <p>HSM submits a report on a monthly basis to DFR who in turn reports relevant issues to the Senior Force Governance Forum to ensure that Command and SMT units take responsibility and held to account in terms of the correct reporting process relating to the reporting of Injuries, Near Misses and DSEs, and fundamentally, the recording of Line Managers investigations to ensure the safety and welfare of staff under their command</p>	Head of L&D	30/06/2023	31/08/2024	7	<p>27/02/2024 - Confirmation received from Head of Training that Trainer has delivered first of the Foundation Modules of the First Line Leadership Programme in November 2023, this incorporated a half-day session on Health and Safety for supervisors which met all the requirements listed in the recommendations.</p> <p>There are three further foundation modules planned for 2024 (April, August and November). The trainer also recommends to delegates that IOSH training is considered for personal development.</p> <p>Health and Safety E-learning packages are scoped out to identify what packages address the responsibilities in relation to the DSE, HS1, A879 reporting; mandatory e-learning will be commissioned through the Learning and development Board.</p> <p>The Training Manager will liaise with the Health and Safety Manager and various trainers that deliver Health and Safety training to ensure that any identified Health and Safety training gaps are picked up as part of ongoing TNA.</p> <p>TNA = Training Needs Assessment – identifying what existing and future training requirements are and their level of priority.</p> <p>24/06/2024 - Update from Finance &amp; Budget Officer (FBO) - Extract from latest report submitted to Joint Governance Board (JGB) on 18/06/2024 shows continued improvement. It was agreed at the JGB that the due date would be revised to coincide with the Collaborative Health and Safety audit being carried out 01-04 July 2024.</p> <p>As this is a collaborative audit between North Wales Police, Gwent Police and Dyfed Powys Police FBO liaised with TIAA to agree a revised due date of 31/08/2024. thus, allowing completion of audit in the three Welsh forces.</p> <p><b>03/09/2024 - update from Finance and Budget Officer - the fieldwork for the collaborate audit is complete and the draft report is imminent.</b></p>

No	ID	Job	Risk Area	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Revised Due Date	Category	Latest Response
008	271957	23/24 Estates Management - Strategy	Directed Risk	The Estates Strategy be reviewed and updated to reflect current and future strategic arrangements for sustainability and decarbonisation.	3	There are some significant strategic decisions to be made during 2023 regarding the Force's Corporate Estate which will require updating of the Estate Strategy and the Implementation Plan as part of the 'Fit for the Future' corporate objectives. That will be the appropriate time to elaborate on the Force's strategic intentions in relation to sustainability and decarbonisation.	Head of Facilities and Fleet	30/11/2023	31/07/2024	4	<p>06/02/2024 - Update received from Head of Facilities and Fleet - arrangements for sustainability and decarbonisation it was envisaged that it would be a fairly straightforward addition to the document. However, the Strategy requires significantly more work on it than first thought because of the review on the corporate estate. After extensive internal consultation with stakeholders and a detailed space planning exercise, the Business Case for rationalising the corporate estate is only now being finalised by the Portfolio Management Office which will then require further discussion with Chief Officers and the OPCC to decide on the preferred option.</p> <p>The Director of Finance &amp; Resources and Head of Facilities &amp; Fleet have agreed last week that it would now be prudent to engage a consultant to assist in producing the new strategic estate document as was the case with the Estate Strategies that were produced in 2012 and 2018. This will therefore prolong the timescale as a procurement process is now needed to select a suitable consultant and a period of several months will then be required to familiarise themselves with the estate and assess all the estate data including the proposals for the decarbonisation of the estate. The draft Estate Strategy and accompanying Delivery Plan will then require a period of internal consultation and sign off by the Chief Officers and OPCC. When the previous Estate Strategy was produced in 2018 it took a period of 9 months to go through the whole process. We are not starting afresh on this occasion therefore a 6 month period should be sufficient which takes us to a new target completion date of 31st July 2024.</p> <p>17/06/2024 - Update received from Head of Facilities and Fleet - Avison Young Property Consultancy are getting a draft Estate Strategy to me by 31st July 2024.</p> <p>08/08/2024 - Update received from Head of Facilities and Fleet - consultant was due to submit report ahead of 31/07/2024; unfortunately due to sickness on their team they have not been able to furnish us with this report and I need the document to ensure that they have included a section on sustainability and decarbonisation as instructed before I can discharge this action.</p> <p>15/08/2024 - Update from Head of Facilities and Fleet - Report still not received; I will continue chasing it up. Leave recommendation as overdue until response received from consultant.</p> <p><b>04/09/2024 - Update from Head of Facilities and Fleet - Following delays with contractor the due date has now been revised to 31/10/2024; this timeline allows for review and publication.</b></p>

No	ID	Job	Risk Area	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Revised Due Date	Category	Latest Response
009	272557	22/23 HR – Use of OLEEO - Collaborative	Directed Risk	The Section 22 National Collaboration Agreement in relation to 'The provision of an all-Wales e-recruitment platform' be finalised and agreed and signed by each force.	2	The North Wales Director of Finance has been liaising with his counterparts in the other Welsh Forces in order to progress the signing of the S22 agreement. Timetable is 3 months to enable progress through different Force Governance arrangements.	Director of Finance and Resources, NWP	30/11/2023	30/11/2024	3	<p>26/02/2024 - update received from DFR - The draft S22a still needs to be finalised by the NWP Legal team; the People and Organisational Collaboration group Chairman has recognised the value of the software during the uplift. A recommendation by the group has been made to extend the commercial arrangement by 2 years; this was agreed as the Collaboration board held on 19/02/2024. The intention is to now incorporate these developments in the S22a with a meeting between NWP's legal and People team taking place on 06/03/2024 with a view to finalising the draft s22 agreement.</p> <p>09/06/2024 - Update received from DFR - Draft S22a has been prepared and is currently with the Force solicitor for finalisation so that it can be circulated to the other Welsh forces.</p> <p>12/06/2024 - Update received from Assistant Force Solicitor - final version has been sent to the solicitors for Dyfed-Powys and Gwent/South Wales Police this evening.</p> <p>04/07/2024 - Update from Legal Assistant - It appears there may be amendments requested by the other forces so Assistant Force Solicitor has asked them to respond in a months' time. Therefore, we are not expecting to hear back from the other parties before the 12th July 2024. FBO will revise the implementation date once the Assistant Force Solicitor returns from annual leave.</p> <p>15/07/2024 - Update received from Assistant Force Solicitor - I have received comments regarding the section 22 agreement from South Wales Police (on behalf of South Wales and Gwent Police). there are a large number of questions to go through and as such sign off will not be any time soon. Dyfed Powys Police have not responded so far. Date revised to November 2024 due to the extensive questions that need to be addressed and liaison required between the four Welsh forces.</p> <p>19/08/2024 - Update received from Assistant Force Solicitor - Meeting to be held with NWP stakeholders today to go through the questions and queries raised by South Wales and Dyfed Powys Police.</p> <p><b>03/09/2024 - Update received from Assistant Force Solicitor - meeting held and costings have been updated. Unfortunately, since the agreement was drafted over 2 years ago and the original persons involved have moved on, it is now clear the schematic for operational governance is also out of date. E-recruitment Systems Manager is making enquiries so we can update this and make it more general as soon as possible.</b></p>
010	274228	23/24 Procurement	Delivery Risk	The Social Value Policy, Social Value Charter and Social Value Guidance documents be reviewed and updated to reflect current practices.	2	Recommendation is accepted. The OPCC will approach the same independent consultant that was commissioned to write the Policy in order to carry out the review. At the time of writing the exact timescales are still to be confirmed. A meeting is set to take place on 27/09/2023 so the timeline of 31/03/2024 is an estimate.	Chief Finance Officer	31/03/2024	30/09/2024	3	<p>05/02/2024 Update received from OPCC CEO - The work is still ongoing. Initial drafts have been prepared which we are due to review in the next week or so. The deadline of 31st March remains ok.</p> <p>04/06/2024 - Update received from OPCC CEO - this has been delayed due to the PCC election in May 2024 and the pre-election period ahead of it. Revise due date to 31/07/2024.</p> <p>07/06/2024 Update received from OPCC Chief Finance Officer - Following discussion with the OPCC CEO we both feel that extending the deadline until the end of September is more realistic (to accommodate annual leave and other abstractions over the summer period).</p> <p><b>13/08/2024 - Update from OPCC Chief Finance Officer - Policy circulated for final proofing; on track to publish by the end of September 2024, which is the agreed deadline.</b></p>
011	277947	REDACTED									



No	ID	Job	Risk Area	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Revised Due Date	Category	Latest Response
012	280148	23/24 Fleet Management - Fuel	Directed Risk	The Police Use of Vehicles Policy be amended to include further detail regarding the process in place for electric vehicles and electric vehicle charging points.	3	The police use of Vehicles policy is scheduled for review in May 24. I will include a section around the management of our internal charging infrastructure.	Fleet Manager	31/05/2024	30/09/2024	2	05/07/2024 - Update from Fleet Manager - I have had to delay the update on the Police use of Vehicles Policy, which is now likely to be in September. We have improved the signage on the internal chargers to make it clear that they are for force vehicles only and will include within the policy when we review.  15/08/2024 - Update received from Fleet Manager - the delays with the updating of the policy are due to capacity, with us being a small team and having other work to complete. I have started working on this policy but it will not be complete until the end of September 2024.
013	280475	23/24 Collaborations and Partnerships	Directed Risk	A separate folder be set on SharePoint to contain all relevant documents relating to collaborations and partnerships.	3	This will be created in line with recommendation.	Corporate Governance and Policy Lead	30/09/2024		1	04/09/2024 - Update received from Corporate Governance and Policy Lead - this recommendation has been referred back to the Chief Superintendent Corporate Services and the Head of Change. This was done via the SMT.  04/09/2024 - Finance and Budget Officer has amended the responsible officer to Head of Change.
014	280898	23/24 Collaborative Assurance Review of Data Protection Act	Directed Risk	The Records Management Procedure be reviewed and updated, as necessary.	3	We agree that Records Management Procedure is out of date and is under review as Head of IA is reviewing the Information Management Strategy. In defence, the Force has a well-established Force Records Department, with an experienced team. Users of RMS and other systems are given training, and the administrators of these systems are also well established. NWP also publish the NPCC Review Retention and Disposal Schedule in the Policy Library, and the Government Security Classification Procedure also. In addition to this, APP (authorised professional practice) has an Information Management Section, and this is available on Forcebook, and this should be the first port of call for any queries.	Head of Information Assurance	31/07/2024	30/09/2024	2	14/08/2024 - Update received from Head of Information Assurance - The Records Management Procedure is not complete yet. I have been writing the Data Management Strategy and TOR for the Data Management Board, once I have completed them I can update the procedure which will align to the strategy. Target date end of September.

### Appendix 3 – Recommendation Categorisation

“Priority” refers to the implementation timeline to adopt:

Description	Priority
URGENT - Fundamental Control issue on which action should be taken immediately.	1
IMPORTANT - Control issue on which action should be taken at the earliest opportunity.	2
ROUTINE - Control issue on which action should be taken.	3

“Category” refers to date revisions as per the below:

Description	Category
Recommendations - still on original due date	1
Recommendations - 1st revised due date	2
Recommendations - 2nd revised due date	3
Recommendations - 3rd revised due date	4
Recommendations - 4th revised due date	5
Recommendations - 5th revised due date	6
Recommendations - Overdue	7



**Joint Audit Committee**

**Meeting Date: 25<sup>th</sup> September 2024**

<b>Title:</b>	Risk Management Report (Open Session)
<b>Author:</b>	Neil T. Ackers, Risk and Business Continuity Lead
<b>Purpose of the report:</b>	To provide the Joint Audit Committee with an update on the organisational risk process and an oversight of the current risks recorded by North Wales Police and the North Wales Police and Crime Commissioner.
<b>Level of Assurance:</b>	SUBSTANTIVE
<b>The report is provided to JAC for: (tick one)</b>	<input type="checkbox"/> Decision <input type="checkbox"/> Discussion <input checked="" type="checkbox"/> Assurance <input type="checkbox"/> Information
<b>Summary / Key Points:</b>	<ul style="list-style-type: none"> <li>• All risks have been reviewed monthly by the Risk and Business Continuity Lead ensuring they are updated and remain on target. A dated entry is made alongside the review within the embedded risk record 'supporting information document'.</li> <li>• Reminders have been sent to Risk Leads to review and update their ongoing risks and actions either on a monthly or quarterly basis (dependent on the risk type).</li> <li>• Since the previous update all risks on the Force Risk Register have been reviewed in the following meetings with no issues or exceptions having been raised.             <ul style="list-style-type: none"> <li>• Senior Management Team Meetings</li> <li>• Strategic Management Board</li> <li>• Strategic Executive Board</li> <li>• Excellent Service Delivery Board</li> <li>• Fit for the Future Board</li> <li>• Strategic People Board</li> <li>• Strategic Change and Collaboration Board</li> <li>• Technology Board</li> <li>• Assurance Board</li> </ul> </li> <li>• On the 29<sup>th</sup> August, members of the Assurance Team visited Durham University to see how North Wales Police could benefit from an automated system using MSOffice 365 and Power BI to record and manage risks.</li> </ul>
<b>Recommendations:</b>	None
<b>Risk register impact:</b>	This report is based on details recorded on the Force Risk Register.
<b>Assurance implications:</b>	This report is directly relevant to the development of assurance in North Wales Police.
<b>Equality Impact:</b>	None
<b>Information exempt from disclosure:</b>	Yes (highlighted in yellow)



**1. INTRODUCTION**

The purpose of this report is to provide an update on the organisational risk management process and allow oversight of the status of North Wales Police and Crime Commissioner and North Wales Police risks and is based on information received and recorded by 2nd July 2024 on the Force Risk Register version 7.56.

Project risks are managed separately within the Portfolio Management Office; however, those that require Force attention are escalated to the Force Risk Register through the agreed process documented in the Risk and Assurance Mapping Practice Guide v1.10.

**2. FORCE RISK REGISTER SUMMARY**

We continue to embed our approach to Risk Management across the organisation through regular interaction with the Risk Leads/Owners dependent on the risk type.

Reminders have been sent to relevant individuals to review and update ongoing actions to ensure the risk remains on target.

In addition to this we continue to conduct a monthly review of all risks and raised any concerns or issues with the Risk Leads and Senior Management Team’s (SMT’s) via their risk highlight reports. Risks are also reported to and reviewed at the Senior Management Team (SMT) Meetings, Strategic Management Board (SMB), Strategic Executive Board (SEB), Excellent Service Delivery Board, Fit for the Future Board, Strategic People Board (SPB), Strategic Change and Collaboration Board (SCCB) and Technology Board with no issues or exceptions having been raised.

A summary of all risks recorded on the Force Risk Register are also reported to the Assurance Board.

**Table 1: - NWP risks on the Force Risk Register 3<sup>rd</sup> July 2024 – 2<sup>nd</sup> September 2024**

Risk Levels Before Controls	Previous NWP Risk Total	Risks removed in this period	New Risks in this period	NWP Risks currently recorded on Force Risk Register
Critical	11	1	0	10
High	16	1	0	15
Medium	1	0	0	1
<b>Total</b>	<b>28</b>	<b>2</b>	<b>0</b>	<b>26</b>

**Table 2: - OPCC risks on the Force Risk Register 3<sup>rd</sup> July 2024 – 2<sup>nd</sup> September 2024**

Risk Levels Before Controls	Previous OPCC Risk Total	Risks removed in this period	New Risks in this period	OPCC Risks currently recorded on Force Risk Register
Critical	1	0	0	1
High	1	1	0	0
Medium	0	0	0	0
<b>Total</b>	<b>2</b>	<b>1</b>	<b>0</b>	<b>1</b>

**3. NEW NWP RISKS RECORDED ON FORCE RISK REGISTER SINCE LAST REPORT**

There have been no new NWP risks added to the Force Risk Register since the last JAC risk report.



