

JOINT AUDIT PANEL

Date: Friday 12th February 2021

Time: 14:30 – 16:30

Venue: Online Meeting

Attendees Peter Morris (Chair)
Hilary Pogson (Panel)
Ian Cayton (Panel)
John Starkey (Panel)
Foluke Fajumi (Panel)

A/Chief Constable Ian Pilling (GMP)
Assistant Chief Officer Lynne Potts (GMP)
Chief Superintendent Rick Jackson (GMP - Performance and Improvement Oversight)
Superintendent Phil Spurgeon (GMP - iOPS Futures Lead)
Peter Langmead-Jones (GMP - Head of External Relations and Performance)
Janet Moores (GMP - Head of Finance)
Martin Phillips (GMP - Head of Strategic Finance and Financial Operations)
Candice Simms (GMP - Minutes)

Rt Hon Baroness Beverley Hughes (Deputy Mayor of Greater Manchester)
Steve Wilson (GMCA – Treasurer)
Sarah Horseman (GMCA - Head of Audit and Assurance)
Cath Folan (GMCA - Audit Manager (Police and Crime))

Mark Dalton (Mazars - Partner (Public Services))
Amelia Payton (Mazars – Engagement Manager)

Apologies None

M121/JAP Welcome and Apologies for Absence

The Chair welcomed all members and provided an overview of a recent meeting between the Chair and the Deputy Mayor of Greater Manchester discussing the issues currently faced by GMP. The Chair stated the agenda for this meeting should assist the Panel in supporting GMP's service to the public.

The Chair noted today's training was cancelled in order to provide more time to discuss the important matters on today's agenda.

M122/JAP Urgent Business (if any) at the discretion of the Chair

None raised.

M123/JAP Declarations of Interest

None raised.

M124/JAP Approval of October 2020 minutes and actions

The Panel approved the previous minutes as a true and accurate record.

The Panel noted the significance of the Manchester Arena Public Inquiry and how it will create more recommendations for the Force. The ongoing Grenfell Tower Inquiry on London Fire brigade reports that only four out of 29 recommendations have been completed; this could indicate that funding and implementing recommendations could be a more widespread problem for public services.

The A/Chief Constable reflected on the Anthony Granger Public Inquiry three years ago which produced a lot of recommendations for GMP. The Force has since been praised nationally in the way it has complied with the recommendations. It was noted GMP is already preparing for a significant amount of recommendations from the Manchester Arena Inquiry, and there is also backwards facing work ongoing regarding the Kerslake Review.

M125/JAP Approval of January 2021 Panel briefing notes

The Panel approved the briefing notes as a true and accurate record.

The Panel requested an update regarding the Integrated Operational Policing System (iOPS) research referred to in the minutes. The A/Chief Constable advised he had received positive feedback from numerous focus groups with frontline staff that have taken place since Christmas. The focus groups highlighted a range of issues that are currently being worked on, and the Force plans to communicate with all staff in the near future to provide updates on progress that has been made against the issues.

M126/JAP Chief Constable's Update on HMICFRS Report and Response

The A/Chief Constable provided an overview of the report which outlines the progress made by GMP in response to the Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) Victim Services Assessment (VSA) Inspection, and the ongoing commitment to delivery of the action plan moving forward.

Members were advised the Deputy Mayor has commissioned PricewaterhouseCoopers LLP (PwC) to conduct a review of GMP over the next eight weeks. This additional scrutiny will ensure GMP's audit processes and ongoing work give enough assurance that progress is being made. The A/Chief Constable noted the Force is aware that officer behaviour and culture needs to be addressed to drive improvement on the frontline, as well as delivering the strategic improvements around centralised crime recording.

The Panel queried whether GMP is overwhelmed by all the scrutiny currently taking place by different audit/inspection bodies. The A/Chief Constable assured the Panel that whilst scrutiny places additional demand on the Force, it's useful and beneficial to GMP. It is, however, important that duplication of effort is avoided across the different audit/inspection functions.

The Panel queried whether the training sessions referred to in the report had taken place in the timescales proposed. Following GMP's recent Executive Performance Meeting, the A/Chief Constable advised he is satisfied the Force is on schedule for delivering all of the training sessions. The Force has also embedded a process where chief officers contact staff who have attended training courses to capture feedback. Online surveys have also been circulated to capture feedback on training.

