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Board Meeting

Date & Time: Wednesday 29th January 2020 at 10:30hrs

Venue: Canary Wharf (Rm 2.10)

Present:

Michael Lockwood	Director General/Chair
Geoffrey Podger	Senior Independent Director (SID)
Mary Lines	Non-Executive Director
Andrew Harvey	Non-Executive Director
Manjeet Gill	Non-Executive Director (e-conf)
Bill Matthews	Non-Executive Director
Catherine Jervis	Non-Executive Director
Tom Whiting	Deputy Director General (Strategy & Corporate Services)
Kathie Cashell	Director, Strategy & Impact
Amanda Rowe	Regional Director North West

In Attendance:

Rob Barnes	Head of Business Development (Items 11 &13)
Mike Benson	Head of Finance
Margaret Bruce	Governance Secretary
Lianne Corris	Head of Private Office Group
David Emery	General Counsel
Thea Walton	Head of Knowledge and Oversight (Item 14)

1. WELCOME AND INTRODUCTIONS

The meeting commenced at 10.30hrs and was quorate. The Chair welcomed members and other attendees to the meeting. The Board welcomed Amanda Rowe, who has recently been appointed as Lead Regional Director and noted that she will attend Board meetings pending the new Deputy DG (Ops) assuming office.

2. APOLOGIES

There were no apologies received.

3. DECLARATION OF INTERESTS

Members were invited to declare any interest in the items on the agenda. There were no declarations of interests.

4. MINUTES OF THE LAST BOARD MEETING HELD MONDAY 9th DECEMBER 2019 (PAPER REF IOPC 01/20/04)

The Board considered the minutes of the last meeting held on Monday 9th December 2019.

Agreed: To approve the minutes as a correct record. The Chair signed the document for publishing in line with the Standing Orders.

5. MATTERS ARISING FROM THE LAST BOARD MEETING (PAPER REF IOPC 01/20/05)

The Board considered the matters arising from its last meeting in December 2019.

Actions: to present the following to the January 2020 Board meeting.

- Quality Assurance Framework. This is addressed under 14.
- An update on performance framework. This is addressed under item 12.
- Gender Recognition Policy. This is addressed under item 15.
- Draft Business Plan and draft budget. Both are addressed under item 12.

Agreed:

- To note the report.
- That all the actions have been completed.

6. UPDATE FROM THE HR & REMUNERATION COMMITTEE (ORAL)

The Committee chair informed that the next meeting would be held on Wednesday 12th February 2020 in Warrington. There was no other update.

Agreed: To note the report.

7. REPORT FROM THE AUDIT AND RISK ASSURANCE COMMITTEE (ARAC) MEETING HELD WEDNESDAY 22ND JANUARY 2020 (ORAL)

The Committee chair informed that the meeting was generally very satisfied with progress. The meeting discussion included:

- Strategic risk – the register presented for scrutiny covered legislative change, ICT, data breaches etc.
- Risk Management Policy – was reviewed in response to organisational changes. The policy was approved.
- Embedding risk – the Committee received an update on the work in progress. It commended the positive trajectory and the progress made.
- Financial Scheme of Delegation – the Committee considered and approved the revised document. It also noted other pending areas.
- Management judgement – there was discussion around liability and reinstatement costs within the Accounts. This will continue to be monitored.
- Data protection – the most recent dashboard was presented. The meeting also received a progress report on audit work in this area. It commended the focussed and proactive approach adopted.
- ICT – the discussion focussed on the progress made with the transition contract with SSL Ltd and on the new and future work proposed. Progress was felt to be very positive.
- Planning in progress for next F/Y Internal Audit programme. Members were invited to contribute views as necessary.

The minutes would be circulated in due course.

Agreed: To note the report.

8. STRATEGIC OBJECTIVES – PERFORMANCE AND PROGRESS REPORT (PAPER REF IOPC 01/20/08)

The Director, Strategy & Impact presented the report (to the end of December 2019). In summary, she noted the impact of increased closure rates - 522 cases have now been completed. This is 35% more than have been started. Around 77% of these were completed within 12 months. On casework performance, the Director recalled the projection presented to the Board last year and was pleased to report on progress with Local Resolution and Non Recording appeals work. Some are consistent with the forecasts, some (NR appeals) have exceeded expectation and the DSI review is just below forecast. Overall, there is good progress. This is also an indication of the reliability of (and confidence in) the forecasts.

