

**JOINT GOVERNANCE BOARD**

**28 October 2021**

**PRESENT:d**

Kate Jackson, Chief Finance Officer (Chair) [KJ]

Guto Edwards, Head of Finance [GE]

Sian Wyn Jones, Risk and Business Continuity Coordinator [SWJ]

Helen Cargill [HG], TIAA

Stephen Hughes, Chief Executive [SH]

Helen Wynne-Williams (Head of IT) [HWW]

Sarah Davies, JAC Lead on Ethics & Governance [SD]

James Sutton, Assurance Board Chair [JS]

Helen Williams, Finance Control Accountant [HW]

Phil Kenyon, Force Solicitor [PK]

Anita Jones [AJ] (minutes)

**APOLOGIES:**

Sian Beck, T/Ch Supt

Anne Matthews, Finance & Budget Officer

Seb Phillips, Director of Finance and Resources [SP]

Rachel Barber, Joint Audit Committee Chair [RB]

Jonathan Maddock, TIAA (JM)

**276. MINUTES**

The Board reviewed and approved the accuracy of the previous minutes. No matters raised from the minutes.

**277. ACTION LOG**

See action log for updates.

**278. EMPLOYMENT TRIBUNAL LESSONS LEARNED**

PK explained that he was asked to bring this to the meeting by SP as we had noticed that there was a little spike in relation to employment tribunal claims and PK wanted to position this and advised that compared to some other forces we are still in a very very good place but compared to our history we seem to be getting a group. PK said to put this into context, we had around 6/7 ongoing at the same time. PK agreed to have a look at these to identify if there were any common themes that came from them as it takes a lot of time and money to deal with these and is detrimental to employer/employee relations. PK looked over the claims in order to establish some ‘lessons learned’ and produce a short update report for the SLT meeting in order to make the leaders of the organisation aware of some if the issues along with some recommendations.

PK talked through the update and explained that there were a number of tribunal claims at the time it was produced in August – some were well advanced, predominantly discrimination claims and most were disability discrimination claims. PK and JP (Jenny Parry) identified some common themes and their plan is to share these with the SMT’s. Headlines and issues identified were Business cases and staff movement. PK explained that having looked at these some deficits were identified and there was a need to ensure they were robust and withstand scrutiny, especially post covid and agile working, ensuring support departments were involved and consulted in moves. A suggestion was a matrix of departments so that when there is a potential move, this will ensure that finance, estates, ICT etc. are aware of the move and that parties involved know the implications. There was also a suggestion for oversight from organisational planning board for insight on who will be moving where.

A further decision was to mirror the National Decision Making Model (keep re-evaluating, testing any decisions ensuring this is being looked at from the other party.)

Other themes include poor performers, record keeping and ensuring records are accurate and up to date, recording reasonable adjustments and put in trigger dates for review for software and license renewals, disability passports. Appropriate use of additional support was also looked at, and appropriate engagement with support departments.

PK wanted to stress that if there are employees that require reasonable adjustments, then these should not be seen as difficult employees and that these employees are valued and that it is worthwhile for us to make the adjustments to suit their needs, as well as this being a legal duty. PK and SP will be attending a disability and equality network and will be looking to identify suitable positive role models. These lessons learned will be rolled out to local teams going forward.

SD highlighted an observation on the performance issue and tribunals and advised that on some occasions managers do not feel like they have the correct tools in order to do a good job.

SD asked what measures and training will be put in place to support managers when there is a staffing issue that may arise and on how we can solve it rather than it going to a tribunal.

PK advised that they are starting by rolling this out to managers, and balancing this with training on how to deal with these difficult situations with regards to staff, and on when to involve the HR professionals, although this needs to be monitored with regards to managers assuming that these matters should automatically be handed to HR.

**279 -** **CASE STUDY: GOVERNANCE STRUCTURE PROCESS TO DECISION – ICT SOURCING** (presentation)

SP had asked HWW to share a few slides which shows the case study of the governance on a programme of work.

HWW described the scope of the programme including the IT sourcing programme, Future IT department, and Applications Management Review.