The A/Chief Constable informed members that there is no uniform way across policing for recording crime in the control room, and not all forces use their control rooms to record crime. HMICFRS have acknowledged that it would be a positive step for GMP to move to centralised recording of crime. This will support victims

in obtaining crime reference numbers quickly and enable GMP to prioritise according to vulnerability. It was noted that centralised crime recording has always been part of GMP's strategy; however, due to COVID-19 the Force has not been able to move as quickly as anticipated.

The Deputy Mayor noted GMP's VSA Report is the first report of its kind to be published across all forces in the UK. It was noted that this inspection was somewhat different to previous inspections, whereby no interviews with senior ranking officers took place to discuss any improvement plans already in place. The Deputy Mayor highlighted the main findings of the report to members and noted how the Force has moved impressively fast to resolve the areas of concern.

Members were advised how the Mayor, Deputy Mayor, GMP colleagues and others supporting, are all in agreement that implementing the recommendations set out by HMICFRS is not sufficient enough to deal with the wider issues, and more work needs to be done alongside the VSA Improvement Plan. The Deputy Mayor emphasised a root cause analysis and strategic level plan must address underlying issues with regards to aspects of culture, leadership and management, and the Force's operating model.

Since the Panel briefing in January, the Mayor, Deputy Mayor and GMP have attended the first Policing Performance Oversight Group (PPOG) for the Force. Members of PPOG include representatives from; HMICFRS inspectorates, Home Office, National Police Chief's Council (NPCC), College of Policing (CoP), other Police and Crime Commissioners (PCC). At PPOG, the A/Chief Constable gave a comprehensive account of the improvements made so far and plans going forward. Feedback from PPOG was positive and provided reassurance that GMP is making progress. Specific aspects of this programme will now have the additional support from senior people in the policing community.

The Chair queried how GMP measures its progress in making improvements across the Force. The A/Chief Constable advised the PPOG process will play a key role in measuring improvements against the plan. HMICFRS will also be re-inspecting the Force later on this year to provide an official verification of progress against the VSA recommendations. GMP has significantly increased its own audit activity and introduced a Chief Superintendent to lead on Performance and Improvement Oversight. Peer reviews and PwC will also deliver the additional scrutiny needed to provide a multi-layered measure of progress and improvement.

The Panel sought an update from the Deputy Mayor regarding the victim telephone line set up in December 2020. The Deputy Mayor advised there had been 250 calls into the victim line to date; however, some are repeat callers and not individual reports. Of those calls, there have been 120 specific reports/complaints in relation to the VSA report that have been passed to GMP to follow up. Members were advised there has been a reduction in calls and the dedicated line will be terminated in the upcoming weeks. The public will then be directed to contact Victim Support or use other police channels for reporting.

M127/JAP GMP - HMICFRS Oversight Board

The newly appointed GMP Performance and Improvement Oversight Lead introduced himself to members and addressed the immediacy of ongoing work around the VSA Inspection findings. It was noted there is substantive and sustainable change currently being implemented by GMP to address the governance issues referenced in the VSA Report. The Force aims to build on the quality of audit and information to inform business and drive behavioural change throughout the organisation.

GMP advised members that the audit and quality assurance function to inform the Force's governance structure was much stronger in the early 2000s. In recent years, austerity has led to corporate areas subsiding due to the need for increased resources in frontline roles. The new Performance and Improvement Oversight Team will oversee fieldwork and reality testing, and draw in the separate audit functions from around the Force into a centrally governed unit that runs parallel to the Force Management Statement (FMS). The work will be informed by GMP's priorities and various risks that are highlighted by the GMP - HMICFRS Oversight Board (G-HOB). The Force acknowledges that it needs to change and uplift the resource that goes into the strategic planning, policy and governance again to ensure work is aligned.

The Panel queried how other forces compare with regards to open recommendations. GMP recognises that the number of open HMICFRS recommendations is currently higher than other forces; however, this is an area GMP has put a significant amount of focus on over recent weeks. As noted in the report, the new G-HOB will be chaired by the Deputy Chief Constable and its primary responsibility will be to have the required oversight and to coordinate the management of work to address the recommendations and issues arising from HMICFRS inspections and reports. The new arrangements will ensure timely progress to improve practice and mitigate risk.

