

Committee Members	Simon Jeffreys	Non-executive Board Member (C)
	Mark Hammond	Non-executive Board Member
	Marta Phillips	Non-executive Independent Member
	Jenny Rowe	Non-executive Independent Member
Attendees	Paul Staff	Chief Executive
	Chris Davis	Government Internal Audit Agency (GIAA)
	Liam Orme	Government Internal Audit Agency (GIAA)
	Kevin McGinty	HMCPSI
	Carol Rudge	Grant Thornton
	Charlotte Hill	National Audit Office (NAO)
	Steven Corbishley	National Audit Office (NAO)
Guests	Anita Misra	Head of Financial Analysis and Risk
	Mark Gray	Director of Digital Transformation
	Roger Sutton	Head of Cyber Security
	Graham Dann	Head of Strategic Financial Planning
Apologies	Christopher Sharp	Finance Director
Secretariat	Jade Whittle-Barnes	Governance, Reporting and Briefing Manager

Item 1: Declarations of Conflicts of Interest

1. None raised.

Item 2: Minutes of the Last Meeting and Matters Arising

2. The Committee reviewed and agreed the minutes of the last meeting. All outstanding actions had been completed.
3. The Chair asked to arrange meetings to discuss last year's Committee effectiveness evaluation.
4. It was agreed that the core work programme would be included in the papers for each meeting going forward to make sure that Committee were aware of upcoming items.

Item 3: Risk Management Update

5. Anita Misra, Head of Financial Analysis and Risk, presented this update in Chris Sharp's absence. She drew members' attention to integration of the health and safety risk assessments into the core process.

6. The Committee considered how to best ensure they were properly performing their duties in this area. It was agreed that the presentation of the risk management update would be reviewed for the June meeting. **[ACTION A1]**
7. The Committee also discussed the following points:
 - Risk appetite;
 - Information security risk;
 - The identification of best practice for risk management and how this was shared;
 - The role of the Area Business Managers (ABM) and the results of the risk management training last was rolled out last year; and
 - The upcoming Government Internal Audit Agency (GIAA) report on risk management.
8. The Chief Executive gave an overview of his recent experience of risk management in the CPS, he confirmed that although the identification and assessment had improved, there was still work to be completed to ensure that Areas were proactively managing the identified risks.

Item 4: Cyber Security and Corporate Risk Three - *Our data or infrastructure become compromised or damaged*

9. Mark Gray, Director of Digital Transformation, and Roger Sutton, Head of Cyber Security, presented the cyber security update and the deep dive paper on corporate risk three - '*Our data or infrastructure become compromised or damaged*'.
10. The Committee were reassured by the update on the department's very limited use of Huawei technology.
11. The Committee considered how the organisation could best ensure the safety and security of the data held by cloud hosting companies. The Committee advised that the digital team implemented a cyclical review process of existing suppliers of cloud-based technology.
12. The committee noted the marked increase in security requirements that has been built into each of the CPS major ICT contracts.
13. The Committee considered the procurement of the cloud-based services and how best to gain assurance. They were advised that each government department is responsible for carrying out its own risk assessment and assurance process.

14. The Committee considered the cost implications for data storage for information that may be required for the Independent Inquiry into Child Sexual Abuse. Discussions were ongoing to establish how long this information would need to be retained.
15. The Committee raised questions with regards to the resourcing of the team. Roger was content that the team was growing sufficiently and had appropriate capacity.
16. Discussion took place on the outcomes of the recent phishing simulation and mandatory training for information security.