She highlighted below for consideration:

- **Referrals** – Referrals completed within 3 days – YTD performance = 85% (89% in November). The slight fall was mainly due to December staff leave. Nonetheless, this continues to exceed the 80% target.
- **Investigations** – 46 independent investigations started in December. The total YTD = 388. The average start rate this year = 43 investigations per month. Completion rate

= 57 – an increase from November completion rate (41). So far, the average completion rate is 58 per month.

- **Timeliness for completing investigations: within 12 months** = 91% (up from 63% in November). This brought YTD performance to 83% of investigations (excluding major investigations) have been completed within 12 months. The improved performance in terms of closing longstanding cases has had an impact on overall timeliness. The active caseload has reduced (as at December) to 404 (419 at the end of November). The average age of active caseload remains at 190 working days. The average age of major investigations also remained stable = 725 working days (729 at the end of November).
- **Appeals of investigation and local resolution matters –**
 - Timeliness for completion within 35 working days = 67% (exceeding projected performance of 60%). YTD performance improved = 60% (projection was 57%). Following recruitment, casework staffing is stable. It is envisaged that in January, a significant amount of staff time would be lost to training for legislative change but it is still expected that the forecast would be met or exceeded.
 - Timeliness for completion (of Non-Recording and other appeals) within 25 working days = 56% (58% in November) – YTD remains stable = 55%. This is attributed to staff leave in December. Nonetheless, the backlog has reduced further. 52 more appeals were completed than received.
- **Local DSI investigation reviews** – completion within 30 days improved = 66% (59% in November). Recent recruitment has provided greater resilience to casework teams. A new internal performance measure was introduced to measure the timeliness of local DSI reviews from the date background papers are received. This gives a better picture as a review could only begin once all supporting documentation has been received from the force. The IOPC is working with forces to improve understanding on what to submit so that the review could be conducted in a timely fashion.

The Regional Director also briefed on some of the work in progress around forecasting and what is achievable in terms of timeliness by the end of the F/Y. The current forecast is to close 748 cases by the end of the F/Y. This is significant as it would be the highest number ever closed and will be significantly more than we have opened in the same period. Although it was recognised that closing a number of longstanding cases has had an impact on overall timeliness, it was also recognised that it would mean going into the next F/Y in a much better position.

The Chair emphasised that his aim (by the end of the year) was to close 80% of cases within 12 months. He noted the challenges with the backlog of cases but is now satisfied with progress (given that about 95% have been cleared) and completion of the remaining longstanding cases carried over from the IPCC is envisaged by August. He also commented on the role of the wider system and the role that other bodies play in regard to overall timeliness.

The Board discussed as below:

- To commend the work done to significantly reduce the backlog of cases. Also, to acknowledge that the data is now clearer and has helped to improve effectiveness and efficiency.
- To note the stability achieved but cautioned against complacency and recommended a proactive approach next F/Y.
- To acknowledge the clear signs of progress in investigation timeliness. Also, to highlight the need for proportionality in investigations and to encourage investigators

to be realistic in what is achievable in an investigation without impeding progress in other areas of their work.

- To note the impact of leave/holidays (e.g. Christmas, Easter, Summer and other holidays) on timeliness and the need to plan accordingly to address this.
- To note other work (e.g. residual matters) associated with closed cases to avoid backlogs in other parts of the system and impact on resources. Updates should be provided in this area.
- To emphasise the importance of engagement across the regions and Directorates to improve performance and quality assurance. The Deputy DG (S&CS) explained the work in progress in this area including that undertaken on efficiency planning and next year's performance framework.
- To better understand different case sizes and to better plan resources accordingly. It was explained that work is ongoing in this area to improve understanding on case weighting etc.
- To recommend improvement on the narrative around the good statistics/data provided so there is a better understanding of achievements in performance. Also, to consider whether the targets set are realistic.
- To acknowledge that lessons have been learnt this year and this would no doubt help on ensuring further improvement in the coming year.

Agreed: To note the report.

9. RESOURCES (PAPER REF IOPC 01/20/09)

The Head of Finance presented the financial results reported to the HO at the end of December 2019 and provided other resource information. He noted the report's similarity with the previous month, confirming a continued underspend. To help address this, the HO has agreed that some revenue funds could be transferred to capital so there is sufficient capital for ICT expenditure. The final position for next year's funding would be confirmed by HO in February. Early indications are that we are likely to receive sufficient capital for the Case Management System. Discussions were held regarding the importance of risk-based forecasting going forward. Specifically, he highlighted the updates below:

- **Core business cash underspend** = £2.94m (YTD) underspend (reflecting staff cost and non-staff spend) - forecast £1.14m underspend by the year end.
- **Core business non-cash** = £1.38m (underspend YTD) full year = £1.39m - this is due to significant re-profiling of property related assets to reflect lease extensions actioned last year after the budget was set and further re-profiling undertaken since. Also considered re-profiling of ICT systems going out of support and lease extensions at Wakefield and Croydon.
- **Hillsborough (cash expenditure)** = £0.12m underspend (YTD) (forecast for full year = £0.38m (staff decline). YTD underspend reflects a prior year accrual for estates cost released. The forecast underspend reflects re-profiling of staff resources required to support the re-scheduled criminal trials with less expensive Fixed Term Contacts staff on payroll.
- **Hillsborough (non-cash expenditure)** = £0.15m underspend (YTD) (full year = £0.30m underspend ((re-lifeing of Warrington office).
- **Capital = £0.31m underspend (YTD)** – due to estate refits in progress and timing delays on the installation of some IT projects. Full year forecast = £0.26m – reflecting

revised budget and the committed costs and essential items and refurbishments to Cardiff and Wakefield offices.

The Board discussed as below:

- The current 1% underspend in the budget should be seen as an indication of prudent/effective budget management and good financial control.
- To recommend a continuous review of forecasting given the variances that are presented.
- To continue to ensure there is good quality information which should assist better decision-making. Also, to recommend that good narratives be developed around them.
- To have discussions around the risk appetite for the next F/Y in relation to the budget.

Agreed: To note the report.

10. ORAL UPDATE FROM THE DG

The Chair updated the Board on his recent engagements and other key updates as below.

- IOPC Corporate Leadership Network had met for its biannual conference. The meeting looked at a variety of areas including future design (noted under item 13) and the staff survey.
- Child Centred Policing Conference – there were a variety of presentations including from the IOPC Youth Panel which is a great asset to the organisation. Issues considered include Stop and Search.
- DPP – meeting held with the DPP to discuss areas of mutual interest and cooperation. Positive feedback received from our work on Hillsborough and on community engagement.
- Legislative Change – the new regulations are imminent. This gives the IOPC new powers to investigate without referrals amongst other areas. Meetings have been held with stakeholders, focussing on learning.
- People – following a recruitment process, an offer has been made to a new Deputy DG (Ops). Pre-employment checks are ongoing.
- Operation Midland - there have been positive responses to IOPC recommendations aimed at ensuring changes in policing practice.
- Home Affairs Select Committee (HASC) - Yvette Cooper has been reappointed as the Chair. The IOPC are looking forward to further cooperating with the HASC in any relevant review.
- Critical Case Panel – this has now been established and has commenced work.
- Staff Survey – 21 of the 30 indicators in the recent staff survey had statistically significant improvements with a number of areas now classified as high performing. Of particular note was the response to the question whether the DG/Board have a clear vision for the organisation which scored 15% above high performing.

Agreed: to note the report.

11. ONE PLAN – QUARTERLY UPDATE (PAPER REF IOPC 01/20/11)

The Head of Business Development presented the quarterly report. The aim was to update the Board on key delivery and achievements/progress during the last quarter (October-December 2019) and to look ahead to the upcoming quarter. He summarised as below:

- Key Deliveries/Achievements Q3 - these include ICT disaggregation and related matters such as the successful negotiation of the Termination Assistance Period (TAP). Also, generating new ideas to inform future design aimed at improving key operational processes, organisation delivery and building public confidence. Further, the Critical Case Panel has been established to mitigate some of the issues in operational performance and manage the effective delivery of the most critical cases. It is supported by regional, national functions and DMI panels. He also noted the fourth thematic area of case selection on mental health was to commence, implementation of the efficiency plan, the imminent legislative change and the related preparatory work done to incorporate the change.
- Delivery (and related risks) for Q4 – the primary focus would be engagement with stakeholders (internal/external) and developing the “future design” to inform new processes. Others include mapping for data protection, data warehouse to enable coordination of complaint data under the new legislation, review of the CMS business case, race discrimination roundtable and related work etc. The risks include effective governance, culture change to ensure consistency with organisational values/changes, planning and capacity, managing competing priorities etc. All these are being addressed.

The Board discussed as below:

- The impact on diversity and the need to ensure assurance on the quality of the Equality Impact Assessments (EIA) conducted. It was clarified that EIA is an integral part of the strategic plan. Individual EIAs have been completed for each of the formal projects across the strategic plan. Others are in progress.

Agreed:

- To note the report and the volume of work ongoing.
- To receive a report for the next quarter.

