

**OFFICE OF THE POLICE AND CRIME COMMISSIONER (OPCC)**

**Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP) meeting held at Police Headquarters, Enderby at 1.00 p.m. on Wednesday 21 May 2014**

**Present**

Mr B Millett (Chair), Ms K Daisley, Mr I Prince and Mr L Pulford.

**Also in attendance**

**OPCC**

Mrs H King (Chief Finance Officer) and Mr P Stock (Chief Executive).

**Office of the Chief Constable (OCC)**

Mr S Edens (Deputy Chief Constable), Mrs L Saunders (Force Risk and Business Continuity Advisor) and Mr S Lutz (Minutes and Actions)

**Auditors**

Mr D Harris (Baker Tilly) and Ms M Gibbs (PricewaterhouseCoopers).

**21/14. Apologies**

Apologies were received from Mr M Jones and Mrs S Bagnall (PricewaterhouseCoopers), Mr P Dawkins (Director of Finance), Mrs S Lane (Baker Tilly) and Mr L Dundas (JARAP Member)

**22/14. Urgent Business**

There were no items of urgent business.

**23/14. Declarations of Interests**

The Chair invited members who wished to do so to make declarations of any interests in respect of items on the agenda for the meeting.

No such declarations were made.

**24/14. Minutes of the meeting held on 26 March 2014 and Rolling Action Sheet**

The minutes of the meeting held on 26 March 2014, having been previously circulated, were amended as follows;

**16/14 Draft External Audit Plan 2013/14** – “Ms Gibbs outlined that the materiality figure of £250k...” This was amended to read: “Ms Gibbs outlined that the minimum reporting threshold of £250k...”

Rolling Action Sheet

**Update on compliance with ACPO Vetting Policy to be provided to members (17/14)** – DCC Edens stated that a business case would go to the Change Board. Scoping had been completed for additional resources in our vetting department.

**Information on the training being provided to officers to identify vulnerability to be provided to members (17/14)** – A report had been circulated to members prior to this meeting. Action discharged.

**Details to be provided on red status recommendations and what is being undertaken to meet the implementation target dates (18/14)** – DCC Edens provided an overview and advised that further work is still required.

**Exploratory work to be undertaken around the member appraisal system (19/14)** – An update is to be provided at the June meeting.

**Terms of Reference to be updated and changes incorporated into future agendas (19/14)** – Action complete.

**HMIC reports to be provided to JARAP members (04/14)** – DCC Edens advised that this is ongoing. We have had a lot of inspections recently and are awaiting the final reports.

**A briefing to be provided to members by the Procurement Manager regarding procurement and technology processes (04/14)** – Action complete.

**A list of outstanding actions to be provided to members so overdue actions could be monitored (08/14)** – Update at the next meeting.

**Comments to be provided on the status of action on the IPCC report regarding civility, impoliteness, neglect of duty and oppressive conduct (09/14)** – The

IPCC completed some research, which showed that all of the Forces in the UK have different processes for this. A new framework is therefore being developed.

#### **25/14. Internal Audit Progress Report**

The Panel considered a report of the Head of Internal Audit providing an update of work completed to date against the Internal Audit Plan 2013/14. A copy of the report marked 'A' is filed with the minutes.

Mr Harris provided an overview of the report, confirming that report 14 had been finalised in draft form, leaving only one report outstanding.

Members discussed how widely this information is shared. Mr Harris advised that they liaise with clients about the information they would like, as well as who it should be circulated to.

Mr Harris spoke about data security and the updating of the asset register.

Mr Millett asked about the process for rogue devices connecting to the Force network. DCC Edens confirmed that he had met with Tim Glover, and that the recommendations for protecting Force systems would be in place by the 30<sup>th</sup> September.

The Panel AGREED to note the contents of the report.

#### **26/14. Internal Audit Annual Report 2013/14**

The Panel considered a report of the Head of Internal Audit presenting the internal audit annual report for 2013/14. A copy of the report marked 'B' is filed with the minutes.

Mr Harris provided an overview of the report, stating that section 1.2 provides the main opinions for both the Office of the Crime Commissioner and the Office of the Chief Constable. In total 13 assurance reviews are complete, with only 2 recommendations not being agreed.

Mr Harris advised members that the processes for auditing public sector services had recently changed, which has already been shared with the Force.

Members discussed the recommendations and opinions in the report.

The Panel AGREED to note the contents of the report.

#### **27/14. External Audit Process 2013/14**

The Panel considered a report of the External Auditors presenting the draft External Audit Process 2013/14. A copy of the report marked 'C' is filed with the minutes.

Ms Gibbs provided an overview of the report, advising that more information would come to the next meeting. The final audit visit for the Force is due in June.