Item 5: Draft Internal Audit Annual Report for 2018-19

17. The Committee welcomed Liam Orme to the meeting, who would replace Linda Costello as the Government Internal Audit Agency (GIAA) lead for the Ministry of Justice portfolio with responsibility for the CPS.
18. Chris Davis, Audit Manager, presented the GIAA annual report. He confirmed that GIAA were offering a **moderate** assurance opinion for the year. He confirmed that the opinion was formed from the results of audits and attendance at this Committee as well as attendance at the quarterly Area Performance Reviews.
19. All planned audits were completed, apart from the audit of the management of the multi-supplier IT environment, which had been formally deferred to Q1 2019-20.
20. The Committee discussed the completed reports and considered the following:
 - General Data Protection Regulations Training and the outcomes of the Learning and Development report; and
 - Information security and data breaches – the Committee requested that GIAA completed a follow-up on GDPR in 2019-20. **[ACTION A2]**

Item 6: Draft Internal Audit Plan for 2019-20

21. GIAA also gave an overview of the audit plan for 2019-20. The Committee discussed the planned audit on EU Exit work. It was agreed that this would be deferred until the final outcome was known.
22. The Committee considered the Community engagement audit. GIAA were asked to ensure that this report tied in with the diversity and inclusion work. It was also asked that considered was given to how the CPS was working towards engagement with traditionally difficult to reach communities. The Committee also considered how to measure the success of community engagement strategies; this would be a strong focus of the audit work.
23. GIAA were asked to reissue annex three to provide the full audit universe document. **[ACTION A3]**

24. GIAA were challenged on the lack of focus on financial controls. The Committee also considered the new ERP system and the reconciliation of data from the old system to ERP. The Chief Executive explained that there had been a post implementation review and agreed to share the report, reconciling data would be just one part of such a review. **[ACTION A4]**

Item 7: Internal Audit Recommendations Tracker

25. Anita Misra presented the tracker, there were four outstanding recommendations, three of which were related to the disclosure of unused material and one was related to the audit on staff vetting.
26. The Committee were pleased with the proactive work that had been carried out in the Service to ensure that recommendations were appropriately prioritised.

Item 8: National Audit Office (NAO) Interim Findings on the 2018/19 Financial Audit

27. Stephen Corbishley, NAO Director, presented the report on the interim findings of the 2018/19 financial audit. Final figures were due to be provided to the NAO on 1 May.
28. Carol Rudge raised an issue with the timeline for the completion of the report. It was agreed that consideration would be given to moving of the laying date. **[ACTION A5]**
29. The Secretariat would write to members confirming the process and timing for the approval of the Annual Report and Accounts as soon as it was finalised. **[ACTION A6]**

Item 9: 2018-19 CPS Annual Report and Accounts

30. Graham Dann, Head of Strategic Financial Planning, presented an early draft of the Annual Report, which outlined the structure and planned content. The Committee discussed the following:
- The Committee agreed that the CPS in numbers page was a useful tool for illustrating progress, however it was asked that the consideration was given to cross referencing the CPS in numbers page to the following commentary page were relevant;
 - It was requested that greater information was provided with regarding to benchmarking against performance;
 - It was agreed that commentary on the conviction rate would be added;
 - Gender pay reporting – it was agreed that would be included in the next version;

- Voluntary early release scheme; and
 - Civil claims.
31. Graham indicated that the team were content that although the final figures were not yet in place, they would not breach any limits and would reveal a small underspend against the allocated budget.
32. The Committee advised that consideration would be given to how disclosure would be address within the report. Also it was agreed that any drafting comments would be shared with Graham out of Committee.
33. Discussion took place on the preparation for new financial reporting standard on leases; IFRS 16 was more extensive than most consider and would need to be prepared for as soon as the accounts preparation for 2018-19 is complete in readiness for 2020-21.
34. It was agreed that the Committee would take an agenda item on this area in the autumn of 2019. Graham Dann confirmed the biggest impact would be on CPS's estate leasing. The Chair provided an example illustrating the assets considered to be leases under IFRS 16 may be more extensive than first considered, assets used mainly for the purpose of providing CPS with services would need to be evaluated under this standard. It could possibly affect a number of the CPS IT contracts.

Item 10: Gifts and Hospitality Register

35. Anita Misra presented the gifts and hospitality register for 2018-19. The Committee agreed that it did not need to see the detailed register. Going forward the agreed approach would be to review the policy and the relevant internal control framework, and then to receive periodic reports from the Chief Executive or Finance Director of any exceptions together with assurance that the controls had operated effectively throughout the period since the last report. This would be corroborated by GIAA reports. **[ACTION A7]**

Item 11: Anti-fraud and Corruption – Controls and Mitigation

36. Anita Misra presented the paper and explained that the CPS had continued to maintain a zero tolerance culture towards fraud, bribery and corruption. The CPS would continue to protect itself from fraud and continue to have in place an effective fraud response.
37. Anita confirmed that there had been zero reported incidents on fraud in 2018-19 and that the CPS was aligned with the Cabinet Office guidance on counter fraud. Members raised concerns regarding the lack of reported incidents and the Committee discussed the culture in the service.