**4. NEW OPCC RISKS RECORDED ON FORCE RISK REGISTER SINCE LAST REPORT**

There has been no new OPCC risks added to the Force Risk Register since the last JAC risk report.

**5. NWP RISKS REMOVED FROM FORCE RISK REGISTER SINCE LAST REPORT**

There have been 2 risks closed and removed from the Force Risk Register since the last report.

[Risk 081 - Inability attracting staff to apply for key roles](#)

This risk was initially raised by Head of Change (b94114) and Head of Business Intelligence (B90687), Corporate Services.

The 'Before Controls Risk Level' was determined as HIGH. The 'Present Risk Level' was lowered from HIGH to MEDIUM on 07/03/23. The 'Target Level' was MEDIUM.

This STATIC risk related to potential applicants, both external and internal not being attracted to apply for specialist key roles advertised by North Wales Police **caused by** a perennial problem where the salaries advertised are less than market value compared to other employment sectors, the geographical location of our organisation, and a lack of local skills capability **which may have resulted in** the Force being unable to fill key specialist roles to help deliver our Force Objectives.

The risk was reviewed by the Finance and Resources Senior Management Team (SMT) on 03/07/24 and authorised for removal from the Force Risk Register due to:

- All Actions Marked Completed.
- Target Level of Medium achieved.
- Any ongoing risk will be monitored through People and Workforce Planning Governance Boards.
- Risk has been Treated.

The risk was closed and removed from the Force Risk Register on 04/07/24.

[Risk 119 - Ability to maintain Uplift Police Officer Levels](#)

This risk was initially raised by Superintendent (73479), Finance and Resources.

The 'Before Controls Risk Level' was determined as HIGH. The 'Present Risk Level' and 'Target Risk Level' was LOW.

This DYNAMIC risk related to the force being unable to recruit enough police officers **caused by** the pipeline of suitable candidates and number of NWP Officers resigning, retiring, or transferring to other Forces **which may have resulted in** a failure to maintain Home Office Uplift numbers which will lead to financial penalties and impact on the ability of the Force to deliver its' priorities.

The risk was reviewed by Finance and Resources Senior Management Team (SMT) on 03/07/24 and authorised for removal from the Force Risk Register due to:

- All Actions completed.
- Target Level of LOW achieved.
- Risk has been Terminated.



**6. OPCC RISKS REMOVED FROM FORCE RISK REGISTER SINCE LAST REPORT.**

There has been 1 OPCC risk closed and removed from the Force Risk Register since the last report.

**Risk 126 - REDACTED CLOSED SESSION**

**7. NWP RISK CHANGES ON FORCE RISK REGISTER SINCE LAST REPORT**

There have been 4 NWP risks that have changed their Present Risk Levels since the last report.

[Risk 123 - Leavers Process](#)

**There is a risk** when leavers exit the organisation that not all their assets are returned to the appropriate departments, **caused by** employees not ensuring that their kit/equipment or other is returned as instructed on the leaver documentation, and their Manager not following the instructions on where to ensure the items are returned to, **which may result in** kit/equipment either being retained by an employee, loss of items or worst-case scenario items falling into the wrong hands.

On the 30/08/24 the Present Risk Level was lowered from HIGH to MEDIUM. The Target Level is MEDIUM.

The risk is currently awaiting review by the Finance and Resources Senior Management Team (SMT) to authorise closure and removal from the Force Risk Register.

**Risk 124 – REDACTED CLOSED SESSION**

**Risk 127 – REDACTED CLOSED SESSION**

**Risk 130 – REDACTED CLOSED SESSION**

**8. OPCC RISK CHANGES ON FORCE RISK REGISTER SINCE LAST REPORT.**

There has been 1 OPCC risk that changed their Present Risk Level since the last report.

**Risk 126 – REDACTED CLOSED SESSION**

**9. FORCE RISK REGISTER ACTIONS**

• **Risk Actions RAG Ratings - NWP**

Actions Not on Track	Actions On Track but with Issues	Actions On Track	Completed Actions
0	7	62	72

• **Risk Actions RAG Ratings - OPCC**

Actions Not on Track	Actions On Track but with Issues	Actions On Track	Completed Actions
0	0	2	2

Risks highlighted with 'Actions On Track but with issues' relate to Actions that are currently marked as pending or stalled and awaiting decisions on progression.

Risks highlighted with 'Actions Not On Track' relate to Actions that are overdue and awaiting updates from Risk Leads.



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#### **10. DEVELOPMENTS REGARDING RISK MANAGEMENT**

Members of Durham University delivered an excellent presentation at the ALARM Conference in June 2024 on how they have moved away from standard excel spreadsheets used to record and manage their risks, to the capabilities of an automated approach utilising MS office 365 and Power BI.

On the 29<sup>th</sup> August, members of the Assurance Team visited Durham University to see how North Wales Police could benefit from a similar bespoke system inhouse.

Durham University colleagues are willing to support North Wales Police in developing a system to meet our organisational needs and this will be scoped out over the coming weeks.





**11. SUMMARY OF NWP RISKS ON FORCE RISK REGISTER AS AT 02/09/2024**

URN	Risk Title	Risk Levels			Risk Type	Date Risk Raised	Last Review Date	Risk Actions Progress				
		Before Controls	Present	Target				Outstanding Actions	Completed Actions	On Track	On Track with Issues	Not on Track
003	RMS Legacy Database	High	Medium	Low	Annual	10/08/16	10/07/24	1	1	1		
054	REDACTED CLOSED SESSION	High	Medium	Low	Dynamic	29/04/20	12/08/24	1	2	1		
060	REDACTED CLOSED SESSION	Critical	High	Medium	Static	19/05/20	25/04/24	3	3	3		
071	Pensions	High	Medium	Medium	Static	20/01/21	01/03/24	2	3	2		
074	REDACTED CLOSED SESSION	Critical	Medium	Medium	Dynamic	04/06/21	27/03/24	1	14	0	1	
088	REDACTED CLOSED SESSION	High	High	Low	Dynamic	01/02/22	10/07/24	4	3	4		
091	Loss of money invested on the money market	Critical	Low	Low	Static	16/02/22	04/03/24	2	2	2		
093	Inadequate financial resources to deliver service plans for period 01/04/2024 to 31/3/2029	Critical	Medium	Medium	Static	15/03/22	01/03/24	2	2	2		
098	REDACTED CLOSED SESSION	Critical	High	Medium	Dynamic	19/05/22	15/07/24	2	5	2		
101	REDACTED CLOSED SESSION	Medium	Low	Negligible	Static	07/06/22	02/07/24	1	1	1		
105	REDACTED CLOSED SESSION	High	High	Medium	Static	03/01/23	25/07/24	4	1	1	3	
108	REDACTED CLOSED SESSION	Critical	High	Negligible	Dynamic	20/12/22	02/07/24	2	5	2		
110	REDACTED CLOSED SESSION	High	High	Medium	Static	09/05/23	07/06/24	2	0	2		
112	REDACTED CLOSED SESSION	Critical	High	Low	Dynamic	01/05/23	11/07/24	2	3	2		
115	REDACTED CLOSED SESSION	High	Medium	Negligible	Static	20/06/23	03/06/24	2	3	2		
117	REDACTED CLOSED SESSION	High	Low	Low	Dynamic	18/07/23	13/08/24	2	0	2		
118	REDACTED CLOSED SESSION	High	High	Low	Static	14/09/23	12/08/24	3	3	3		
120	REDACTED CLOSED SESSION	Critical	High	Medium	Dynamic	10/10/23	19/06/24	2	0	2	2	
121	REDACTED CLOSED SESSION	Critical	Critical	Low	Dynamic	10/10/23	15/07/24	2	4	2		
123	Leavers Process	High	Medium	Medium	Static	28/11/23	30/08/24	3	3	3		
124	REDACTED CLOSED SESSION	High	Medium	Low	Dynamic	20/12/23	28/08/24	2	4	2		
125	REDACTED CLOSED SESSION	High	High	Low	Dynamic	09/01/24	20/08/24	3	1	1	2	
127	REDACTED CLOSED SESSION	High	Low	Low	Static	08/04/24	25/07/24	1	2	1		
128	Go Safe Financial Sustainability	High	Medium	Low	Static	21/02/24	15/03/24	4	0	4		
129	REDACTED CLOSED SESSION	Critical	High	High	Dynamic	22/02/24	14/08/24	9	3	9		
130	REDACTED CLOSED SESSION	High	Medium	Medium	Static	02/04/24	23/07/24	0	4	0		





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**12. SUMMARY OF OPCC RISKS ON FORCE RISK REGISTER AS AT 02/09/2024**

URN	Risk Title	Risk Levels			Risk Type	Date Risk Raised	Last Review Date	Risk Actions Progress				
		Before Controls	Present	Target				Outstanding Actions	Completed Actions	On Track	On Track with Issues	Not on Track
109	Adequacy of financial resources 2023/2024	Critical	Medium	Medium	Static	26/04/23	16/07/24	2	0	2		



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**Joint Audit Committee**

**Meeting Date: 25 September July 2024**

<b>Title;</b>	Proposed Work Programme
<b>Author:</b>	Chief Finance Officer
<b>Purpose of the report:</b>	To agree the work programme
<b>Level of Assurance</b>	N/A
<b>The report is provided to JAC for: (tick one)</b>	<input type="checkbox"/> X Decision <input type="checkbox"/> Discussion <input type="checkbox"/> Assurance <input type="checkbox"/> Information
<b>Summary / Key Points:</b>	<ul style="list-style-type: none"> <li>Ensures that the Committee is able to fulfil its duties in line with statutory deadlines, and that all of the Committee's responsibilities are discharged during the course of each year.</li> <li>Items which are mandatory are noted as such, and where these items would normally be considered by a statutory deadline, this deadline is also highlighted.</li> </ul>
<b>Recommendations:</b>	1. To approve the work programme (which may take into account suggested amendments arising from the meeting).
<b>Risk register impact:</b>	One of the purposes of the Committee is to provide assurance to the Police and Crime Commissioner and the Chief Constable that financial and non-financial risks are being managed effectively.
<b>Assurance implications:</b>	The purpose of Joint Audit Committee is to provide assurance to the Police and Crime Commissioner and the Chief Constable, in line with the Terms of Reference. The work programme helps to ensure that all relevant areas are presented to the Committee.
<b>Equality Impact:</b>	Equalities legislation was taken into account when recruiting the independent members of the Joint Audit Committee. There is a <a href="#">Joint Equalities' Scheme</a> in place.
<b>Information exempt from disclosure:</b>	None.



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## **JOINT AUDIT COMMITTEE**

**25 September 2024**

### **PROPOSED WORK PROGRAMME**

**Report by the Chief Finance Officer**

#### **1. INTRODUCTION**

- 1.1 The Joint Audit Committee is provided with a programme of work for at the forthcoming year. This ensures that the Committee is able to fulfil its duties in line with statutory deadlines, and that all of the Committee's responsibilities are discharged during the course of each year.
- 1.1 In addition, items to be presented to the Joint Audit Committee are identified by various means – by officers, staff or the Committee members. These have been added to the work programme on a less formal basis, and are added to the agenda as appropriate.
- 1.2 Members are invited to suggest items to include on the work programme, and can do so by contacting the Chief Finance Officer.
- 1.3 This report, therefore, includes the proposed work plan for the next twelve months. Where a meeting date has not yet been finalised, the month of the meeting is shown for guidance.

#### **2. RECOMMENDATIONS**

- 2.1 For members of the Committee to note which items are subject to a statutory deadline, and therefore the meetings have been arranged to fulfil those requirements.
- 2.2 For members of the Committee to consider additional content which might be presented at future meetings.
- 2.3 For the future work programme to be brought to each meeting, outlining the work for the forthcoming twelve months on a rolling basis.



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### 3. WORK PROGRAMME

- 3.1 With the exception of items timetabled to meet statutory deadlines, the work programme is flexible; therefore, additional items may be added should a need arise.
- 3.2 There are a number of standing agenda items currently scheduled for each meeting. These will remain on the JAC agenda until further notice:

Date of Meeting	Work Programme 2024/25	Purpose
All (Until Further Notice)	<ul style="list-style-type: none"> <li>Business Update incl. VfM <i>JAC request</i></li> <li>HMICFRS Update (incorporated above unless significant) <i>core function</i></li> <li>Internal Audit Update <i>core function</i></li> <li>Risk Update <i>core function</i></li> <li>Organisational changes <i>core function</i></li> <li>ICT Digital Update – Command &amp; Control &amp; NEP <i>closed sessions wider function</i></li> <li>Work Programme</li> <li>JAC Action Plan Update <i>closed sessions</i></li> </ul>	<ul style="list-style-type: none"> <li>JAC request</li> <li>TOR (core)</li> <li>TOR (core)</li> <li>TOR (core)</li> <li>Force request</li> <li>To ensure all core and other mandatory functions are planned in line with statutory deadlines, and to ensure all wider functions and other items agreed are timetabled.</li> <li>JAC request</li> </ul>

The work programme asides from the standing agenda items outlined above are as follows:

Date of Meeting	Work Programme 2024/25	Purpose
31 October 2024	<ul style="list-style-type: none"> <li>ISA260 and signing of accounts.</li> </ul>	<ul style="list-style-type: none"> <li>Statutory function. <ul style="list-style-type: none"> <li>Statutory date is 31 July, but this is under review.</li> </ul> </li> </ul>



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28 November 2024	<ul style="list-style-type: none"> <li>• Audit Wales – Value for Money and Annual Audit Report (Management Letter)</li> <li>• Treasury Management Performance</li> <li>• Legal report (<i>consider how JAC can provide assurance</i>)</li> <li>• Value for Money Update – force</li> <li>• HMICFRS Report – PEEL Review (include use of 101/digital/999)</li> <li>• Update on capital programme</li> <li>• Briefing: Collaboration</li> <li>• Risk 121: BT copper circuits withdrawal</li> <li>• Briefing: NEP and Data Management</li> <li>• Cultural Audit – outcomes and action plan</li> </ul>	<ul style="list-style-type: none"> <li>• TOR (core) <ul style="list-style-type: none"> <li>○ May be delayed – dependent on signing of accounts</li> </ul> </li> <li>• TOR (core/wider – reporting is mandatory)</li> <li>• OPCC/Force request</li> <li>• TOR (core)</li> <li>• TOR (core)</li> <li>• TOR (core/wider)</li> <li>• TOR (core)</li> <li>• TOR (core)</li> <li>• TOR (core)</li> <li>• TOR (wider)</li> </ul>
March 2025	<ul style="list-style-type: none"> <li>• Capital Strategy (including Treasury Management Strategy) – focus on underspend</li> <li>• Governance update – including draft AGS</li> <li>• Sustainability Update</li> <li>• Audit Wales – annual plan</li> <li>• Ethics Update</li> </ul>	<ul style="list-style-type: none"> <li>• TOR (core/wider – mandatory to be approved by 1 April 2025)</li> <li>• TOR (core)</li> <li>• TOR (wider)</li> <li>• TOR (core)</li> <li>• TOR (core)</li> </ul>
June 2025	<ul style="list-style-type: none"> <li>• Accounts Technical Briefing</li> <li>• Introduction to accounts</li> </ul>	<ul style="list-style-type: none"> <li>• Linked to mandatory requirement for JAC to review the accounts before signature by the PCC/CC</li> </ul>
July 2025	<ul style="list-style-type: none"> <li>• ISA260 and signing of accounts</li> <li>• Force Management Statement – briefing</li> <li>• Self-assessment and Annual report of JAC – final report</li> </ul>	<ul style="list-style-type: none"> <li>• Statutory function. Deadline is 31 July 2025, but may be extended dates in 2025.</li> <li>• TOR (wider)</li> <li>• TOR (to ensure independence and accountability)</li> <li>• TOR (core)</li> </ul>



