

JOINT AUDIT PANEL

Date: 23rd October 2019

Time: 14:15 – 15:40

Venue: Room 422, Fourth Floor, Greater Manchester Police Headquarters, M40 5BP

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

ACO Lynne Potts (GMP)
ACC Chris Sykes (GMP)
Janet Moores (GMP – Head of Finance)
Candice Simms (GMP – Minutes)

Sarah Horseman (GMCA – Head of Audit and Assurance)
Cath Folan (GMCA - Audit Manager (Police and Crime))

Mark Dalton (Mazars - Partner (Public Services))

Apologies Ian Hopkins, Chief Constable, GMP
Richard Paver, Treasurer, GMCA

M042/JAP Welcome & Apologies for Absence

The Chair opened the meeting by welcoming Mark Dalton, GMP's new engagement lead for External Audit, and guest speaker ACC Chris Sykes.

The Chair noted the plan of recruiting a fifth member to sit on the Panel. GMCA added that recruitment is underway with the expectation to employ a new Panel member before the end of 2019.

M043/JAP Urgent Business (if any) at the discretion of the Chair

None raised.

M044/JAP Declarations of Interest

Ian Cayton, Panel member, advised he has been elected Chair of the Moston ward Labour Party.

M045/JAP Approval of previous minutes and actions

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

M046/JAP Terms of Reference

The Chair advised the terms of reference are on the agenda at each meeting to support the meeting in being effective in its purpose.

M047/JAP Annual Self-Assessment of Panel Effectiveness

The Chair noted that self-assessments are beneficial in allowing members to see how well they are performing individually and the Panel collectively.

Internal Audit advised that they have been working on the format of the annual self-assessments for this year. It was noted that a questionnaire will be circulated to all members for completion, prior to the January 2020 meeting. The questionnaire incorporates areas such as independence, objectivity, communication, skills, understanding of the role of the panel, and feedback on how effective the Panel has been in operating over the last 12 months. Questionnaire feedback will be collated by Internal Audit and a follow up discussion will take place regarding training and areas for further development.

M048/JAP iOPS Implementation

The Chair raised several areas of interest for the Panel in relation to the Force's implementation of integrated Operational Policing System (iOPS). These included:

- Background and functionality;
- testing;
- feedback on performance;
- the impact of system shortfalls on performance, morale and effectiveness of officers and staff within GMP; and
- the current status of iOPS, including benefits expected to be accrued by the Force as a consequence of the system improving over time.

ACC Sykes gave a succinct overview of iOPS and how it delivers a single modern operational policing system by replacing; crime and intelligence, command and control, case and custody, and potentially property, with a commercial off the shelf (COTs) managed service. It was noted that an aim of iOPS was to enable the Force to work more effectively with key partners.

The Chair queried how many forces of material size currently use iOPS software. GMP noted the command and control system, ControlWorks, is a well-known package supplied by Capita to forces such as Derbyshire Constabulary and Police Service of Northern Ireland. It was noted that West Midlands Police are due to go live with ControlWorks in the near future. GMP also noted that parts of PoliceWorks are live in Durham Constabulary and Cumbria Police.

The Chair queried how many modifications have been made to iOPS core software. GMP advised ControlWorks and COGNOS have not been modified in any way.

The Chair sought reassurance on a number of issues, including the amount of planning which had been undertaken ahead of implementation, the issues that arose following the implementation and the adequacy of the training that had been delivered by the force.

GMP reassured the Chair and members of the Panel as follows:

- Contingency plans for business continuity were in place during the week of go-live and are continually reviewed.

- All possible options for implementation of the new system were explored extensively and due to the nature and complexities of GMP's legacy systems and data, parallel running the systems had not been a viable option.
- There are more planned software/system updates being implemented over a period of time, each one bringing system enhancements. It was noted that there are continuous improvements every week as the Force continues to fine tune the system.
- iOPS training has been ongoing since January 2018. As the initial implementation was deferred, training was carried out again at the beginning of 2019. GMP stated the training gave a good overview of the systems and further specialist training was given to different departments. Due to the complexity of the systems, GMP advised it is more beneficial to provide additional training on iOPS according to role and the areas of the system that will be most relevant to individual users.
- The Force has also deployed 'Super Users' to all areas of GMP to provide training support and these have been readily accessible since implementation and continue to be available to users. The number of Super Users continuously gets refreshed according to demand.
- It was noted that iOPS provides the Force with a better sight of operational demand and risk
- Work is now underway to return the Force to business as usual.