It was advised that since the last JARAP meeting, new guidelines on accounting policies had been released. These changes have been discussed with Paul Dawkins, with further discussions due today.

Members discussed what funds are held in accounts by the Police and Crime Commissioner and Chief Constable.

The Panel AGREED to note the contents of the report.

#### **28/14. Internal Audit National Risk Register Report**

The Panel considered a report of the Head of Internal Audit presenting the Internal Audit National Risk Register Report. A copy of the report marked 'D' is filed with the minutes.

DCC Edens confirmed that this is a joint risk register between the Chief Constable and Police & Crime Commissioner.

Mrs Saunders confirmed that the report matches with the risks we have on Orchid. Regular meetings are held with other Forces in the region to discuss risks.

Mr Millett asked Mrs Saunders to provide an overview of the workshop session at the last Strategic Organisational Risk Board. A formal update will be provided to this panel once the details from the workshop have been finalised.

**Action – Mrs Saunders to provide a formal update on the workshop that was held at the Strategic Organisational Risk Board, once the minutes from the workshop have been finalised.**

#### **29/14. Risk Register**

The Panel received a report from the Chief Constable providing information on the Corporate Risk Register, highlighting the high priority, newly registered and risks of note. A copy of the report marked 'E' is filed with the minutes.

The Deputy Chief Constable confirmed that paragraph 7 had been amended following feedback from the panel. There are currently 4 high priority risks, an overview of which was provided.

DCC Edens confirmed to the panel that the Protective monitoring system will be in place from the 2<sup>nd</sup> June. This would be subject to a phased rollout across Force. Members discussed communicating this good work to the public.

DCC Edens spoke about STR1764, which is a critical piece of work, as without this, we will not be able to connect to national systems or complete daily policing work.

Members were advised that in relation to STR1479, Nottinghamshire Police have withdrawn from the project. There have recently been issues with loss of service, which Capita are looking into. A discussion took place.

**Action – DCC Edens/ Mr Prince and Mr Millett are to discuss controls for risks further outside this meeting and update members at the June meeting.**

Members asked if the risk document could include dates of when each risk was last reviewed.

**Action – Mrs Saunders to add review dates to each risk on the risk register.**

The Panel AGREED to note the contents of the report.

**30/14. Annual Report of JARAP**

The Panel considered a report of the Chair of the Panel presenting the Annual Report. A copy of the report marked 'F' is filed with the minutes.

Mr Millett stated that this being the first annual report, it is a good foundation for the future. He asked members to consider what additional information they would like included in the future.

The Panel AGREED to sign off the contents of the report.

Mr Millett stated that he would discuss with Mrs King dates for future reports and their sign off dates.

**Action – Mrs King to circulate an updated draft with dates for members to provide comments.**

Mrs King advised members that she would take this report to their next Strategic Assurance Board.

Mr Stock asked if the annual report could be published. Panel members AGREED.

**31/14. Internal Audit Recommendations and Tracking**

The Panel received a report of the Chief Constable updating on progress responses from business owners in relation to 'High' or 'Medium' priority audit recommendations determined during 2013/14 by external auditors Baker Tilly. A copy of the report marked 'G' is filed with the minutes.

DCC Edens provided an overview of the recommendations and updates and advised that a solution will be in place for the KiM system. Mr Millett asked for an overview of the KiM system to be provided at the next meeting.

**Action – DCC Edens is to bring a presentation on the KiM system to the next meeting.**

A discussion took place on regional/ collaborative working.

The Panel AGREED to note the contents of the report

Mr Millett asked members to consider any additional agenda items for future meetings. He asked for an overview of the workshop that Mrs Saunders led at the last Strategic Organisational Risk Board. An overview was provided.

#### Additional Paper

Mr Prince referred to the Learning & Development paper and spoke about those staff that do not attending training sessions. DCC Edens reassured members that any staff that miss their training are identified and attend another session.

Mr Prince asked if a breakdown of those who do/ do not attend sessions could be provided.

**Action – DCC Edens to provide a breakdown of those who do/ do not attend training sessions to the next meeting.**

Mr Millett stated that he would bring back details of all other meetings that panel members attend.

#### **32/14. Dates of forthcoming meetings**

- 27 June 2014 at 10am
- 26 September 2014 at 10am
- 19 December 2014 at 1pm

Mr Millett asked members if the next meeting should be moved back. Mrs King stated that she would check with Mr Dawkins if this was possible, as some of the dates are a statutory requirement, and would advise Mr Millett.

Mr Millett asked that Mrs Saunders be sent invites for all future meetings.

#### **Chairman**

21 May 2014  
1.00pm – 2.30pm