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	<ul style="list-style-type: none"> <li>• Risk Strategy &amp; Risk Appetite Statement – Annual review</li> <li>• Treasury Management Performance</li> <li>• Legal report</li> <li>• Cultural Audit – update on action plan</li> </ul>	<ul style="list-style-type: none"> <li>• TOR (core/wider – interim reporting is mandatory)</li> <li>• TOR (core/wider)</li> <li>• TOR (wider)</li> </ul>
September 2025	<ul style="list-style-type: none"> <li>• Governance update</li> <li>• Sustainability Update</li> <li>• HMICFRS Value for Money Profiles</li> </ul>	<ul style="list-style-type: none"> <li>• TOR (core)</li> <li>• TOR (core)</li> <li>• TOR (core)</li> </ul>
December 2025	<ul style="list-style-type: none"> <li>• Audit Wales – Value for Money and Annual Audit Report (Management Letter)</li> <li>• Governance Update</li> <li>• Treasury Management Performance</li> <li>• Legal report</li> <li>• Value for Money Update – force</li> <li>• HMICFRS Report – PEEL Review</li> </ul>	<ul style="list-style-type: none"> <li>• TOR (core)</li> <li>• TOR (core)</li> <li>• TOR (core/wider – reporting is mandatory)</li> <li>• OPCC/Force request</li> <li>• TOR (core)</li> <li>• TOR (Core)</li> </ul>
Other items to be discussed with JAC	<p>JAC Evaluation Action Plan – Ensure that dedicated and closed sessions are scheduled as required to progress the JAC Evaluation plan actions as required. This includes reviewing the effectiveness of assurance providers considering the provision of internal audit services specifically.</p> <p>Roll-out of IT Programme (monthly, outside of meetings)</p> <p>Meeting between Joint Audit Committee and Audit Wales</p> <p>Meeting between Joint Audit Committee and Internal Audit</p> <p>Sustainability and decarbonisation</p> <p>Review/oversee governance arrangements for partnerships &amp; collaboration <i>core function</i></p>	



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OFFICE OF THE POLICE & CRIME  
COMMISSIONER NORTH WALES

#### 4. IMPLICATIONS

4.1	Equality	Equalities legislation was taken into account when recruiting the independent members of the Joint Audit Committee. There is a <a href="#">Joint Equalities' Scheme</a> in place.
4.2	Financial	Planning the work for the forthcoming year reduces the need for ad-hoc meetings.
4.3	Legal	Legislation requires that a Joint Audit Committee be established. The functions of the Joint Audit Committee are summarised within its <a href="#">Terms of Reference</a> , which has been prepared in accordance with <i>Audit Committees\Practical Guidance for local Authorities and police - 2022 Edition (CIPFA)</i> . This work programme takes account of the statutory and practical requirements to fulfil these obligations.
4.4	Community	Meeting papers and minutes are published, and the meetings are open for the public to attend.
4.5	Risk	One of the purposes of the Committee is to provide assurance to the Police and Crime Commissioner and the Chief Constable that financial and non-financial risks are being managed effectively.
4.6	Police and Crime Plan	The role of the Joint Audit Committee is part of the overall Police and Crime Plan.

#### Report Author:

Kate Jackson  
Chief Finance Officer, Office of the Police and Crime Commissioner





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Joint Audit Committee 26.09.24

HMICFRS Value for Money Profiles

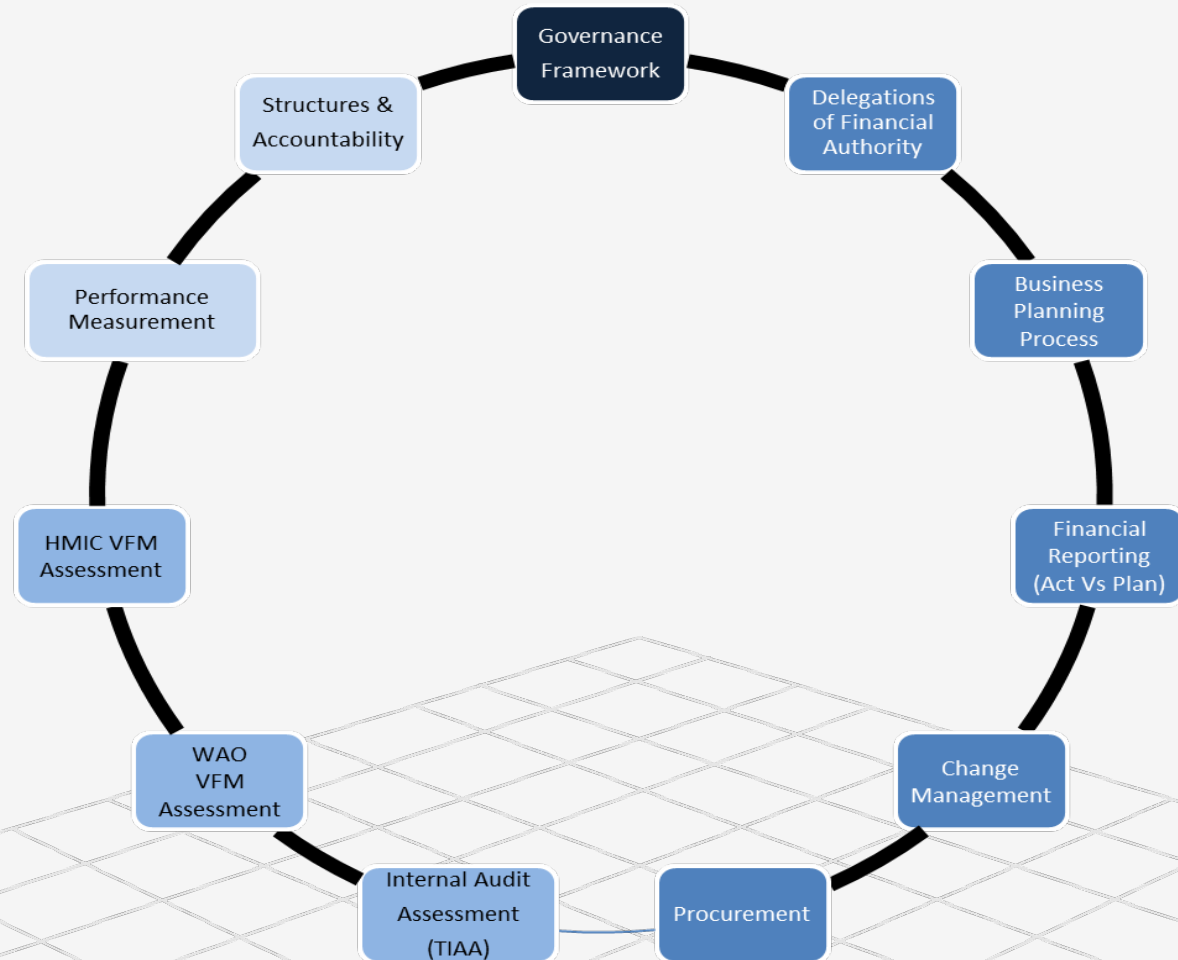
**OUR VISION**

Making North Wales the **SAFEST** place to live, work and visit in the UK



# NWP Value for Money Framework – Where HMICFRS VFM Profiles fit in?

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# Value for Money Profiles - Introduction

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HMICFRS guidance on using the profiles:

“ The profiles have done their job if they enable managers, inspectors, police and crime commissioners and other interested parties to identify and explore interesting differences in the data. Beware jumping to conclusion without proper investigation. For instance, high costs aren't necessarily a sign of poor value for money and cheapest isn't always best. You should consider exploring the reasons for any differences by assessing the force as a whole, using relevant local knowledge. You should consider workforce levels in the context of workforce modernisation, collaboration efforts and the outsourcing of services”

Latest available data set is predicated on **23-24 budget** with latest available dashboard available at:

[www.justiceinspectorates.gov.uk/hmicfrs/our-work/article/value-for-money-inspections/value-for-money-profiles/value-for-money-dashboards/](http://www.justiceinspectorates.gov.uk/hmicfrs/our-work/article/value-for-money-inspections/value-for-money-profiles/value-for-money-dashboards/)

The dashboards excludes both National Policing functions and the OPCC

The dashboards are refreshed as and when Forces resubmit their data (this presentation is based on snapshot at a point in time)at

# Value for Money Profiles – Factors to Consider

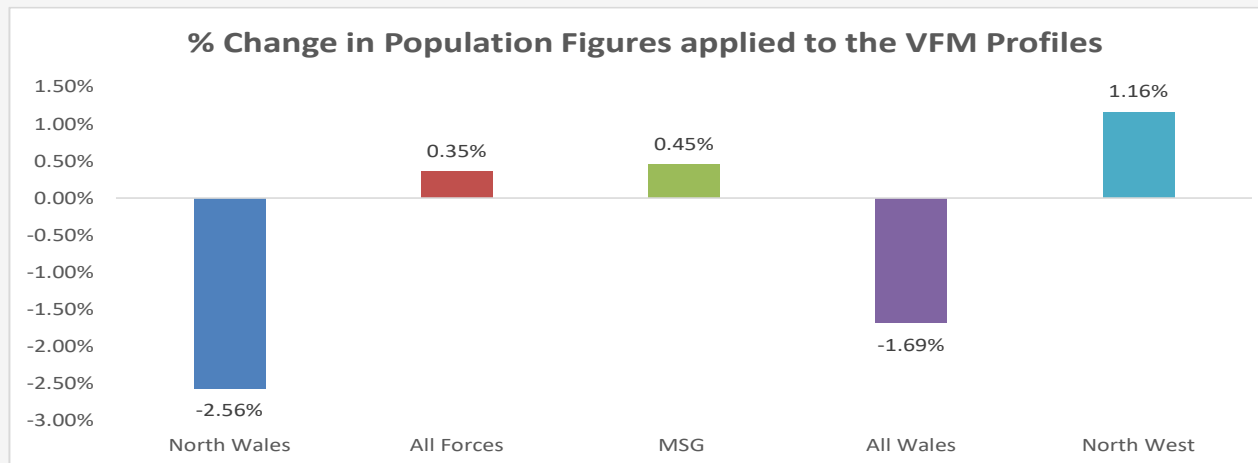
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- Indicative data which shines light on areas worthy of further investigation (triangulation)
- HMIC - Profiles prompt questions rather than to provide judgements
- Option to include or exclude Metropolitan Police from the profiles - Skew the data
- 43 Forces structured in different ways – Profiles attempts to benchmark
- Factors to consider:
  - VFM is measure of Economy, Efficiency and Effectiveness
    - Economy based on 23-24 Budget and Cost per '000 population
    - No Efficiency and Effectiveness measures include with current profiles, historically were based on Crimes and Outcomes
  - Outputs Measured on Cost per '000 population - No consideration of second homeowners/holidaymakers/day visitors with measurement tool deemed to be a relative blunt tool
  - Data Set Unaudited with data quality issues historically identified – Data set 300,000+
  - Demand vs Coverage
  - Geography, Rurality, Force Size and Economies of Scale
  - Impact of Outsourcing and Collaborative arrangements on profiles
  - Enabling/Support Functions – Cost per FTE better measure than Cost per '000 population (more frontline officers require more Estates, ICT, Vehicles, Training etc).

# Value for Money Profiles - Comparison

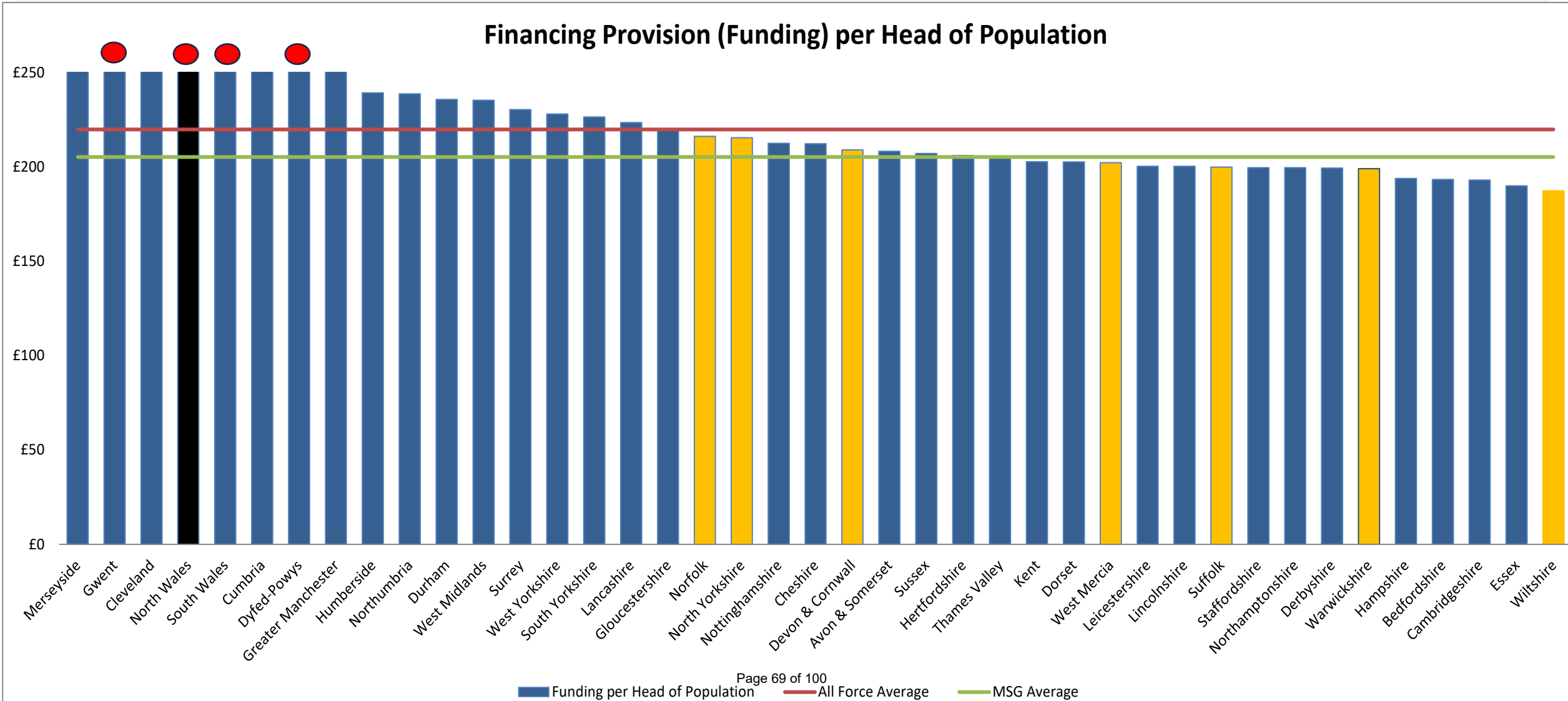
Value for Money Profiles undertake comparisons with:

- All Forces
- Most Similar Group made up of the following forces:
  - Devon & Cornwall, North Yorkshire, Norfolk, Suffolk, Warwickshire, West Mercia, Wiltshire
- Historically the force has undertaken comparisons with the other Welsh and North West forces given our close political and operational ties
- HMIC have revisited the population figures which underpin the profiles and moved to the CIPFA methodology of (ONS' mid2022 estimates) mapped onto Force areas. The change in the methodology reduces population for North Wales from 706,308 to 688,201 a reduction of 2.56% where all other comparator groups with exception of All Wales has seen an increase.