38. Mark Hammond, Non-Executive Board Member, provided an update on his role as CPS Whistleblowing Champion. No matters had been reported for the attention of the ARC.

Item 12: Any Other Business

39. The Chief Executive provided an update on the counsel fees review and possible strike action and the mitigating arrangements that have been made in the event that there is a strike.

40. The Committee raised the concerns regarding the recent increase in arrests in London following the Extinction Rebellion protests and whether this would lead to an increased number of prosecutions.

Secretariat
April 2019

Committee Members	Simon Jeffreys	Non-executive Board Member (C)
	Marta Phillips	Non-executive Independent Member
	Jenny Rowe	Non-executive Independent Member
Attendees	Paul Staff	Chief Executive
	Chris Davis	Government Internal Audit Agency (GIAA)
	Carol Rudge	Grant Thornton
	Steven Corbishley	National Audit Office (NAO)
	Charlotte Hill	National Audit Office (NAO)
	Chris Sharp	Finance Director
Guests	Sue Hemming	Director of Legal Services
	Jackie Ronchetti	Head of Security and Info Assurance
	Kerry Maclean	Security and Info Assurance
Apologies	Mark Hammond	Non-executive Independent Member
	Kevin McGinty	HMCPsi
	Liam Orme	Government Internal Audit Agency (GIAA)
Secretariat	Jade Whittle-Barnes	Governance, Reporting and Briefing Manager

Item 1: Declaration of Interests

1. None raised.

Item 2: Minutes of the Last Meeting and Matters Arising

2. The Committee agreed the minutes of the last meeting subject to further detail being added to paragraph 21.
3. Progress was noted against outstanding actions and it was agreed that action A7 would be closed.
4. The Chair noted apologies from Mark Hammond, Liam Orme and Kevin McGinty.

Item 3: Strategic Risk 2 – Deep Dive

5. Sue Hemming, Director of Legal Services, presented the paper and also provided an overview of how risks were identified in general casework as well as cases when disclosure featured prominently.
6. There was a huge amount of activity in this area of work, namely the introduction of Disclosure Management Documents and the focus on the MG3 Insert documents. She also gave an overview of evaluation of that had recently taken place. This had been followed up with a letter from Max Hill QC, the Director of Public Prosecutions, and Assistant

Commissioner Nick Ephgrave, which asked local CPS Areas to focus on evaluating their casework within their local disclosure improvement plans.

7. The Committee were updated on the training packages that were in place for both CPS lawyers and police colleagues. This was to be conducted in conjunction with the College of Policing.
8. The Committee considered accountability and how senior management could be assured that local work was progressing as it should. The Committee were pleased to hear of the process outlined and agreed that it sufficiently rigorous.
9. The Committee raised concerns relating to staffing and how the senior management were reassuring themselves that there were sufficient numbers of staff, who were properly trained, to complete this work. Sue recognised that staffing numbers were a risk but felt that the modelling completed by the Operations Directorate had provided accurate resourcing levels.
10. Sue also provided highlights from the early findings of the HMCPSI review of Disclosure.
11. The Committee considered the culture and the relationship with local police forces. Management were working to change the relationship between police officers and prosecutors, to ensure that prosecutors felt sufficiently able to push back on submissions that did not meet the required standards.
12. Investment in technology to assist with disclosure was considered, there were four ongoing pilots with funding guaranteed up until the next spending review.
13. The Committee were also given further updates on the progress of the National Disclosure Improvement Plan following that morning's Joint Police/CPS Joint Disclosure Working Group.
14. Sue also gave an overview of the work to address the issues raised by the introduction of the digital consent forms, which were launched in April. This included an engagement plan with various external stakeholders.
15. The Committee discussed the relationship between the CPS and the Judiciary. There had been some positive progress here, namely an amendment to the Pre-Trial Preparation Hearing forms, which it was hoped would encourage judicial engagement with disclosure. The CPS was also working with the Senior Presiding Judge to make changes to the Digital Case System to allow disclosure material to be uploaded for all parties to see.
16. The Committee also discussed how the Service had engaged with non-police investigators on disclosure.

