

**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  
Tuesday 28 January 2014**

**Present**

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

**Also in attendance**

**OPCC**

Mr P Stock (Chief Executive), Mrs H King (Chief Finance Officer) and  
Mrs L Salmon (Governance Support Officer).

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

Mr S Edens (Deputy Chief Constable) and Mr P Dawkins (Director of Finance).

**Auditors**

Mrs S Lane (Baker Tilly) and Mr M Jones and Ms M Gibbs (PricewaterhouseCoopers).

**01/14. Apologies**

Apologies were received from Mr D Harris (Baker Tilly).

**02/14. Urgent Business**

There were no items of urgent business.

**03/14. 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.

**04/14. Minutes of the meeting held on 3 December 2013**

Mr Jones stated that the Annual Audit Letter 2013/14 was presented by the Head of External Audit rather than Internal Audit as stated at minute 65/13.

Mr Jones stated that there were no outstanding procedural issues as recorded at minute 66/13 as they were covered in the Progress Report.

Mr Pulford stated it had been agreed that HMIC reports be provided to JARAP members and this had not been recorded at minute 65/13.

Mr Pulford stated he had requested details of the money spent on consultancies and this was not recorded at minute 66/13.

Mr Prince stated that at the meeting on 3 December 2013, DCC Morgan had asked if he was satisfied with the response provided by the Senior HR Officer about the Sickness Absence Management action plan. He had stated that he was not assured and this was not recorded at minute 71/13.

With these amendments, the minutes of the meeting held on 3 December 2013, having been previously circulated, were confirmed as a correct record.

The Chair requested a call was set up between Chair, OPCC and OCC two weeks before meetings to finalise agenda items.

The Chair requested an "Agenda Tracker" be implemented to ensure item requests were tracked until they have appeared on an agenda.

In relation to the changing timescales for the Governance review outlined at minute 64/13, the Chair requested this be included in the Rolling Action Sheet.

The Finance Director suggested that members be briefed by the Procurement Manager regarding procurement and technology processes outlined at minute 65/13.

The Chair requested that an update on Operation Tiger be included as a future agenda item (minute 69/13).

The Finance Director confirmed that changes in shift patterns had been introduced in January 2014 (minute 71/13).

#### **05/14. Internal Audit Progress Report**

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

*The Deputy Chief Constable arrived during consideration of this item.*

Mrs Lane outlined that three reports had been finalised since the last meeting being Collaboration – Governance & Financial Framework, Payroll (including Pensions and Expenses) and Key Financial Controls (systems notes only). She added that no findings to date would impact negatively on the Head of Internal Audit opinion.

The Chair queried whether a report on collaboration was presented to the East Midlands' Police and Crime Commissioners' Board on 18 December 2013. The Chief Executive stated that a Statement of Principles had been presented however this had not been agreed as collaboration was a complex area which did not always involve all five forces. He added that further work would be undertaken on the document. The Chair suggested a bespoke vision for each collaborative project would be beneficial rather than one overarching statement.

In response to a query about Recommendation 2 of the Collaboration report, the Chief Executive supported that all regional business cases would have a standard format going forward. Mr Dundas suggested a community impact assessment should be included in the business case template document.

The Chief Finance Officer queried whether Recommendations 1 and 6 of the Collaboration report were closely linked. Mrs Lane stated that Recommendation 6 related to what was seen at other Forces and this did link to Recommendation 1 with

regard to shared principles. The Chief Executive asked for Recommendation 6 to be retitled as being 'deferred' rather than 'disagreed'.

Mrs Lane informed the Panel that the arrow in the graphic for the Payroll report should be pointed at green rather than amber.

Regarding Recommendation 1 of the Payroll report, the Finance Director stated relevant controls and processes were in place for the authorisation and processing of additional payments. He added that work was being undertaken regarding the introduction of an electronic process with appropriate systems and controls in place.

A query was raised regarding the management of e-forms in light of historic audit concerns regarding password access not being closed down in a timely manner when personnel changes occurred. The Finance Director stated that the Force was a contributing agent to the National Fraud Initiative so data was independently checked. He added that any fraudulent activity would be dealt with by the Force's Professional Standards Department.

The Chair requested that members be provided with a high level view of the areas of collaboration and the Forces involved.

The Panel AGREED to note the contents of the report.