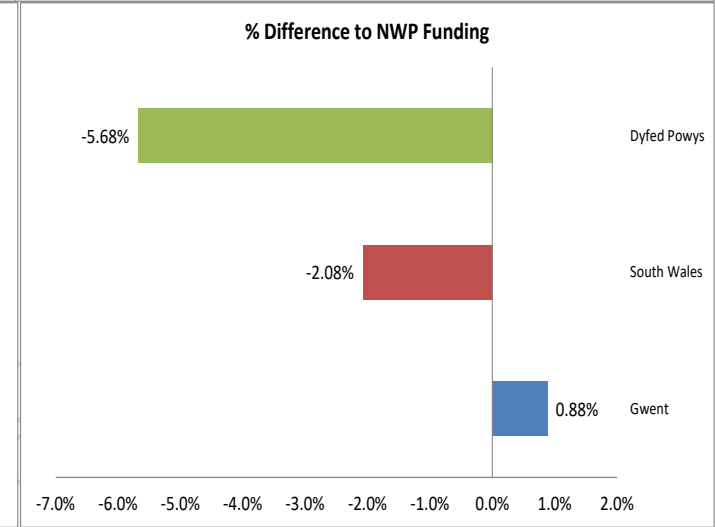
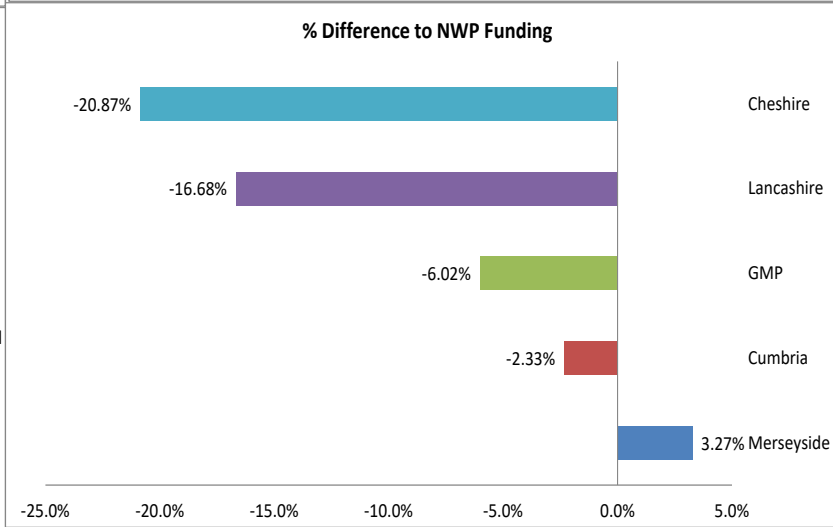
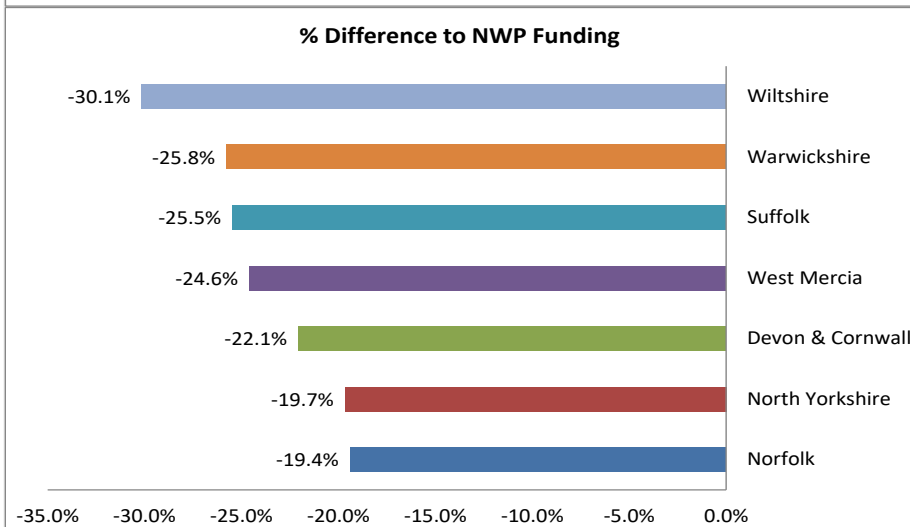
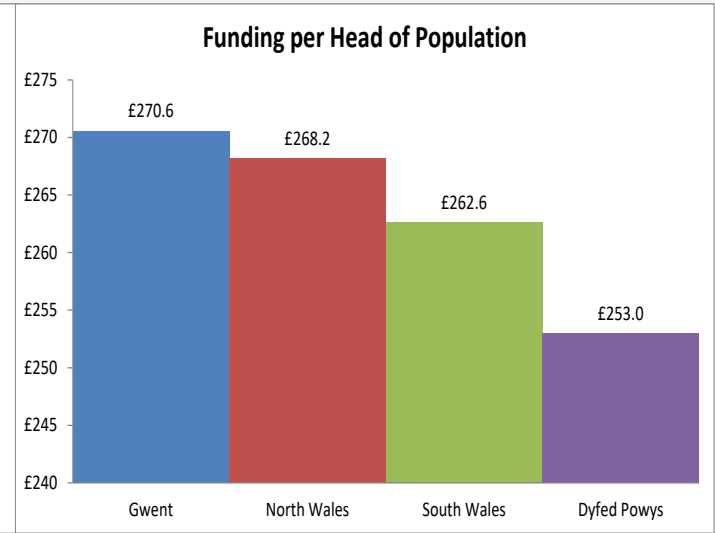
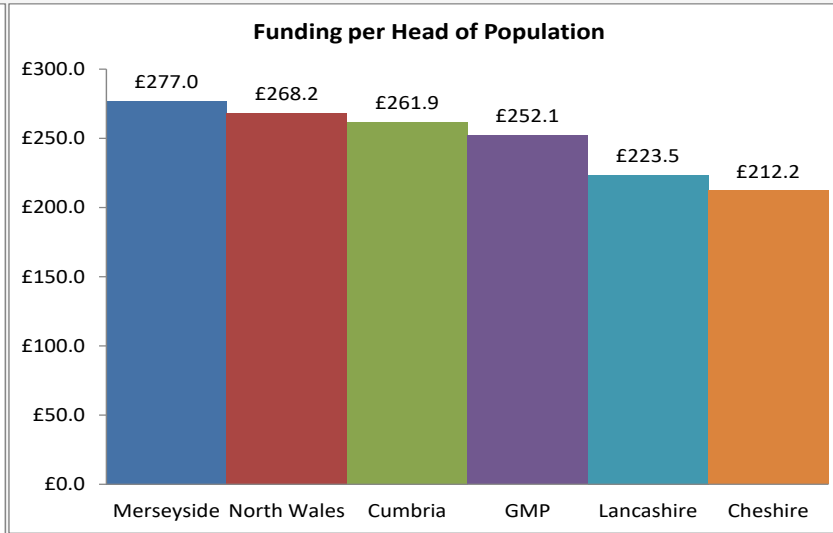
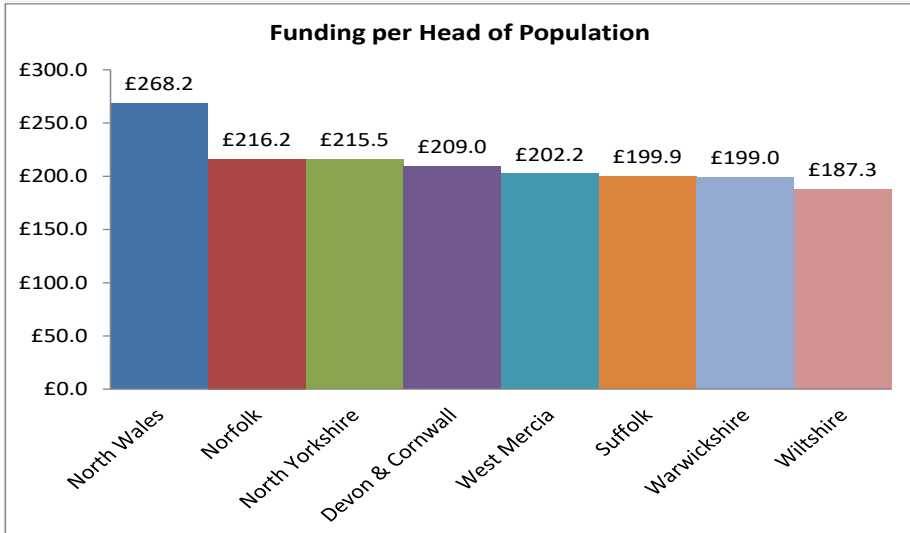


- Risk – The funding formula has not been reviewed for a significant period. The current formula predicated on 2011 population figure. Above highlights that when formula refreshed there is a risk that North Wales Police loses out as our population has not increased proportionally as much as other Forces.

# Funding per Head of Population



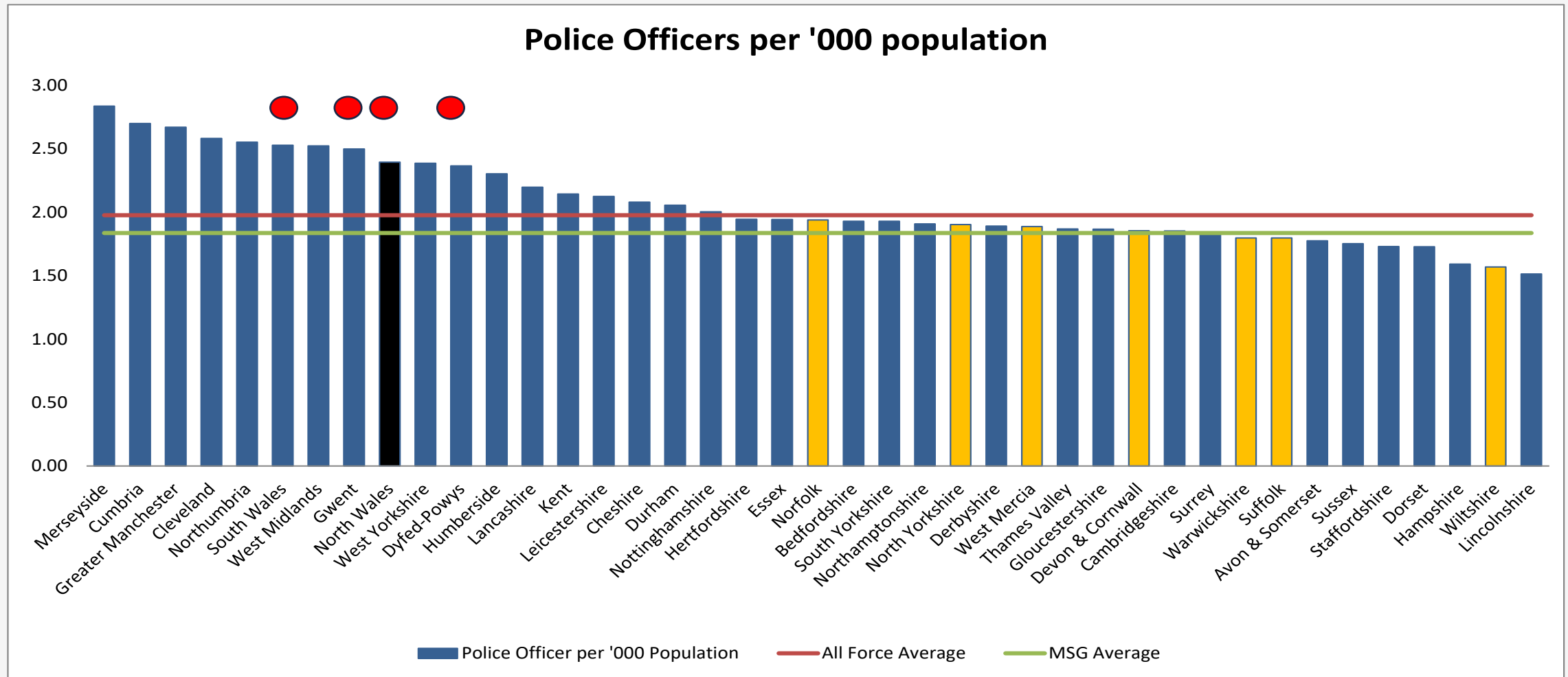
# Funding per Head of Population – Comparator Groups



# Expenditure per Head of Population – What is money spent on?

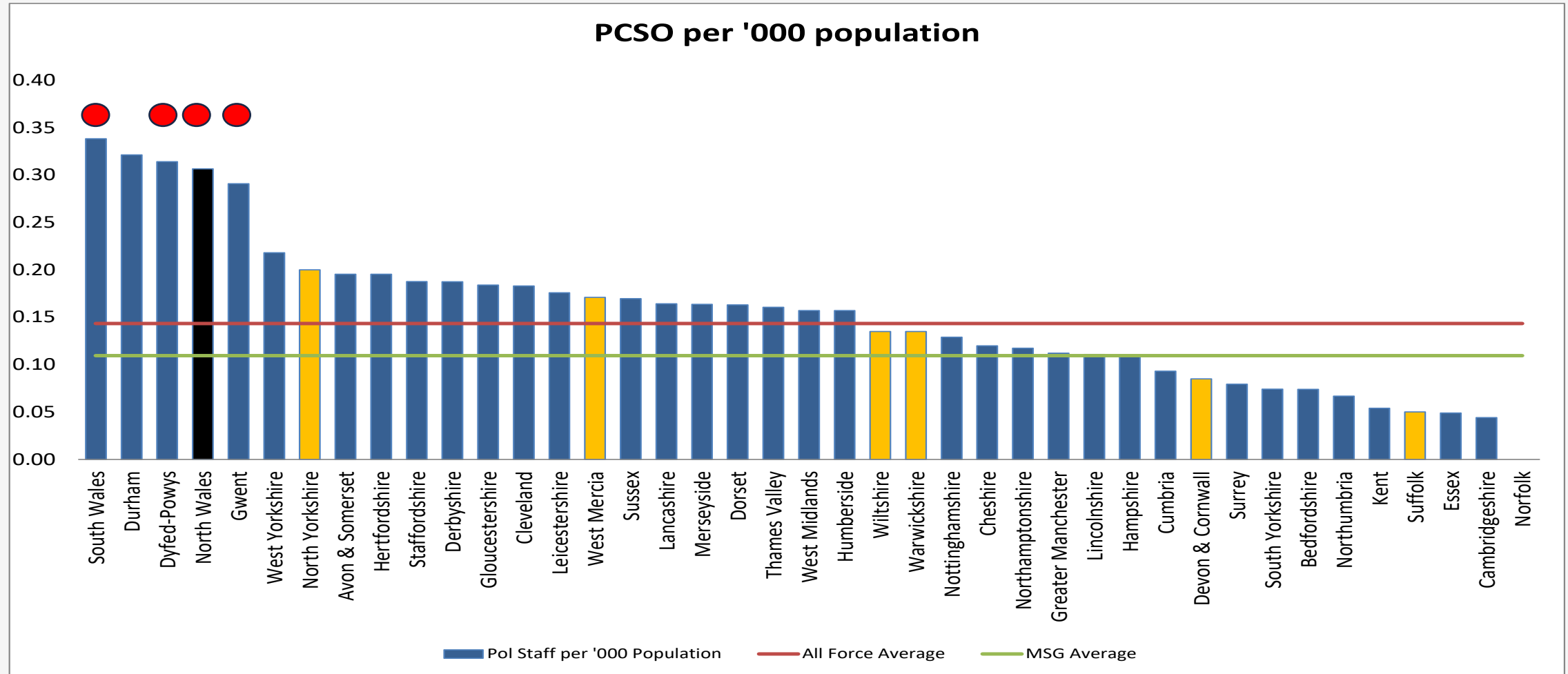
	Difference in £m			
Category	All Forces	MSG	All Wales	North West
Police Officers	14.5	24.8	-4.4	-1.3
PCSOs	4.1	5.0	-1.2	4.3
Police Staff	7.7	9.0	3.8	7.7
<b>Workforce</b>	<b>26.4</b>	<b>38.9</b>	<b>-1.8</b>	<b>10.7</b>
Non Staff Costs	10.3	13.3	4.0	6.8
Earned Income	-3.4	-10.0	2.0	-1.9
<b>Net Revenue Expenditure</b>	<b>33.3</b>	<b>42.3</b>	<b>4.1</b>	<b>15.6</b>
	Difference in FTE			
Category	All Forces	MSG	All Wales	North West
Police Officers	288	384	-64	-86
PCSOs	112	136	-10	120
Police Staff	151	168	37	138