Item 4: Risk Management Update

17. Chris Sharp, Director of Finance, presented the risk management update. This was a new format and Chris requested feedback on the new presentation.
18. The Committee welcomed the new format and were pleased with the articulation of the risk appetite.
19. The Committee were updated on the progress of the counsel fees review.

Item 5: Government Internal Audit Agency Plan (GIAA) and Status Report

20. Chris Davis, Audit Manager, presented the Government Internal Audit Agency Plan (GIAA) progress report. The committee raised concerns with regards to delays to the programme and encouraged early scoping of audits.

Item 7: Internal Audit Recommendations Tracker

21. Chris Sharp presented the tracker and confirmed that updates on the General Data Protections Regulations (GDPR) recommendations had now been received and it was agreed that these would be circulated out of Committee.

Item 8: SIRO Six Monthly-Report into Unauthorised Disclosure

22. Jackie Ronchetti, Departmental Security Officer, and Kerry McLean, Business Continuity and Disaster Recovery Manager, presented the report and highlighted a slight increase in breaches over the last six months. It was felt that the benefits of the training were starting to be realised.
23. Jackie confirmed that her objective for the next three months was to meet with the Information Commissioner to establish how the ICO could support the Service to improve, particularly in relation to unauthorised disclosures in which the CPS and the police were jointly responsible.
24. The Departmental Security Unit (DSU) had been visiting Areas and working with Chief Crown Prosecutors to improve information security.
25. Jackie confirmed that a multi-layered approach was now in place for addressing joint CPS/police disclosure failures with the local police senior management and police security officers.
26. Jackie also gave an overview of 'near-misses' data and the positive work being undertaken by Area staff to stop unauthorised disclosures.
27. The Committee raised the recent GIAA audit into the department's work on GDPR. There were concerns that some of the target dates for the delivery of the recommendations were challenging. Jackie was confident that the deadlines could be met.
28. Paul Staff, Chief Executive provided an update on the work to develop digital solutions to the issue.
29. Chris Davis confirmed that he would be meeting with Jackie to discuss the follow-up GDPR audit which was currently scheduled for September 2019.

Item 9: CPS Annual Report and Accounts 2018-19

30. Chris Sharp presented the current draft of the 2018-19 Annual Report and Accounts and the Committee considered the following issues:

- The appendices to the Annual Report, it was suggested that casework performance data should be annexed to the report to assist with future Freedom of Information Act Requests;
- Timetable for approval – it was agreed that the final draft would be shared with Committee members early week commencing 10 June;
- Laying date;
- Preparation for new accounting standards – a paper would be provided to the Committee prior to 2019-20 year end; [ACTION J(1)1]
- The accountability report and phrasing used to describes risks – feedback would be provided out of committee; and
- Building ownership and the transfer to the Government Property Agency.

31. Carol Rudge, Grant Thornton, provided a verbal update on the audit.

Item 10: Audit and Risk Committee Annual Report

32. The Committee reviewed the draft Annual report and were generally content with the report and would provide any drafting comments out of committee.

Item 11: Any Other Business

33. None raised.

Item 12: Private Discussion

34. The Committee held a private discussion with members of the National Audit Office and GIAA in which they discussed the timetable for approving the annual report and accounts.