12. DRAFT BUSINESS PLAN 2020/21 (PAPER REF IOPC 01/20/12)

The Director S&I presented the report. The aim was to present the draft budget (2020/21), update the Board on activity under the business plan and the work on the Performance (Outcomes) Framework 2020/21. She noted that many of the issues have been discussed under previous agenda items. She highlighted as below:

- **Draft budget** – pending final confirmation of funding (from the HO) for next F/Y, a number of emerging and high priority pieces of work have been provisionally budgeted for. This is based on the assumption of ‘flat cash’ funding but this is subject to HO confirmation. The business plan has been developed on this basis. Since the last meeting further adjustment has been made to the draft budget in areas such as the Data Warehouse and Case Management System (CMS). There were also new pressures identified such as new commitments made to the Home Secretary, actions arising from investigation debriefs etc. Around £400,000 was unbudgeted and it is proposed that this be allocated to priority activities identified under the One Plan. An update would be provided to the February Board meeting. **(ACTION)**

- **One Plan: Business Plan** – the presenter noted the variety of activity under the strategic priorities in the Business Plan. It was noted that meetings are being held with budget holders to discuss the resources required in each area and the related risks. A revised Business Plan would be presented to the Board in February. **(ACTION)**. The Board was asked to note and agree the current activity reflected in the document.
- **Performance Framework 2020/21** – the presenter noted the revision of the document. She also noted the impact of matters such as the new legislation on processes. This requires a new way of working which may necessitate a review of measures and targets next F/Y. Discussion is ongoing on measures and targets and an update will be provided to the February Board meeting. **(ACTION)**

The Board discussed as below:

- The need for caution on the 80% target for completion of investigation, given that this is a key driver. To note that the Ops Management Board (OMB) would be meeting later in the month for discussion on targets for 2020/21.
- To note the work done in addressing timeliness. Also, the provision in the new legislation on reporting obligations where an investigation exceeds twelve months.

Agreed:

- To note the report and receive an update at the next Board meeting both in terms of the Business Plan and Outcomes Framework in February. **(ACTION)**

Action: Director, S&I

13. FUTURE DESIGN - OPERATIONS (PAPER REF IOPC 01/20/13)

The Head of Business Development presented the report. The aim was to provide an update on the delivery of work relating to the “future design” for our core operational processes. He noted that the objective of future design is to develop an innovative method of delivery of the organisation’s strategic priorities. In this regard, changes (and related risks) would be identified and improvements would be made to the capability and capacity to deliver efficiently and effectively with resulting positive impact on organisational reputation.

The presenter noted the work done to date and in progress. He also highlighted the mode of delivery, benefits to stakeholders and the key decision points in the process. Going forward, the Board was invited to determine the mode of providing updates on developments in future design. This could be through the quarterly report on the One Plan (which incorporates future design) or following key decision points by Management Board.

The Board discussed as below:

- To consider the opportunity for piloting the new process and conducting an evaluation before full implementation. It was explained that there is no one size fits all. The nature of the work means it requires close management/monitoring and some trialling would be conducted.

- To consider how the Board could be involved in the development of the future design. For example to engage during the trialling and give room for discussion (including embedding quality in the process). It was explained that this is part of the work being done and the Board will have the opportunity to observe and make necessary input when the work is presented.
- To acknowledge and recognise the challenges relating to this work but to reiterate the importance of ensuring that quality is reflected in delivery. In view of this, the Board should have the opportunity for periodic input before the final sign off later in the year.

Agreed:

- To note the report and the work done.
- To receive updates following key decision points by Management Board. This would enable objective input from the Unitary Board and better oversight during the check process before the final sign off.

14. QUALITY ASSURANCE FRAMEWORK (PAPER REF IOPC 01/20/14)

The Head of Knowledge and Oversight presented the report. The aim was to update the Board on the QA Framework and the related plan of work. The work is managed under Portfolio 1 of the strategic plan. She noted the background to the work including the HO audit in 2017. Also, the proposed new team, the gap analysis conducted and how this could be addressed. She highlighted the below:

- The current process for assurance of investigations – this includes giving risk ratings, frequency of reviews, health RAG ratings, completion of quality review records and conducting dip sampling.
- Operational QA – noting what good assurance looks like and the activities required etc.
- The Quality Review Process – which is based on early identification of risk and high quality supervision among others.
- Quality Assurance Forum – this is a new forum to be established to provide scrutiny and rigour in ensuring high quality. The forum will meet periodically to consider a variety of issues and present an annual report to the Board.