HWW talked through the recommendations and the support in reaching the final recommendation, and advised the recommendation which we have arrived at is the Hybrid Multi Source.

SH advised that at the end of the process there is one additional step which does fall under governance and raised the question that when the PCC does sign off a piece of work such as this that is of a significant and substantial nature and a matter of public interest, they would publish decision notices on the website with any supporting information. This is reported to the Police and Crime Panel.

GE advised that even with the level of governance at the table that there are some things which are out of our control. One thing that was discussed at the last meeting was that with the Hybrid model that we have got, we have new posts coming in and we are going out to tender with three different tenders, but at the moment the cost of procuring IT and IT staff is rising higher than inflation. GE also advised that they are monitoring closely if there is a risk that the cost will not fit in the budget.

**280 - CHANGES TO GOVERNANCE STRUCTURE – COMMISSIONING / DECOMMISSIONING OF MEETINGS**

JS advised that there were no meetings being commissioned/decommissioned.

**281 -** **REVIEW OF INTERNAL AND EXTERNAL AUDIT RECOMMENDATIONS**

GE told the group that since the last meeting we have had 2 finalised reports, so the capital programme got a substantial and the pension cyber security got a reasonable. Three drafts are being reviewed at the moment, with 5 drafts due, and two other audits underway and 13 others to be done by the end of February. In terms of the client briefing notes, there was one which hadn’t been closed but has been closed today (28.10.21). There are two limited assurance audits which have been discussed previously with a lot of work ongoing around these, and AM and Neil Ackers have met with the relevant officers around these this week and it is documented that all the actions have been undertaken so we are looking to change those recommendations to “implemented”. There is a meeting on 04.10.21 to include SP, GE and AM to go through the detail.

GE also advised that we are monitoring the numbers with regards to Properties Subject to Charge.

HC highlighted that another paper has come out today which is a Safety Camera Partnership which is a collaborative one. North Wales came out with a substantial assurance on this one. The collaborative Treasury Management is nearly due to come out, and the Budgetary and Controller Ledger should be out within the next week or so.

**282 -** **REVIEW OF CLIENT BRIEFING NOTES/FRAUD ALERTS ISSUED BY INTERNAL AUDIT**

GE covered this as above.

**283 -** **REVIEW OF RECOMMENDATIONS FROM JOINT AUDIT COMMITTEE**

SH gave an update on behalf of KJ due to technical difficulties but SH said that SP and KJ were able to consider the draft minutes of the previous audit committee meeting and took these into account in compiling the agenda for today’s meeting. This process seems to have worked well in formulating the agenda for today and this will continue for future meetings too.

**284 -** **ASSURANCE UPDATE**

SWJ updated the group on the report and in terms of policy there is still a lot work ongoing implementing the recommendations from the policy threshold project. SWJ is engaging heavily with the policy writers and owners to try and complete this piece of work. Risk and Assurance mapping and in terms of risk Neil Ackers is engaging with the risk leads and the risk owners, with regular reminders being sent to individuals to ensure they review and update the ongoing risk to remain on target. Neil is also conducting a monthly review of all the risks and highlighting any issues to the SMT’s. Work with assurance mapping has progressed significantly and we now have a clear process as to what we do with assurance mapping which involves assurance mapping, risk once they have been removed from the risk register, any longstanding risks on the register, and any other high level risks which could affect the Force’s ability to meet the priorities. Neil and SWJ are currently working on risk assurance mapping all the risks over 12 months old on the Force Risk register. These are currently in draft form and have a schedule of meetings with the risk leads to finalise these with the hope of finalising these by mid-November and then will be presented SLT and the JAC. Neil continues to meet with the risk managers across Wales with a monthly meeting now taking place between the 4 Forces to gain best practice and lessons learnt from other Forces. SWJ also advised that we continue to provide inputs on risk management and policy to new recruits and at staff inductions.

**285 -** **REVIEW FORWARD WORK PLAN –**

The forward workplan was presented, it was noted that while this is the starting point for agenda setting, it was intended that items could be added or deleted as needed.

**286 -** **ANY OTHER BUSINESS**

No other business was raised.

Date of next meeting: Tuesday 1st March 2022 – 10:00