**Secretariat
June 2019**

Committee Members	Simon Jeffreys	Non-executive Board Member (C)
	Mark Hammond	Non-executive Independent Member
	Jenny Rowe	Non-executive Independent Member
Attendees	Max Hill QC	Director of Public Prosecutions
	Paul Staff	Chief Executive
	Chris Sharp	Finance Director
	Carol Rudge	Grant Thornton
	Steven Corbishley	National Audit Office (NAO)
	Charlotte Hill	National Audit Office (NAO)
	Stephen Dean	Grant Thornton
Apologies	Marta Phillips	Non-Executive Independent Member
Secretariat	Jade Whittle-Barnes	Governance, Reporting and Briefing Manager

Item 1: Declaration of Interests

1. None raised.

Item 2: Minutes of the Last meeting and Matters Arising

2. Amendments were requested on the minutes of the last meeting and the Committee noted that all actions on the log had been closed since the last meeting.
3. The Chair noted apologies from Marta Phillips.

Item 3: National Audit Office (NAO) Audit Completion Report

4. Steven Corbishley, NAO Director, presented the audit completion report, in which he confirmed that he would be recommending that that Comptroller and Auditor General certified the 2018-19 financial statements with an unqualified audit opinion, without modification.
5. Carol Rudge, Grant Thornton Audit Partner, provided an overview of outstanding issues. Discussion was focussed on outstanding information from the HM Courts and Tribunal Service NAO team, who were required to confirm the details of their testing of cash receipt allocation. The audit team was confident that this would be provided by the end of the week.
6. The Committee discussed the process for the signing and final approving of the accounts.
7. The audit team then presented the key audit findings from their work. It was confirmed that the planned testing had been completed and had been concluded satisfactorily.

8. Stephen Dean, Grant Thornton, then provided an overview of findings from specific areas of audit focus. These included:
 - Counsel fees – the graduated fees scheme;
 - Payroll and pay remit;
 - Cost award doubtful debt provision;
 - Counsel fees for ongoing cases;
 - Dilapidations provision model;
 - Upgrades to CPS accounting system; and
 - New financial reporting standards – implementation of IFRS 16 had been delayed.
9. The Committee then considered the unadjusted misstatements, these were:
 - Graduated Fees Scheme (GFS) extrapolated overpayment – the Committee agreed to receive a paper on the control environment around this issue; **[ACTION J1]**
 - Bad debt provision calculation error;
 - GFS over accrual error; and
 - Dilapidations provision overstatement.
10. The Committee confirmed that they were content to leave the outlined misstatements as unadjusted.
11. Auditors reiterated their independence and they also asked the Committee to raise any concerns regarding fraud. The Committee confirmed that they were unaware of any instances of fraud.
12. The Committee then considered the draft Letter of Representation which was a standard letter setting out required confirmations from the Accounting Officer. The draft audit certificate was also reviewed.
13. The Committee indicated their thanks to the auditors for their work on which they place their trust and reliance.
14. The Director of Public Prosecutions, as Accounting Officer, signed the Letter of Understanding between the CPS and the NAO.

Item 4: Annual Report and Accounts

15. Chris Sharp, Director of Finance, presented the updated annual report and accounts. He outlined some of the more recent changes, which included a section that outlined provisions in place to support the changeover of Accounting Officers from Alison Saunders to Max Hill QC. He also confirmed how some financial changes were accounted in comparison to

previous years. Any other mistakes were minor in nature and would be corrected prior to signing.

16. The Committee agreed to add a sentence to the 'overview' section to recognise the decline in caseloads and the work that the Service was completing to understand this.

17. The Committee agreed to recommend to the CPS Board that the accounts be signed and approved.

Item 5: Any Other Business

18. It was agreed that a paper on bad debt provision would come to the next meeting.

**Secretariat
June 2019**

Committee Members	Simon Jeffreys	Non-Executive Board Member (Chair)
	Mark Hammond	Non-Executive Board Member
	Jennifer Rowe	Non-Executive Independent Member
	Marta Phillips	Non-Executive Independent Member
Attendees	Rebecca Lawrence	Chief Executive
	Chris Sharp	Finance Director
	Anthony Rogers	HMCPSI
	Chris Davis	Government Internal Audit Agency
	Pam Smith	Government Internal Audit Agency
	Steven Corbishley	National Audit Office
Guests	Anita Misra	Head of Strategic Financial Planning
	Harvey Palmer	Head of the International Justice and Organised Crime Policy Team
	Andy Read	Head of Corporate HR
Apologies	Kevin McGinty	HMCPSI
Secretariat	Jade Whittle-Barnes	Governance, Reporting and Briefing Manager
	Sophie Szuman	Assistant Private Secretary

Item 1: Declaration of Conflicts of Interests

1. None raised.

Item 2: Minutes of the Last Meeting and Matters Arising

2. The minutes of the last meeting were reviewed, some small amendments were suggested.
3. The Committee welcomed Rebecca Lawrence, Pam Smith and Anthony Rogers to their first meeting.