The Board discussed as below:

- To note that this is an important area informed, in part, by the work on recent cases.
- The need to avoid overlap and distinguish between governance and case quality matters. Also, to consider mapping out lines of assurance to address some of the governance issues.
- To commend and note that the philosophy of QA is in a better place in the organisation and look forward to receiving more reports on embedding quality (to ensure it is robust) and developing a quality culture within the organisation. The presenter gave some examples of the work being done to ensure quality is embedded.
- To caution against doing too much and avoid the risk of diluting quality.
- To note the next steps and recommend developing timelines on implementation of the framework. It was explained that the work is being managed under the strategic plan, therefore implementation would be part of the plan.

Agreed: to note the report.

15. GENDER RECOGNITION POLICY (PAPER REF IOPC 01/20/15)

The Chair of the HR & Remuneration Committee gave an update on the gender recognition policy recommended for adoption by the Committee at its last meeting in November 2019. The Board unanimously welcomed the policy which applies to all staff. There were also discussions around the application of the policy to Non-Executive Directors (NEDs).

The Board discussed as below:

- Application to staff - the Board unanimously approved the policy and agreed that it applies to all staff.
- Application to NEDs – the Board considered the application of this and other organisational policies to NEDs and the DG agreed to take this away and consider further.

Agreed: To approve the Gender Recognition Policy and for the DG to consider further the application of organisational policies to NEDs.

Action: DG

16. BOARD MEETING ATTENDANCE (PAPER REF IOPC 01/20/16)

The Board considered the report presented by the Governance Secretary.

Agreed: To note the report.

17. FORWARD PLAN (PAPER REF IOPC 01/20/17)

The Board considered the Plan presented. This is aimed at ensuring effective forward planning for Board meetings. It provides the opportunity for members to propose and discuss items for future meeting agenda.

Agreed: To note the document.

18. DATES, TIMES AND VENUE OF FUTURE MEETINGS (PAPER REF IOPC 01/20/18)

The Board considered the document on future meeting dates/venue and agreed (as below) amendments to the meetings of the **HR & Remuneration Committee**.

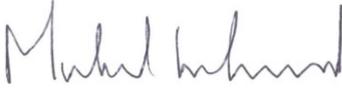
- Friday April 24th 2020 @ 11:00 hrs (London)
- Thursday 23rd July 2020 @ 10:30 hrs (Croydon)
- Wednesday 2nd September 2020 @10:30 hrs (London)
- Tuesday 24th November 2020 @ 14:30 hrs (London)
- Thursday 11th February 2021 @ 10:30 hrs(Wakefield)

Action: Governance Secretary

19. ANY OTHER BUSINESS

There was no other business

The Chair closed the meeting and thanked members and staff for their attendance and participation.

NAME	Michael Lockwood
SIGNATURE	
DATE	26 th February 2020

Schedule of Actions

Agenda Item	Responsibility
12	Director (S&I)

IOPC Board - Future Meeting Dates/Times/Venue

F/Y 2019/20

Time: 10.30am

Date	Venue
Wednesday 26 th February 2020	London
Wednesday 25 th March 2020	Sale

F/Y 2020/2021

Time: 10.30am

Date	Venue
Wednesday 29 th April 2020	Canary Wharf
Wednesday 20 th May 2020	Warrington
Wednesday 24 th June 2020	Canary Wharf
Wednesday 29 th July 2020	Birmingham
Wednesday 23 rd September 2020	Canary Wharf
Wednesday 21 st October 2020	Wakefield
Wednesday 25 th November 2020	Canary Wharf
Wednesday 27 th January 2021	Canary Wharf
Wednesday 24 th February 2021	Canary Wharf
Wednesday 24 th March 2021	Canary Wharf

ARAC - Future Meeting Dates

Venue: London (Canary Wharf)

Time: 10.30am

F/Y 2020/21

Date	Venue
Wednesday 22 nd April 2020 ¹	London (Canary Wharf)
Wednesday 10 th June 2020 ²	“
Wednesday 14 th October 2020 ³	“
Wednesday 20 th January 2021	“

¹ Preceded by informal meeting (at 10.00) with IA and EA only.

² Preceded by informal meeting (at 10.00) with Executives only.

³ Preceded by informal meeting (at 10.00) with IA and EA only.

HR and Remuneration Committee

- Future Meeting Dates

Venue: London (Canary Wharf)

Time: 10:30am

F/Y 2019/20

Date	Status
Wednesday 12 th February 2020 ⁴	Warrington

F/Y 2020/21

Date	Status
Friday 24 th April 2020 (11:00)	London (Canary Wharf)
Thursday 23 rd July 2020	Croydon
Wednesday 2 nd September 2020	London (Canary Wharf)
Tuesday 24 th November 2020 (14:30)	London (Canary Wharf)
Thursday 11 th February 2021	Wakefield

⁴ 10:30 to 14:00hrs from February 2020.