#### **06/14. External Audit Progress Report**

The Panel considered a report of the external auditors providing an update of work completed since the last meeting, in particular progress with planning for the 2013/14 audit including discussion on audit risks and an update on the proposed non-audit work discussed at the last meeting. A copy of the report marked 'B' is filed with the minutes.

Mr Jones stated that the detailed Audit Plan for 2013/14 would be presented to the next meeting of the Panel.

The Finance Director stated that work had commenced on the Final Accounts in advance of the interim audit in March.

Mr Jones informed the Panel that in relation to risk, the 'significant' category was driven by auditing standards rather than a reflection of risks for the Force specifically. He added that members should be reassured that two of the four risks were in the 'significant' category meaning there were a low number of risks to address.

The Panel AGREED to note the contents of the report.

#### **07/14. 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 'C' is filed with the minutes.

The Deputy Chief Constable informed members that risk STR430 Inquiry into Disability Related Harassment had been reviewed and reduced to Medium following a recent report from the Equality and Human Rights Commission.

A query was raised regarding the processes in place for sharing information with partners in relation to risk STR430. The Deputy Chief Constable stated the intention

was for all local authorities to utilise the Force Sentinel system and a Board was looking at the development of the system to achieve this to overcome some of the barriers. He offered for members to receive a demonstration on the Sentinel system.

In relation to risk STR127 Unauthorised Use/Misuse of IT Systems, Loss of Information, the Chair queried how long it would take to embed the protective monitoring system due to be implemented by March 2014. The Deputy Chief Constable suggested around six months. The Chair confirmed the Panel would monitor this at a future meeting.

The Chair stated that a number of risks on the Corporate Risk Register document were 'awaiting control' and this may undermine public confidence as some of the 'recorded' dates for risks first registered dated back to 2009. The Deputy Chief Constable stated it may be that additional controls had been added recently hence they were 'awaiting control'. He added that it could also be a consequence of the Strategic Organisational Risk Board and JARAP meetings being out of sync.

The Panel AGREED to note the contents of the report.

#### **08/14. 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 'D' is filed with the minutes.

Mr Prince requested that each recommendation provide details of the responsible person or their position and a deadline date for actions. He requested a list of outstanding audit actions be provided to members so overdue actions could be monitored.

In relation to HR – Absence Management, members requested quarterly updates on Return to Work Interview (RTWI) performance figures. Mr Dundas raised concerns that using phrases such as 'as soon as possible' for the completion of RTWIs could lead to an organisational culture of non-completion on the first day back to work. Mrs Lane stated that the 'Follow Up' audit would verify the percentage completed within target.

Regarding the Zanzibar system, the Finance Director stated that testing was still being undertaken and the go-live date was anticipated to be April 2014.

The Chair requested an update on the Change Programme recommendation at the March meeting of the Panel.

It was AGREED to note the contents of the report.

#### **09/14. Rolling Action Sheet**

An update was provided on the following actions:

38/13 To be closed;

40/13 To be included on the agenda for the March JARAP meeting;

- 42/13 The Commissioning Manager had arranged a meeting with the Diversity Unit to finalise this;
- 54/13 Further work would be undertaken by Baker Tilly for discussion with the Chief Finance Officer, Finance Director and Chair.

It was AGREED that the Rolling Action Sheet would be circulated with the minutes of each meeting and included within item 4 of the agenda – Minutes & Rolling Action Sheet.

Members provided the following information from their pre-meet:

- agenda items from the meetings between the Police and Crime Commissioner and Chief Constable was requested to assure members the Chief Constable was being held to account (Chief Finance Officer to action);
- the Panel would like to appoint Mr Pulford as Vice-Chair;
- a table of relevant meetings was requested to be circulated to all members as it is intended JARAP members would attend meetings where possible including Police and Crime Panel meetings;
- one member of the Panel would attend each Police and Crime Panel meeting;
- Strategic focus areas for each Panel member would be finalised and forwarded to the Chief Finance Officer and Finance Director.

Mr Dundas requested comments be provided at the next meeting on the status of action on an IPCC report regarding civility, impoliteness, neglect of duty and oppressive conduct as well as on risk management plans regarding impact of the impending privatisation of parts of the Probation Service

**Chairman**

28 January 2014  
1.00pm – 2.45pm