Item 3: Risk Management Update

4. Anita Misra, Head of Strategic Financial Planning, presented the risk management update. She provided an overview of the paper which outlined the CPS risk management process and assurance framework and asked the Committee to scrutinise its effectiveness. She also outlined the enhanced process which had begun under the new Chief Executive.
5. Rebecca Lawrence, Chief Executive, provided an overview of her initial findings with regards to risk management and the additional work she had commissioned to enhance the process. She indicated her views with regards to the importance of the first line of defence. She also welcomed the support of external and internal audit.
6. The Committee then considered the following points:

- Risk appetite – this was due to be reviewed at the November Board meeting;
 - Board-level responsibility for risk management and assurance and the most effective ways to ensure this happens without rehearsing the considerations of this Committee;
 - The Committee confirmed that they would welcome a clear focus on the net operational risk and whether it was in line within appetite with specific actions outlined;
7. The Committee confirmed that they would like to commence a process of regularly completing deep dives on the operational risks outlined at annex B. Mark Hammond proposed that the loss of personal or sensitive data would be a good operational risk to consider at the next meeting.

Item 4: Strategic Risk 7 – Deep Dive

8. Harvey Palmer, Head of the International Justice and Organised Crime Policy Team, presented the paper which outlined the considerations around strategic risk 7 – the CPS fails to prepare effectively for changes following United Kingdom’s (UK) exit from the European Union (EU). Harvey outlined the organisation’s plans to address issues if the UK leaves the EU on the 31 October without a deal.
9. He then provided an overview of the key risks, one of which included was that - Defendant’s may be released from custody and/or discharged – there was particular issue with regards to the approach taken by the Romanian jurisdiction, it meant that their European Arrest Warrants would become invalid on exit day. There was a detailed plan in place to address this risk and the Committee were content with the level of mitigation in place.
10. The Committee reviewed a number of other risks which included data sharing, the capability of the project team and the performance of other domestic partners.
11. Discussion took place on the requirements for Liaison Magistrates in Europe. Harvey confirmed that a permanent Romanian posting was recently agreed.
12. Internal Audit provided an overview of the emerging finding of the audit of the organisation’s EU Exit planning.

Item 5: Cyber Security

13. Roger Sutton, Departmental Security Officer, provided an overview of the paper, which outlined organisation’s work to increase its cyber security. He also provided a specific update on the organisation’s protections against ransomware attacks. He provided an update on Operation Nevada, the organisation’s IT health check that they were working on with the Cabinet Office and National Cyber Security Council. The Committee then considered the following:
- Phishing emails test and feedback/follow up for those who click the fake phishing emails;
 - Ongoing training and reminders about phishing emails;

- Assurance about the cyber security arrangements of third party suppliers – the Committee recommended that the team requests copies of control reports from suppliers to provide further reassurance;
- Phone call phishing;
- Approach to ransomware attacks; and
- Security vetting for third party suppliers.

Item 6: Anti-Bribery and Corruption Annual Report

14. Chris Sharp, Finance Director, presented the report and confirmed that there had been no reported cases of bribery and fraud over the last 12 months. He also provided an update on the training provided for members of staff. The committee were supportive of the training being mandated as annual training as soon as the training records system enabled this.
15. He also confirmed the plans for improving the robustness of the conflicts of interest policy. Members were supportive of plans to improve this area specifically for senior civil servants, Chief Crown Prosecutors and those with responsibility for awarding contracts in the commercial team. Members also discussed the risks around the allocation of counsel. The committee suggested that consideration be given as to whether this assurance on conflict of interest should be sought from all staff.