GMP noted there are two stages involved in closing HMICFRS recommendations. Forces must first demonstrate a response to the recommendation; examples of this are given in the report (pgs. 27-36). Secondly, forces must provide evidence the response has addressed the problem and is providing a sustainable improvement in performance.

The Chair queried what future benefits the Force expects from the officer uplift. GMP advised there are strong indications that the government will attach national performance indicators they expect forces to deliver on in relation to receiving additional officers. GMP is currently in the process of considering where officers will be allocated in 2021/22.

The Panel queried how regularly the Joint Audit Panel will receive updates from G-HOB, and how this will work in practice. GMP assured members that Internal Audit's Head of Audit and Assurance will be an attendee at G-HOB, and will provide a strong link to the Audit Panel and the Deputy Mayors Executive Meeting. It was noted reports and any red flags from G-HOB will be shared with Panel members outside of this meeting.

The Joint Audit Panel endorsed the proposed new governance arrangements for HMICFRS inspection reports.

M128/JAP iOPS Progress and Delivery of Benefits

GMP's iOPS Futures Lead introduced himself to members and provided an overview of the report which provides an update on the progress in the continuing development of iOPS technology.

Members were advised GMP was successful in delivering the 2.7 PoliceWorks upgrade in January and the Force was back online earlier than planned. It was noted there were some post launch issues in PoliceWorks such as the reduced speed of completing actions, which impact on both staff workload and staff confidence. The Force is currently working to understand and resolve the performance issues. User confidence remains high in ControlWorks.

In addition to the update provided in the report regarding iOPS continuing to support the service to victims, members were advised a Silver Group has been established to ascertain how iOPS can further support GMPs progress against the VSA recommendations. This feeds into the Gold Group chaired by the A/Chief Constable.

In terms of early benefit, it was noted how people's ability to navigate around the systems has become much smoother than GMP's legacy systems, freeing up time to carry out other duties. The Force continues to look into more ways to automate manual processes and improve effectiveness and efficiency.

The Chair queried whether other forces have difficulty in delivering complete Home Office Annual Data Returns (ADR). GMP noted that every force would find it difficult to deliver a satisfactory level of data following a fundamental information services transformation programme.

The Panel queried whether GMP is likely to provide crime figures in line with the Tranche 3 dates suggested in the report. Members were assured that the Force anticipates providing these figures earlier than autumn and has made further progress since the report was written. GMP advised its External Relations and

Performance Branch (ERP) have processes in place to maintain the standards of data compliance and are able to flag when standards are not met.

Members were advised that an in-house GMCA team recently conducted a review of iOPS and produced a report with suggestions for GMP to take forward.

The Panel noted it was good to see there have been continuous improvements with iOPS and its functionality and recognised the importance of further improvements.

M129/JAP External Audit Annual Audit Letter 2019/20

Mazars provided an overview of their Annual Audit Letter which summarises the work they have undertaken as the External Auditor for the Chief Constable of Greater Manchester Police for the year ended 31 March 2020. The letter confirms Mazars issued a clean unqualified opinion on the Chief Constable's financial statements, and also a clean unqualified value for money (VfM) conclusion in respect of the Chief Constable's arrangements.

Mazars highlighted a new section of the Annual Audit Letter, Forward Look: Audit Changes 2020/21 (pg.53), and confirmed their final audit fees for 2019/20 (pg.52). The additional fees noted in the report relate to national/sector wide issues and have been discussed and agreed with management.

The Panel were advised on the significant changes to the work on VfM arrangements (pg.53), and the way External Audit report the outcomes of their work. Mazars anticipate providing further detail on the changes to the Code of Audit Practice in their External Audit Plan at the next Joint Audit Panel.

Mazars advised the Annual Audit Letter will be replaced by the Auditor's Annual Report for 2020/21, noting the timescales for this report will be brought forward. The Auditor's Annual Report is to be expected at the same time as the External Audit Completion Report covering the financial statement.

Due to the new Audit Code resulting in additional officer time and auditor time, Mazars are currently considering their fees for 2021/21. Fees are anticipated to increase by circa 15% as a result of the recent changes.

M130/JAP External Audit Progress Report

Mazars provided an overview of their report, which provides the Joint Audit Panel with an update on progress in delivering responsibilities as GMP's external auditors.