# Police Officer per '000 Population

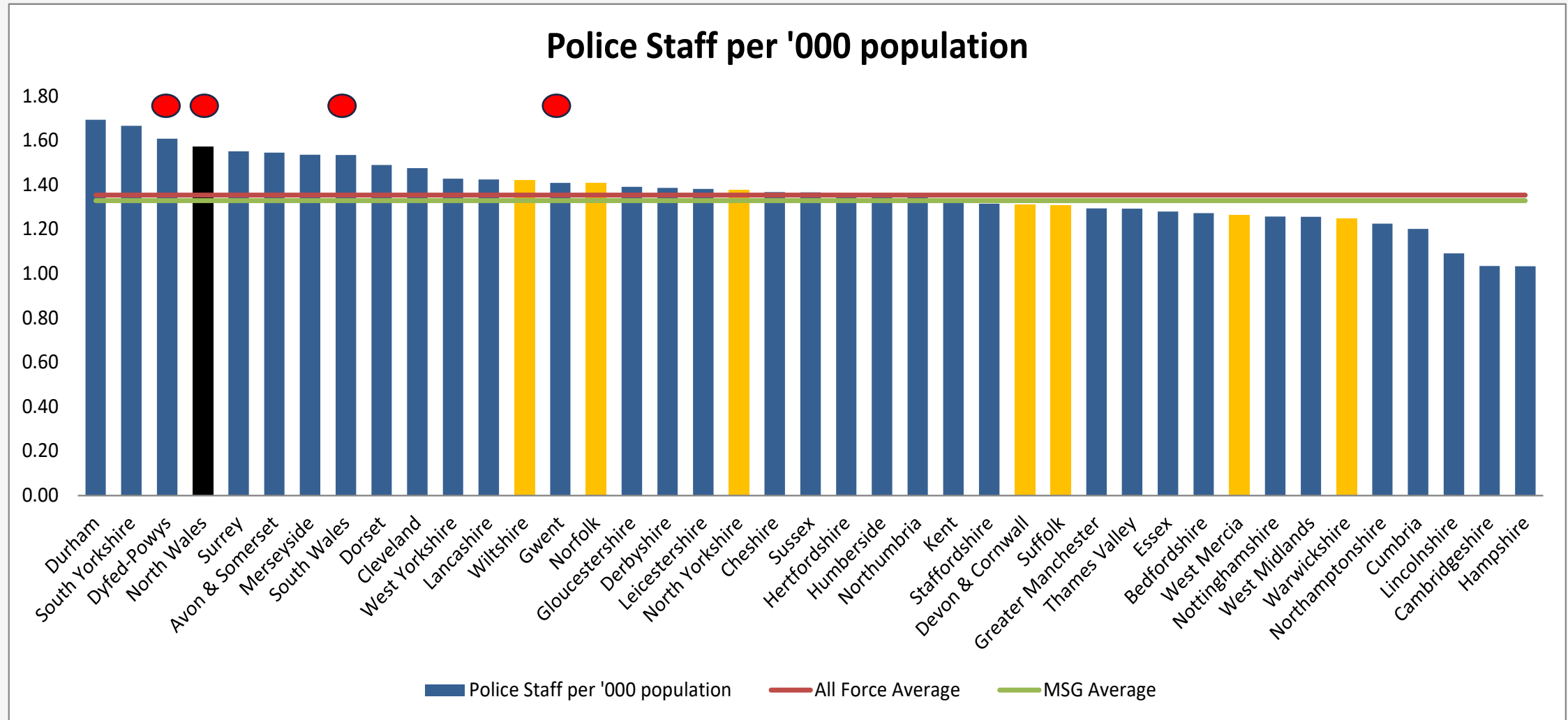




# PCSO per '000 Population

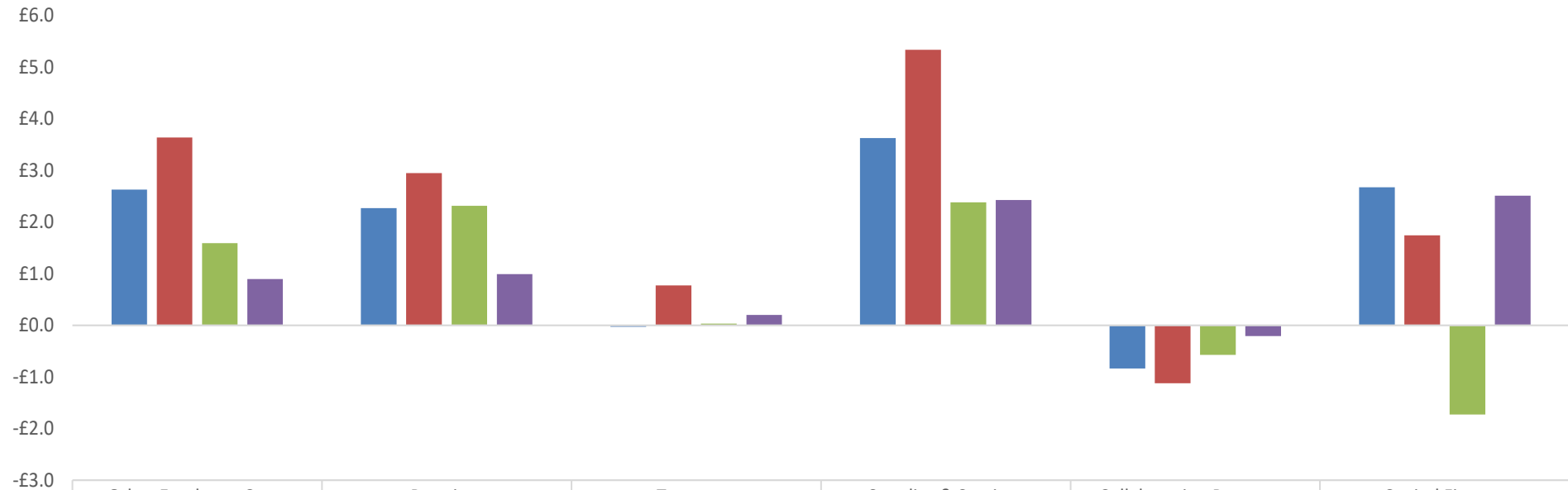


# Police Staff per '000 population



# Non Staff – Variance £m

Non Staff - Variance £m



	Other Employee Costs	Premises	Transport	Supplies & Services	Collaboration Payments	Capital Finance
■ All Force (£m)	£2.6	£2.3	£0.0	£3.6	-£0.8	£2.7
■ MSG (£m)	£3.6	£2.9	£0.8	£5.3	-£1.1	£1.7
■ Wales (£m)	£1.6	£2.3	£0.0	£2.4	-£0.6	-£1.7
■ North West (£m)	£0.9	£1.0	£0.2	£2.4	-£0.2	£2.5

■ All Force (£m) ■ MSG (£m) ■ Wales (£m) ■ North West (£m)

# Expenditure per Head of Population – What functions are money spent on?

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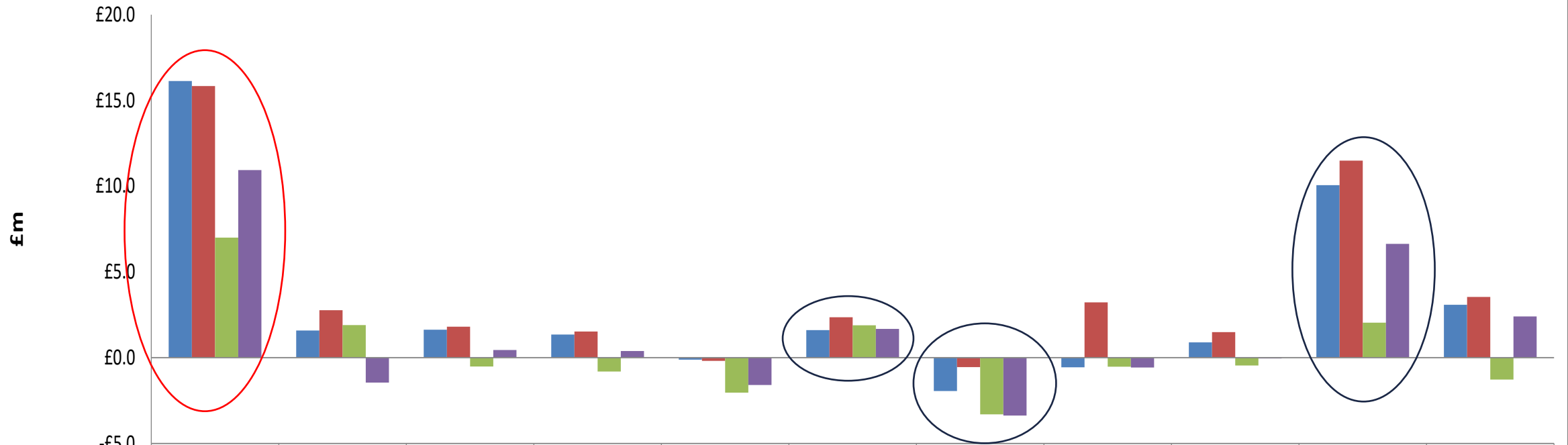
Spend is profiled against the following categories:

- Local Policing – Response, Neighbourhood Policing Teams, Community Liaison, Local CID/Prisoner Processing
- Dealing with the Public – Control Room, Front Desk
- Criminal Justice – Custody, Criminal Justice, PNC, DBS, Coroners, Seized Property
- Road Policing – Road Policing Unit/Casualty Reduction (Go Safe)
- Operational Support – Armed Police, Dog Section, Air Support, Mounted Unit, Advance Public Order, Civil Contingencies (Operational Planning)
- Intelligence – Intelligence Analysis and Intelligence Gathering
- Investigations – Major investigation, SOCU, Economic Crime, Cyber Crime
- Public Protection – All Public Protection – Children and Adults
- Investigative Support – Scenes of Crime, Fingerprint, Digital Forensics etc
- Support Functions – HR, Finance, ICT, Estates, Fleet etc
- Capital Financing incl. Pensions and Exit costs

Important to consider local context and there can be some correlation/relationship between some of the categories.

# Police Objective Categories – Cost per '000 population - Variance £m

POA Categories - Variance £m



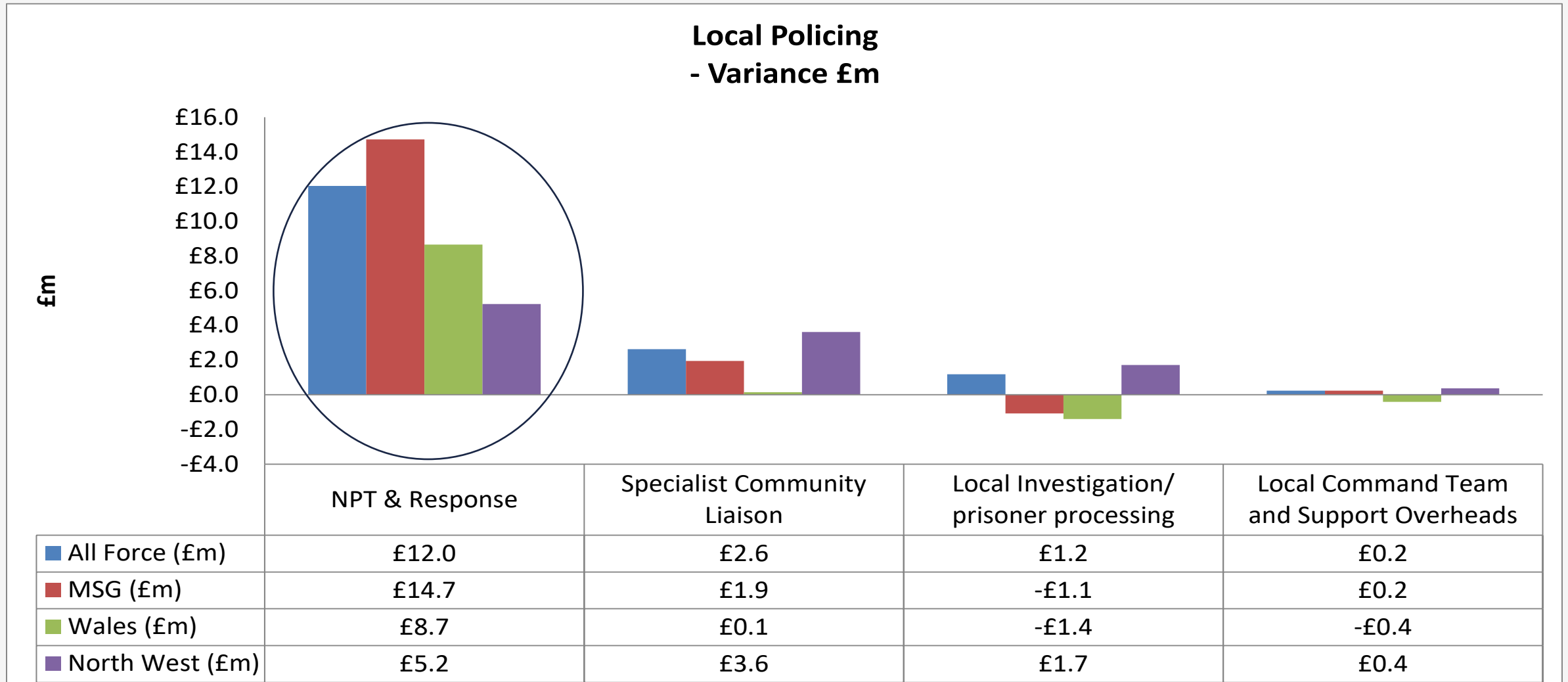
	Local Policing	Dealing with the Public	Criminal Justice Arrangements	Road Policing	Operational Support	Intelligence	Investigations	Public Protection	Investigative Support	Support Functions	Central Costs
All Force (£m)	£16.1	£1.6	£1.6	£1.4	-£0.1	£1.6	-£1.9	-£0.6	£0.9	£10.1	£3.1
MSG (£m)	£15.8	£2.8	£1.8	£1.5	-£0.2	£2.4	-£0.5	£3.2	£1.5	£11.5	£3.5
Wales (£m)	£7.0	£1.9	-£0.5	-£0.8	-£2.0	£1.9	-£3.3	-£0.5	-£0.5	£2.0	-£1.3
North West (£m)	£10.9	-£1.5	£0.4	£0.4	-£1.6	£1.7	-£3.4	-£0.6	£0.0	£6.6	£2.4