Item 7: Gifts and Hospitality Register

16. Chris Sharp presented the paper which outlined the status of the Gifts and Hospitality register for the first six months of 2019-20. The Committee were grateful for the new style of report and felt it struck the right balance between detail and clarity.

Item 8: Internal Audit Progress Report

17. Chris Davis, Audit Manager, presented an update on the agency's work over the last quarter. He also provided an overview of the three reports that had been finalised, all of which had received a 'moderate' assurance rating, these included:
 - IT Supplier Disaggregation– members questioned the 'moderate' rating and felt that arguments could be made for a higher assurance marking;
 - Community Engagement – the Committee discussed the comparisons between different areas and the willingness of third sector organisations to engage with the CPS; and
 - Data Security Incident Management – the Committee raised concerns regarding the number of reported incidents of data breaches and risks attached. It was agreed that a deep dive would take place on the security breaches at the next meeting. **[ACTION 01]**
18. The Committee considered the possibility of using additional days to add to the plan. A follow-up into the General Data Protection Regulations Audit was suggested. It was agreed that this discussion would be addressed out of committee.

Item 9: Disciplinary, Grievance and Employment Tribunal Data Annual Report

1. Andy Read, Head of Corporate HR, provided an overview of the papers and highlighted a number of points to note and discuss. The Committee then considered the following points:
 - Increase in bullying and harassment grievances and the relation to the CPS Respect strategy and training;
 - Length of time to conclude grievance and disciplinary procedures and mental health support for those involved in the process;
 - Processes for reintegrating individuals back into teams when a dispute or disciplinary action has been concluded;
 - Personal injury claims – it was asked that this data was added to the annual report going forward;
 - Sharing lessons learnt from cases; and
 - The factors behind disability discrimination Employment Tribunal claims.
 - Practice developments that will see the introduction of a new disciplinary policy that provides increased support to those experiencing mental ill health, ACAS training for key process participants, and the introduction of a proof of concept that will see dedicated internal investigators. The latter initiative will support a reduction in the time taken to conclude grievance and disciplinary processes.

Item 10: Whistleblowing Annual Report

2. Andy Read presented the annual assurance report on the CPS Whistleblowing policy. He confirmed that there had been two cases of whistleblowing in the last 12 months. He also confirmed that the policy, guidance and supporting literature had been refreshed and that an extensive awareness campaign had taken place headed by the CPS Champion, Mark Hammond. A key aspect of the campaign was to realign Whistleblowing away from a general process to a more dynamic narrative of enabling concerns to be raised to protect the integrity of the CPS and enhance public confidence.
3. Mark Hammond, Non-Executive Board Member, provided an update on his work with the team. He spoke positively of their hard work and felt that the organisation was in a good place.
4. The Committee acknowledged how Whistleblowing and the evidence presented in the document linked to the underpinning organisational culture and noted that this had been a theme throughout all of the subjects they had considered at committee. It was agreed that a cultural audit should be considered by CPS Board following the publication of CSPS results.

Item 11: Internal Audit Recommendations Tracker

5. Chris Sharp presented the internal audit recommendations tracker and the Committee considered the outstanding actions. There was one recommendation that had been open for

over a year and the extent to which the scope of the response had stretched beyond the original action.

6. The Committee reviewed the actions and asked that consideration was given to those that had moved into business as usual and those that should be long closed. Any outstanding without good reason would be asked to explain their reasoning to the Committee in person.

Item 12: National Audit Office Update

7. Steven Corbishley, NAO lead, confirmed that all of the outstanding matters in the audit completion report for 2018-19 were finalised satisfactorily following the June Committee meeting.
8. He then provided an update on the plans 2019-20, the first of which was that KPMG had been appointed to replace Grant Thornton as the NAO's audit partners they would be responsible for working with the NAO to audit both the CPS and the other Law Officer's departments.
9. The Committee considered the timeline for the approval process for the 2019-20 annual report and accounts. He also confirmed that he would be providing a fee proposal as part of the planning for the 2019-20 audit.

Item 13: Any Other Business

10. None raised.

Item 14: Closed Session

11. The Committee had a closed session with the Government Internal Audit Agency.

**Secretariat
October 2019**