The Panel queried whether all levels/ranks and partners had been involved in the planning stages of iOPS. GMP advised this was the case and the decision to Go-live had been taken by Exec Co, where the Superintendent's Association, Unison and the GMP Federation are all present. The Panel noted the importance of involving the staff associations in supporting the workforce during such periods of change.

The Panel sought reassurance on the recent media headlines in relation to whistleblowing and GMP reassured members that staff and officers do come to the Force with their concerns; however, a small number choose to raise their concerns in other ways. The Panel noted the importance of internal communications throughout all levels/ranks.

The Panel queried how the implementation of iOPS was audited to gain assurance. GMP advised that External Audit, as part of the Value for Money (VfM) assessment, looked at the Force's Governance arrangements and gave a fair and balanced assessment. GMP noted that throughout implementation there was an independent Quality Assessor making comments and reporting to the Deputy Mayor.

M049/JAP Progress against the Internal Audit Plan 2018/20

A request was noted to reduce the 2020 audit plan by 330 days to align with current resources in Internal Audit. Internal Audit advised they have been working closely with GMP to identify the lower risk areas that can be removed from the plan. Internal Audit gave an overview of the report, including the audits proposed to be removed from the current internal audit plan and the rationale for removing them from the plan.

In response to a query from the Panel, Internal Audit provided Members with details of the audit resources available at comparable Forces. The Panel expressed its support for ensuring that there was sufficient internal audit input to deliver a work program appropriate for an organisation of GMP's scale and complexity.

External Audit advised they take the internal audit plan into consideration when gauging assurance for the Force, specifically for coverage proposed with a particular focus on financial systems and risk management. It was noted that External Audit review the output of Internal Audit, which then feeds back into the External Audit risk assessment relevant to their responsibilities under the code of audit practice.

The Panel noted how in time it would be beneficial for Internal Audit to look into the change management process. Internal Audit highlighted the importance of getting involved early in the process of change.

GMP advised that Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS) will be undertaking a review of iOPS in early November 2019. The report is scheduled to be published in early 2020.

Internal Audit advised that the progress report against the plan will come to every meeting.

The panel approved the revised plan.

It was noted that there are six reports which are in draft format awaiting response from the Force. Report summaries will be circulated by Internal Audit when the reports have been formally issued. Internal Audit advised that key performance indicators (KPIs) are now in place to measure the progress of actions and reporting.

M050/JAP Audit Panel Workplan 2019-20

It was noted that Panel members are welcome to submit any suggested topics of discussion for the work plan directly to the Chair.

ACTION: Internal Audit to update the Audit Panel Workplan 2019-20 on the timescales when the Force's Risk Management Arrangements and Policy will be reported to the Panel. Also the timing of the External Audit Private Discussion will move from April to June 2020.

M051/JAP Internal Audit Action Tracker Report

Internal Audit provided an overview of the Action Tracker Report, concluding there are no high priority outstanding actions.

The Panel requested the original dates for expected action completion be included on the tracker. Internal Audit advised that any actions outstanding for more than 12 months get flagged in the meeting together with a detailed update on progress.

ACTION: The Chair requested the original target completion date for each action to be included on the tracker. Internal Audit to revise the format of the report to include the original target completion date on the action tracker report.

M052/JAP External Audit Annual Letter

External Audit provided an overview of the Annual Letter, which contains a summary of the key findings and outcomes from the work undertaken during 2018-19. It was noted that the Annual Letter builds on the Audit Completion Report and issues a clean audit opinion on the Force's financial statements and VfM conclusion.

The Panel noted that the VfM conclusions (pg. 46), reserves and balances, has not been revised following the discussion back in April 2019 regarding the reserves.

The Chair queried if any information is collected from other clients of External Audit which measures satisfaction. External Audit advised they undertake a National Annual Client Satisfaction Survey; the current version will be issued shortly.

The Panel raised the importance of noting that External Audit concluded in their letter that the Force had appropriate operational governance arrangements in place to oversee the implementation of the Information Services Transformation Programme (ISTP), including iOPS.

It was noted that the External Audit Annual Letter will be made available on the public website.

ACTION: External Audit to revise the VfM section ensuring clear illustration of the reserves.

ACTION: External Audit to collate and share results from their 2017-18 National Annual Client Satisfaction Survey.