# Investment Ranking per '000 population

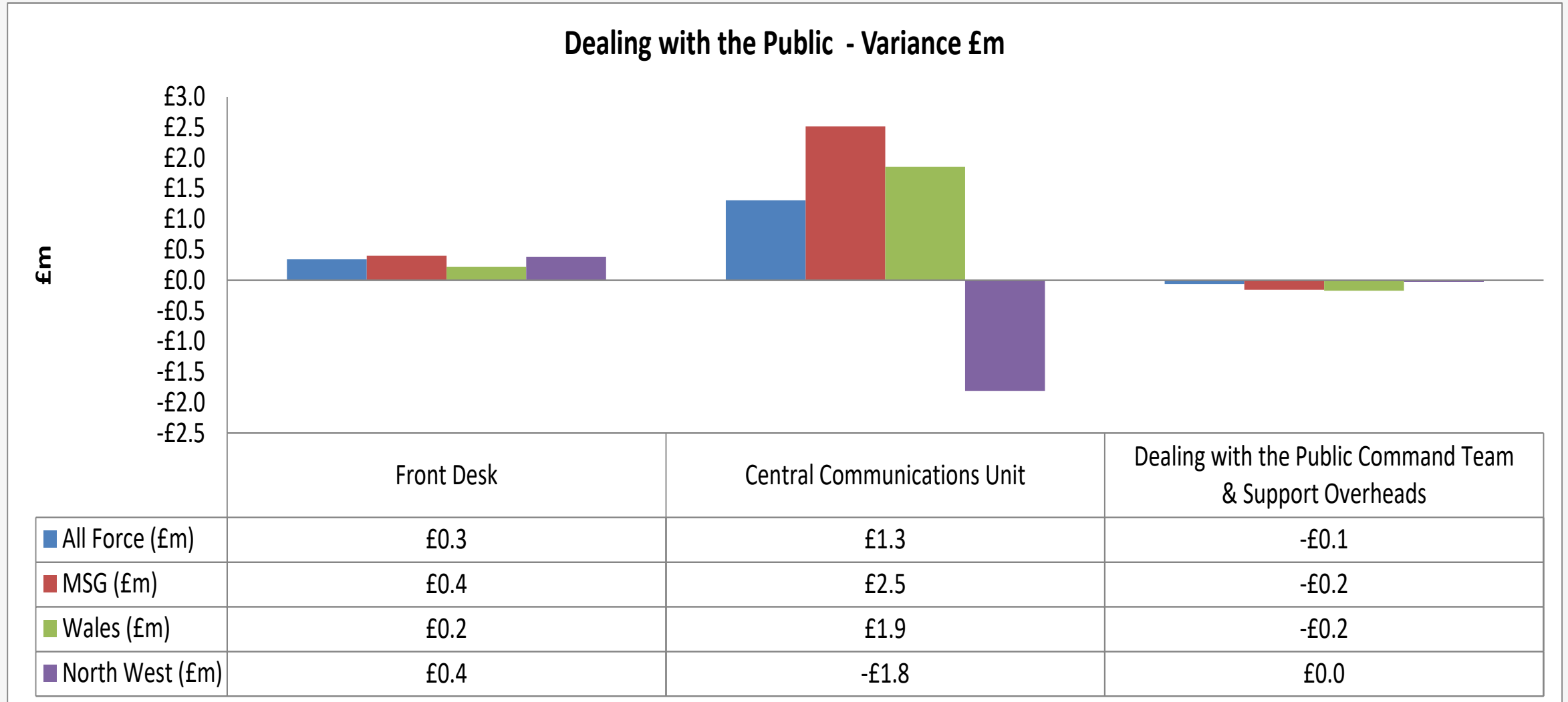
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<b>POA Category</b>	<b>All Force (out of 41)</b>	<b>All Force (Quartile)</b>	<b>MSG (Out of 8)</b>	<b>Wales (Out of 4)</b>	<b>North West (Out of 6)</b>
Local Policing	2nd	Upper	1st	2nd	1st
Support Functions	3rd	Upper	1st	2nd	2nd
Intelligence	6th	Upper	1st	1st	1st
Criminal Justice Arrangements	6th	Upper	1st	3rd	3rd
Dealing with the Public	6th	Upper	2nd	1st	2nd
Road Policing	7th	Upper	2nd	3rd	3rd
Central Costs	8th	Upper	1st	3rd	2nd
Investigative Support	9th	Upper	1st	4th	3rd
Public Protection	17th	Third	1st	3rd	4th
Operational Support	20th	Third	4th	4th	4th
Investigations	32nd	Bottom	5th	4th	6th

# Local Policing – Cost per '000 population - Variance £m



# Dealing with the Public– Cost per '000 population Variance £m





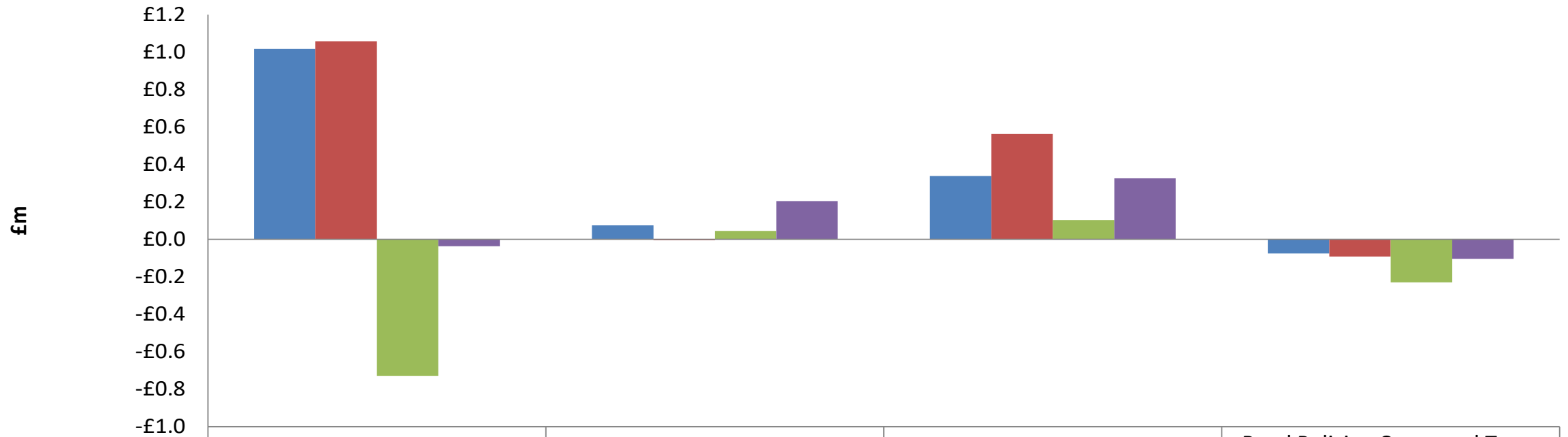
# Criminal Justice Arrangements – Cost per '000 population - Variance £m

**Criminal Justice Arrangements - Variance £m**



# Road Policing – Cost per '000 population - Variance £m

Road Policing - Variance £m



■ All Force (£m)

■ MSG (£m)

■ Wales (£m)

■ North West (£m)

Traffic Units

Vehicle Recovery

Casualty Reduction Partnership

Road Policing Command Team and Support Overheads

£1.0

£0.1

£0.3

-£0.1

£1.1

£0.0

£0.6

-£0.1

-£0.7

£0.0

£0.1

-£0.2

£0.0

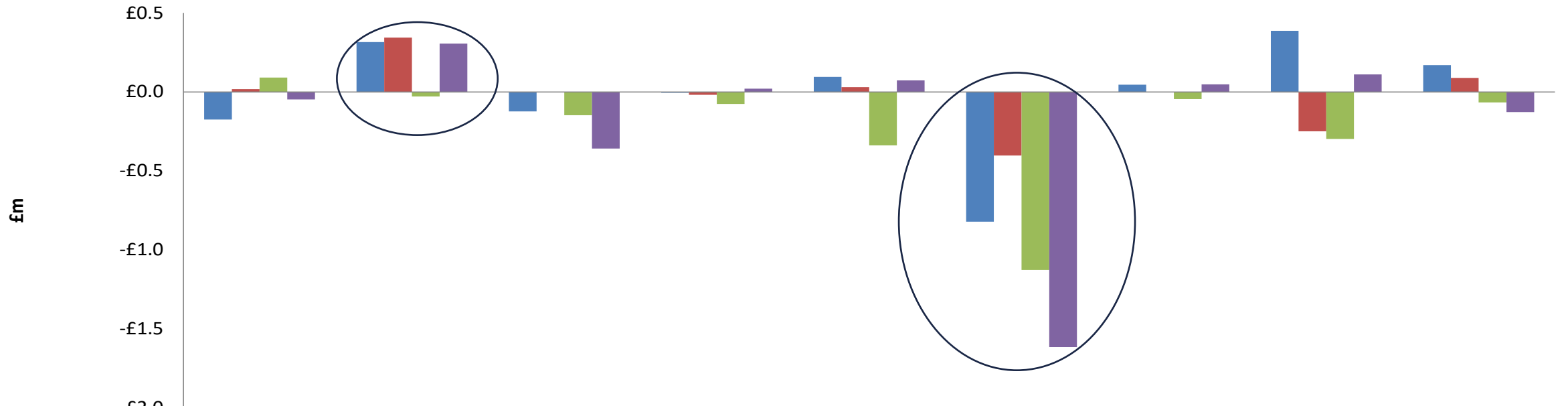
£0.2

£0.3

-£0.1

# Operational Support – Cost per '000 population - Variance £m

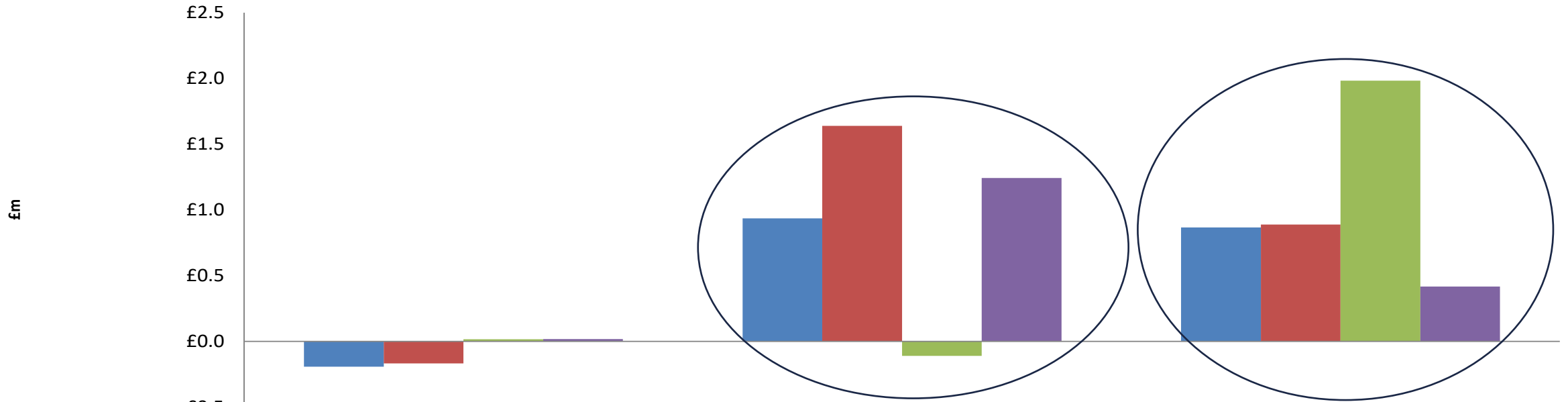
Operational Support - Variance £m



	Operational Support Command Team and Support Overheads	Air Operations	Mounted Police	Specialist Terrain	Dogs Section	Advanced Public Order	Airports & Ports Policing Unit	Firearms Unit	Civil Contingencies
■ All Force (£m)	-£0.2	£0.3	-£0.1	£0.0	£0.1	-£0.8	£0.0	£0.4	£0.2
■ MSG (£m)	£0.0	£0.3	£0.0	£0.0	£0.0	-£0.4	£0.0	-£0.2	£0.1
■ Wales (£m)	£0.1	£0.0	-£0.1	-£0.1	-£0.3	-£1.1	£0.0	-£0.3	-£0.1
■ North West (£m)	£0.0	£0.3	-£0.4	£0.0	£0.1	-£1.6	£0.0	£0.1	-£0.1

# Intelligence – Cost per '000 population – Variance £m

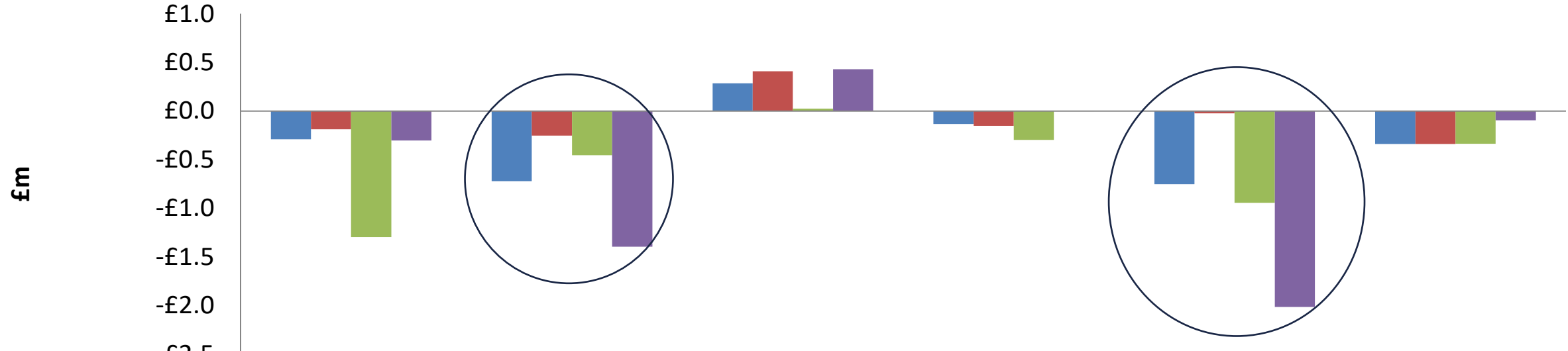
**Intelligence - Variance £m**



	Intelligence Command Team and Support Overheads	Intelligence Analysis / Threat Assessments	Intelligence Gathering
■ All Force (£m)	-£0.2	£0.9	£0.9
■ MSG (£m)	-£0.2	£1.6	£0.9
■ Wales (£m)	£0.0	-£0.1	£2.0
■ North West (£m)	£0.0	£1.2	£0.4