Mazars highlighted their response to the HMICFRS VSA Inspection Report which constitutes significant weaknesses in GMP's arrangements against the criteria in the Code of Audit Practice. Mazars noted their recommendation to the Force, and reiterated that this will be included in the commentary on VfM arrangements within the Auditor's Annual Report 2020/21. In addition, Mazars noted further risks of significant weakness in VfM arrangements will be emphasised in their Audit Strategy Memorandum for 2020/21.

Mazars will undertake additional procedures/reviews to determine whether there are further significant weaknesses to report, and will be liaising with HMICFRS in advance of concluding on their work.

M131/JAP Annual Self-Assessment of Panel Effectiveness

The Chair noted last year's process for the Annual Self-Assessment of Panel Effectiveness will be repeated again this year. Internal Audit's Head of Audit and Assurance will circulate the electronic survey to Panel members and regular attendees prior to the next meeting. Results of the survey will be discussed at April's Joint Audit Panel training session, and the results and any subsequent action plan will be reported at the following Joint Audit Panel.

M132/JAP Internal Audit Plan Progress Report

Internal Audit provided an overview of their report, which informs members of the Joint Audit Panel of the progress to date of the delivery of the Internal Audit Plan. The main change in the report notes that Internal Audit are supporting the Force in responding to the recent HMICFRS VSA Inspection. The Head of Audit has attended a number of the Crime Recording Gold Group Meetings in January 2021 and is currently liaising with the Force to determine how Internal Audit can provide independent assurance on their audit processes.

Due to the increased scrutiny of GMP, Internal Audit recognises they must play a careful role in avoiding duplication or adding additional burden to the Force. It was noted Internal Audit will communicate more with External Audit to see where they can assist and work better together.

Members were advised of the five reports that have been issued since the last meeting of the Joint Audit Panel held on the 21st October 2020, and the Internal Audit work currently in progress.

The Panel approved three changes to the Internal Audit Plan:-

- One addition to the plan: Supporting the response to the HMICFRS VSA
- Two deferrals: Firearms – Physical control and storage of firearms held across the Force
Firearms – Regional Training Collaboration

The Panel requested more information on why the COVID-19 Cleaning Arrangements Audit has been paused. Internal Audit advised that current restrictions have prevented them from carrying out the required work. GMP assured members that the Force has an internal Working Safely Team, led by a superintendent, that has representatives from areas such as Facilities management and Health and Safety. The Working Safely Team are continuously conducting reviews to ensure the Force is complying with the Working Safely Guidance. The weekly Silver COVID-19 Meeting also constantly reviews GMP against this area of compliance.

Internal Audit confirmed their team will be fully staffed from March 2021.

The Panel queried the background of the Finance Control Account Audit. Internal Audit advised this audit was requested by Finance in response to an exercise they had undertaken to ensure control accounts were properly managed.

M133/JAP Annual Review of the GMP Strategic Risk Register

Members considered the GMP Strategic Risk Register and were updated on recent changes the Force has implemented to ensure the register is reflective of the current risks to the organisation.

The A/Chief Constable presented an overview of the current risks on the Strategic Risk Register and assured the Panel of the mitigations and controls in place to manage them. The Panel sought clarification on the impact of some of the risks and acknowledged whilst some technology related risks are listed separated, this is due to the risk having multiple impacts which require differing approaches to the mitigations.

M134/JAP Internal Audit Action Tracker Report

Internal Audit provided an overview of the report, which provides the Panel with an update on the implementation of previous audit actions.

It was highlighted that there has been a slight decrease in the overall on-time implementation rate for audit actions.

Internal Audit advised GMP have shown some improvement and implemented six historic actions since the last Action Tracker Report in October 2020.

The Panel queried whether Internal Audit are satisfied with the progress made against the CARE and Disclosure Audit actions. Internal Audit advised a recent update in January confirmed all actions have now

been implemented. Internal Audit are yet to measure the effectiveness following the implementation of the actions. It was noted there is no specific timescale to measure effectiveness of action implementation, and this depends on the nature of the action. Internal Audit will consider incorporating timescales for when actions will be followed up and reassessed for effectiveness.

The Panel sought an update on GMP's ability to comply with Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR). Following discussions with the provider of the i-Trent System and colleagues at Greater Manchester Shared Services (GMSS), there is technical work ongoing to make the required amendments to the i-Trent System. The amendments will allow GMP to report in the way that's required. The next step will be to incorporate the Health and Safety Forms onto the mobile platform to allow officers to record their issues, which will automatically be integrated into the Health and Safety reporting system.