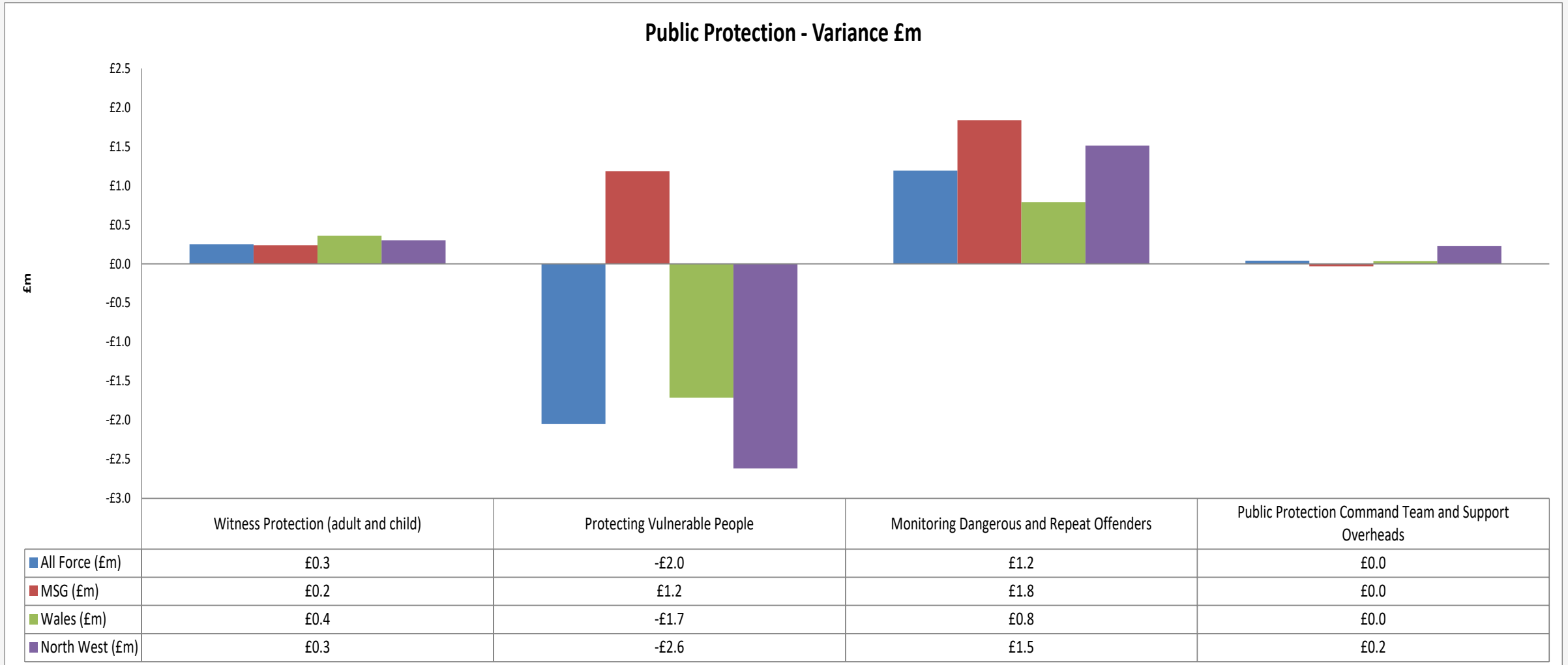
# Investigations – Cost per '000 population - Variance £m

**Investigations - Variance £m**



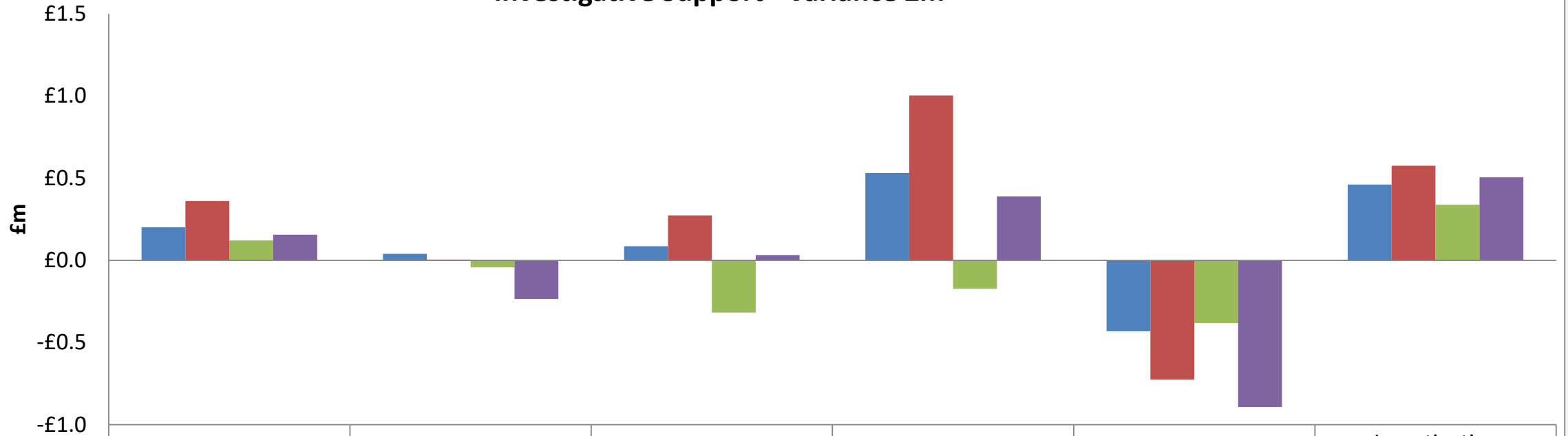
	Investigations Command Team and Support Overheads	Major Investigations Unit	Economic Crime (including Regional Asset Recovery Team)	Specialist Investigation Units	Serious & Organised Crime Unit	Cyber Crime
■ All Force (£m)	-£0.3	-£0.7	£0.3	-£0.1	-£0.8	-£0.3
■ MSG (£m)	-£0.2	-£0.3	£0.4	-£0.2	£0.0	-£0.3
■ Wales (£m)	-£1.3	-£0.5	£0.0	-£0.3	-£0.9	-£0.3
■ North West (£m)	-£0.3	-£1.4	£0.4	£0.0	-£2.0	-£0.1

# Public Protection – Cost per '000 population - Variance £m



# Investigative Support – Cost per '000 population - Variance £m

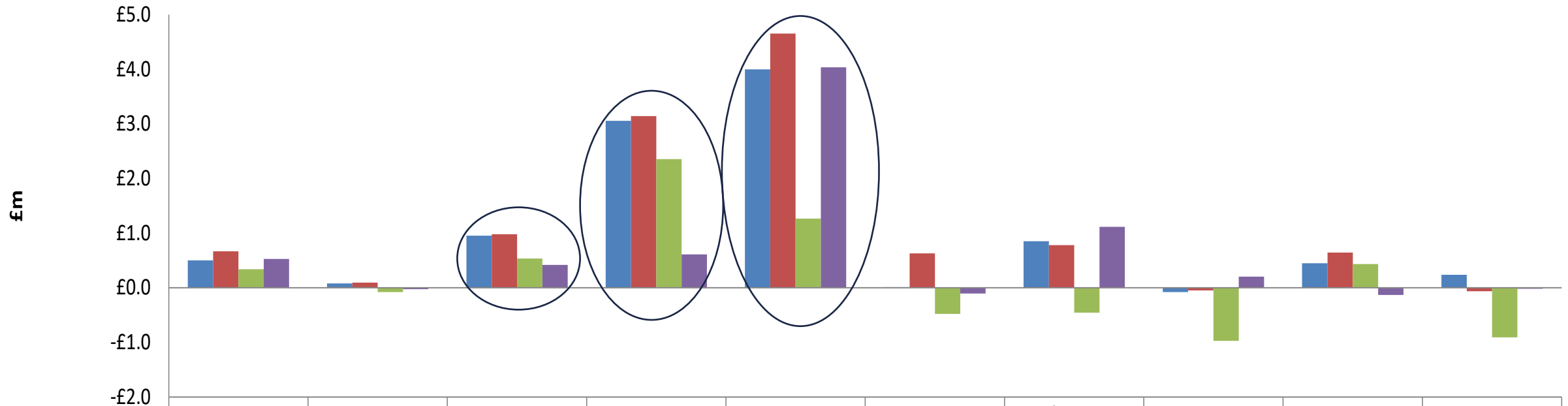
**Investigative Support - Variance £m**



	Scenes of Crime Officers	External Forensic Costs	Fingerprint / Internal Forensic Costs	Digital Forensics	Other Forensic Services	Investigative Support Command Team and Support Overheads
■ All Force (£m)	£0.2	£0.0	£0.1	£0.5	-£0.4	£0.5
■ MSG (£m)	£0.4	£0.0	£0.3	£1.0	-£0.7	£0.6
■ Wales (£m)	£0.1	£0.0	-£0.3	-£0.2	-£0.4	£0.3
■ North West (£m)	£0.2	-£0.2	£0.0	£0.4	-£0.9	£0.5

# Support Functions – Cost per '000 population - Variance £m

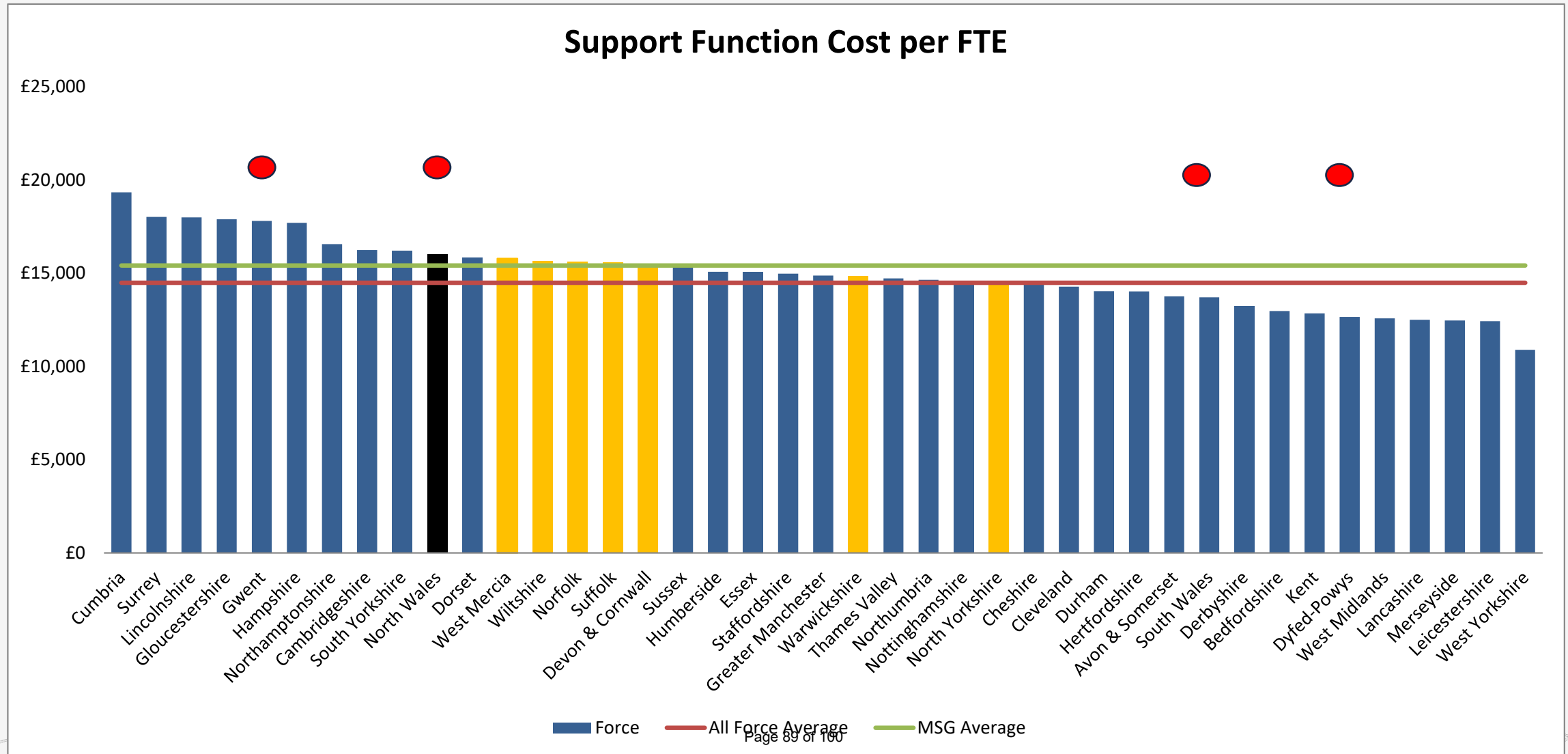
**Support Functions - Variance £m**



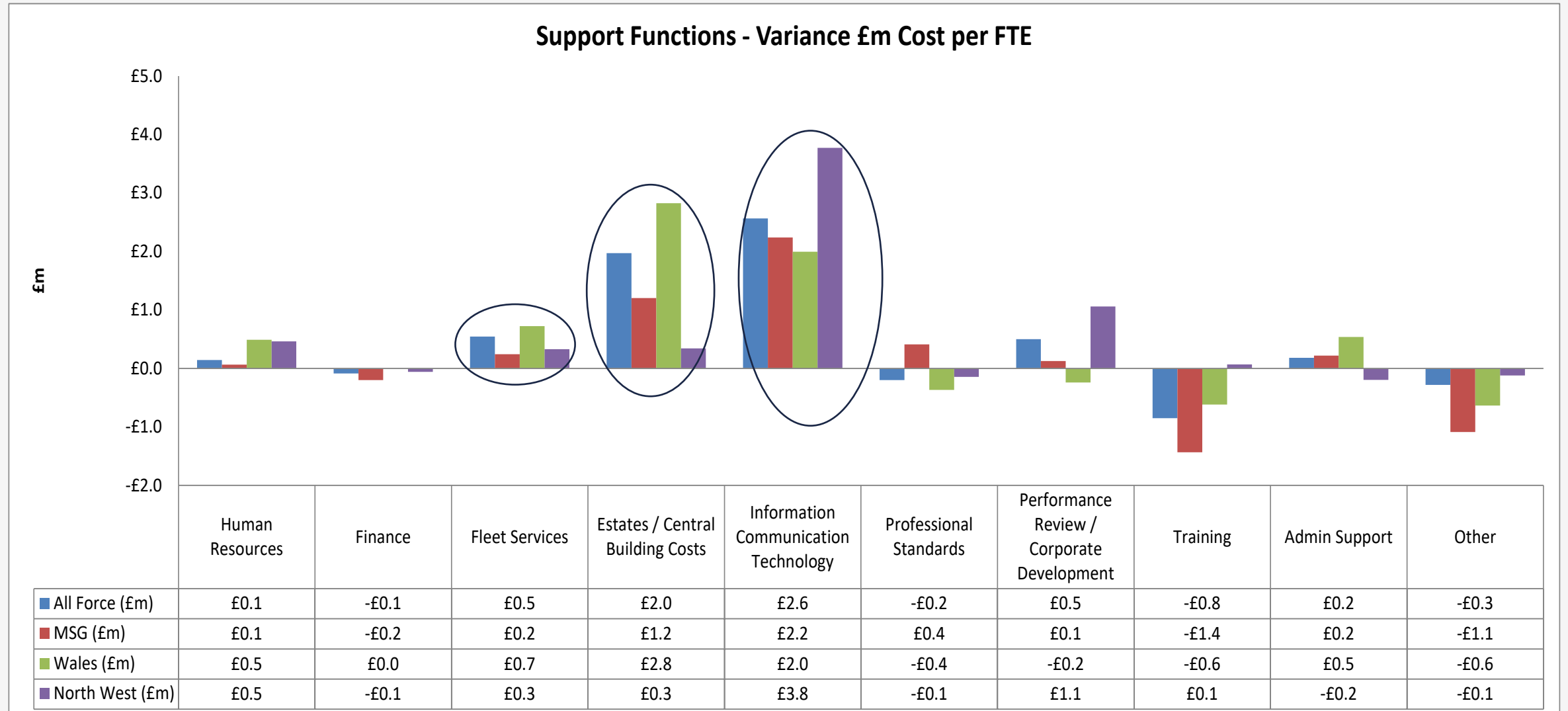
	Human Resources	Finance	Fleet Services	Estates / Central Building Costs	Information Communication Technology	Professional Standards	Performance Review / Corporate Development	Training	Admin Support	Other
■ All Force (£m)	£0.5	£0.1	£1.0	£3.1	£4.0	£0.0	£0.9	-£0.1	£0.4	£0.2
■ MSG (£m)	£0.7	£0.1	£1.0	£3.1	£4.7	£0.6	£0.8	£0.0	£0.6	-£0.1
■ Wales (£m)	£0.3	-£0.1	£0.5	£2.4	£1.3	-£0.5	-£0.5	-£1.0	£0.4	-£0.9
■ North West (£m)	£0.5	£0.0	£0.4	£0.6	£4.0	-£0.1	£1.1	£0.2	-£0.1	£0.0



# Support Functions – Cost per FTE

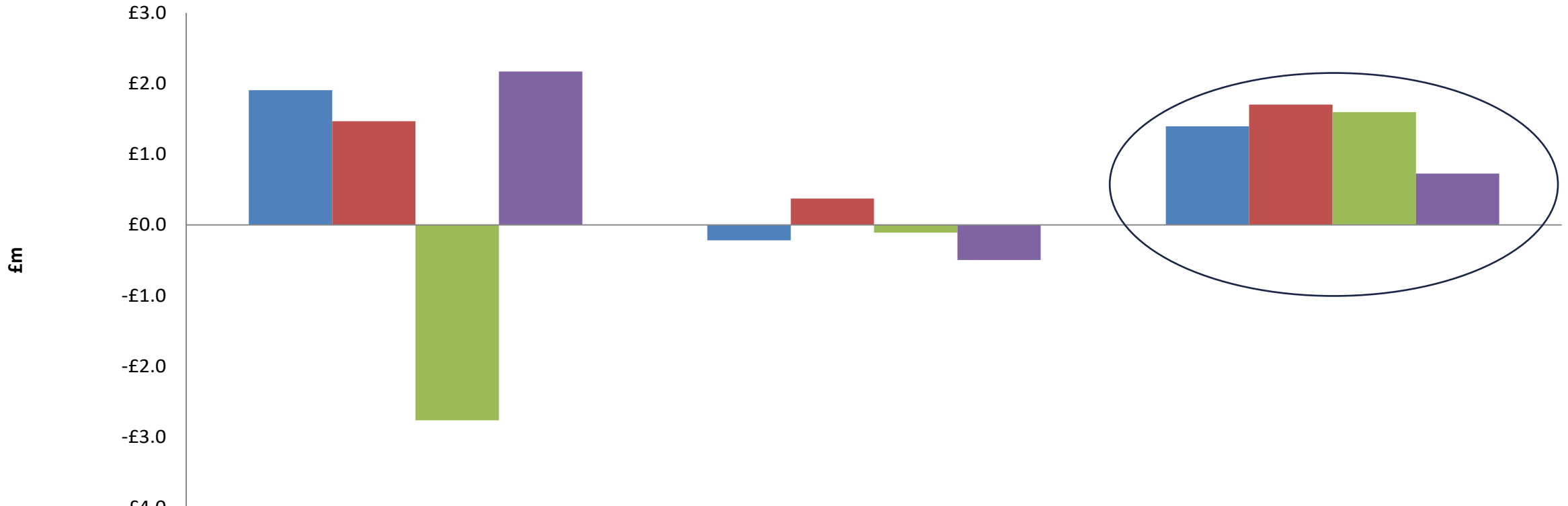


# Support Functions – Cost per FTE - Variance £m



# Central Costs – Cost per '000 population Variance £m

Capital Financing - Variance £m



	Revenue Contribution to Capital	Capital Financing	Pensions and Exit Costs
All Force (£m)	£1.9	-£0.2	£1.4
MSG (£m)	£1.5	£0.4	£1.7
Wales (£m)	-£2.8	-£0.1	£1.6
North West (£m)	£2.2	-£0.5	£0.7

# Conclusion

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- Indicative data which shines light on areas worthy of further investigation with the profiles prompting questions rather than providing judgements
- The profiles are a starting rather than an end point
- Supplement/Support other data set (Triangulation)
- The data set can help deliver value for money and ensure monies is spent in an economical, efficient and effective manner
- The Force is well resourced in comparison to comparator groups on basis of Cost per '000 population
  - More officers, PCSOs and staff
  - Higher level of investment in enabling functions such as ICT, Fleet, Estates and Corporate Development
- The efficiency and effectiveness measurements aligned to the investment need to be developed
- The profiles together with development of appropriate measures can be used to ensure the force delivers value for money with monies spent in an economical, efficient and effective manner



**Joint Audit Committee**

**Meeting Date: 25<sup>th</sup> September 2024**

<b>Title:</b>	Public Procurement Legislation - September 2024 Procurement Update
<b>Author:</b>	Tricia Strong, Head of Procurement
<b>Purpose of the report:</b>	To provide the Joint Audit Committee with a brief overview of the changes being introduced and the Force's preparedness in relation to them.
<b>Level of Assurance:</b>	
<b>The report is provided to JAC for: (tick one)</b>	<input type="checkbox"/> Decision <input type="checkbox"/> Discussion <input checked="" type="checkbox"/> Assurance <input checked="" type="checkbox"/> Information
<b>Summary / Key Points:</b>	<p>The new Procurement Act 2023 was due to come into force on 28th October 2024. It brings with it several changes that public sector organisations need to adopt.</p> <p>The force has been preparing for this change but just prior to issuing the report an announcement on the 12th September 2024 has delayed the implementation until 24th February 2025.</p> <p>This delay, announced by the Cabinet Office, is to allow time for a new National Procurement Policy Statement to be produced, ensuring that the new governments public procurement strategy is aligned to the delivery of their missions.</p> <p>This provides a further 4 months for the Force to prepare for the implementation of the Act.</p> <p>The report provides an overview of the work undertaken to date, some of the issues to consider and next steps to be undertaken.</p> <p>There are no decisions or responses required from the committee in relation to the contents.</p>
<b>Recommendations:</b>	For members of the Joint Audit Committee to note the Head of Procurement's report.
<b>Risk register impact:</b>	None.
<b>Assurance implications:</b>	None.



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<b>Equality Impact:</b>	None.
<b>Information exempt from disclosure:</b>	None - All content in <u>Open</u> Session

## JOINT AUDIT COMMITTEE

25<sup>th</sup> September 2024

### Public Procurement Legislation - September 2024 Procurement Update

#### Report by Head of Procurement, North Wales Police

#### 1. Overview

- 1.1 The new legislation was due to come into force on 28<sup>th</sup> October 2024, but following an announcement on 12<sup>th</sup> September 2024 this has been delayed to 24<sup>th</sup> February 2025 to allow time for a new National Procurement Policy Statement to be produced.
- 1.2 The delay of 4 months does provide more time for the Force to prepare.
- 1.3 The aim of the changes were based around 5 key objectives:
  - Delivering value for money.
  - Maximising public benefit.
  - Sharing information so suppliers can understand the authority's policies & decisions.
  - Acting, and being seen to act, with integrity and transparency
  - Greater regard for small to medium-sized enterprises (SMEs).
- 1.4 It has been described as “the most significant shake-up to procurement law for a generation”

#### 2. What's Been Done

- 2.1 The initial focus has been on ensuring that the Procurement specialists within the Force are suitably trained and familiar with the implications of the changes coming in.
- 2.2 Hence, NWP Procurement staff have all completed the Official Transforming Public Procurement Knowledge Drops and the 10 modules of the [Government Commercial College](#):
- 2.3 The Head of Procurement has also completed the Government Commercial College Deep Dive training.
- 2.4 Two other Procurement Officers have places booked on the Government Commercial College Deep Dive training. The training has been time consuming and complex and so familiarisation with the content has needed to be balanced against business as usual needs.
- 2.5 The Procurement Policy has been updated to reflect the relevant changes and approved will go live on 1<sup>st</sup> October 2024.
- 2.6.1 The relevant Tender Documents and templates have also all been updated.

- 2.7 Work is underway on new flow charts to outline how the new procurement processes will work. These are yet to be completed.
- 2.8 Presentations have been delivered to those most impacted by the changes – those with the most significant external spend budgets of Technology, Estates and Fleet – via a Power Point presentation on changes to Finance and Resources SMT in July 2024.

### **3. Main Issues to Consider**

- 3.1 The changes introduce lots of new Notices but the Procurement team are yet to see the detailed content of these.
- 3.2 They will also introduce change to a number of process which will take some time to work through and reflect in the procurement process flow charts.
- 3.3 Access to the new notice publication system is yet to be shared.

### **4. Summary**

- 4.1 The procurement team are aware of the changes and the timings.
- 4.2 They have been working through the training to ensure that they are sighted on the implications and can ensure that others are also suitably sighted.
- 4.3 There are still a number of uncertainties and areas to work through but the recently announced delay to the implementation timeline provides more opportunity for working through these aspects.

### **5. Recommendations**

- 5.1 For members of the Joint Audit Committee to note the Head of Procurement's report.





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### Joint Audit Committee

**Meeting Date: 25 September 2024**

<b>Title:</b>	Joint Governance Board
<b>Author:</b>	Kate Jackson, Chief Finance Officer, OPCC
<b>Purpose of the report:</b>	Update
<b>Level of Assurance</b>	N/A The purpose of Joint Governance Board is to collate information about the assurance arrangements across both organisations, rather than to provide assurance.
<b>The report is provided to JAC for: (tick one)</b>	<input type="checkbox"/> Decision <input type="checkbox"/> Discussion <input type="checkbox"/> Assurance <input checked="" type="checkbox"/> X Information
<b>Summary / Key Points:</b>	<ul style="list-style-type: none"> <li>• On 4 September 2024, the board:             <ul style="list-style-type: none"> <li>○ Received a progress update on the audit of the statutory Statements of Accounts 2023/24, and updates to the Narrative Report and the Annual Governance Statement</li> <li>○ Received a briefing on the approach to the statements of accounts for 2024/25</li> <li>○ Received an update on the Public Procurement Act 2023</li> </ul> </li> </ul>
<b>Recommendations:</b>	<ul style="list-style-type: none"> <li>• To note the report</li> <li>• For Joint Audit Committee members to be aware that they may attend Joint Governance Board meetings</li> </ul>
<b>Risk register impact:</b>	The way risk is managed is integral to good governance and is considered within the Governance Framework
<b>Assurance implications:</b>	<p>The Joint Governance Board is to oversee changes to assurance arrangements following the Governance Review undertaken in 2023/24. These arrangements will change as a result of the forthcoming review.</p> <p>The Joint Governance Board is to oversee any future changes to the Manual of Governance.</p>
<b>Equality Impact:</b>	None
<b>Information exempt from disclosure:</b>	None



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## JOINT AUDIT COMMITTEE

25 September 2024

Joint Governance Board

Report by the Chief Finance Officer



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### 1. Background

- 1.1. The Joint Governance Board meets four times each year. A work programme has been prepared to ensure it meets its objectives to record governance arrangements, and to oversee and advise on changes to those arrangements.
- 1.2. Members of the Joint Audit Committee have a standing invitation to attend the meeting.

### 2. Recommendations

- 2.1. For members of the Joint Audit Committee to note the work of the Joint Governance Board.
- 2.2. For members of the Joint Audit Committee to be aware that they have a standing invitation to attend Joint Governance Board, and that meeting papers and minutes will be provided to them on request. Meetings are held online via Microsoft Teams and future meeting dates are:
  - Tuesday 29 October 2024
  - Thursday 13 February 2025
  - Tuesday 17 June 2025
  - Tuesday 16 September 2025
  - Wednesday 5 November 2025

### 3. Work of the Joint Governance Board

- 3.1. At the meeting held on 4 September 2024, the following were discussed:
- 3.2. Statements of Accounts 2023/24:
  - The audit is approaching completion;
  - No major errors had been identified;
  - No changes to the prime statements;
  - No changes to the usable reserves;
  - The Narrative Reports are to be updated, to take into account feedback from the accounts briefing session;

- The Annual Governance Statements will continue to be reviewed to ensure that they are up to date when the audited accounts are signed (scheduled for 31 October 2024).

### 3.3. Statement of Accounts 2024/25

- The Director of Finance and Resources presented information on the approach to the statutory statements for 2024/25;
- A number of suggestions were made to improve the statements, in particular regarding the Narrative Report, including placing some information in appendices. These will be reviewed by the Chief Finance Officer and Director of Finance and Resources, with the intention to improve the readability of the statements, while maintaining the transparency of including all relevant information.

### 3.4. Review of the Annual Governance Statement

- It was noted that the AGS must be up-to-date at the time of signature, and is therefore subject to further update before 31 October 2024.

### 3.5. The Board was presented with progress updates on internal audit recommendations and recommendations from Joint Audit Committee.

### 3.6. The Assurance Update report was taken as read, a presentation will be received in a future meeting.

- Consideration is being given to using Office 365 software to manage the risk register;
- The Governance Structure is planned to stay the same as now, with some minor improvements to reinforce processes that were implemented as part of last year's review;
- The policy threshold was discussed;
- Joint Audit Committee member advised on the importance of having deadlines in order for work to maintain momentum.

### 3.7. The Director of Finance and Resources provided an update on the annual JAC evaluation, highlighting areas that have been identified as problematic for the Joint Audit Committee, which includes the format and content of the papers presented to them.

### 3.8. Papers were provided on the Public Procurement Act 2023 and the Data Protection & Digital Information Bill.

4. Members of the Joint Audit Committee will be able to access papers, including minutes and actions from the most recent meeting, via the G-drive. The next meeting will take place on Tuesday 29 October 2024.

## 5. IMPLICATIONS

5.1	Equality	The Police and Crime Commissioner and Chief Constable operate with regard to the principles established within the Joint Equality Plan.
5.2	Financial	The way finances are managed is integral to good governance. The financial policies and the monitoring of financial systems and performance are considered within the Governance Framework.
5.3	Legal	It is a legal requirement to publish Annual Governance Statements for the Police and Crime Commissioner and Chief Constable alongside the Statements of Accounts each year. One purpose of the Joint Governance Board is to record the governance activities for both corporations sole (and ensure any concerns are addressed) in order that the Annual Governance Statements can be prepared accurately and in a timely manner.
5.4	Community and Social Value	Environmental policies, outcomes and engagement (and the monitoring of these) are considered within the Governance Framework. This includes the Wellbeing of Future Generations (Wales) Act 2017.
5.5	Risk	The way risk is managed is integral to good governance and is considered within the Governance Framework.
5.6	Police and Crime Plan	The objectives within the Police and Crime Plan are fundamental to both corporations sole. The way this is monitored is considered within the Governance Framework.

### Report Author

Kate Jackson

Chief Finance Officer

Office of the Police and Crime Commissioner