

Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP)
meeting held at Police Headquarters, Enderby at 9.30 am on
Wednesday 3 June 2015

Present

Mr B Millett (chair) Mr I Prince, Ms K Algate, Mr L Dundas & Mr L Pulford.

Also in attendance

OPCC

Mrs H King (Chief Finance Officer), Mr P Stock (Chief Executive), Mr A Dale (Resources Manager)

Office of the Chief Constable (OCC)

DCC S Edens (Deputy Chief Constable), Mr P Dawkins (Director of Finance), Mrs L Saunders (Force Risk & Business Continuity Advisor) & Mrs S Partridge (Minutes & Actions)

Auditors

Mr D Harris (Baker Tilly), Mr B Welch (Mazars)

15/15. Apologies

Apologies were received from Mrs S Lane (Baker Tilly) & Mr M Clarkson (Mazars)

16/15. Urgent Business

DCC Edens gave a brief verbal outline of Op Ultima. Due to it being currently live, a formal report cannot be provided. A confidential conversation has taken place between DCC Edens & Mr Millett. DCC Edens stated that he has made a marker to provide more information to the Panel shortly. Mr Millett thanked DCC Edens for the information.

DCC Edens & the Chief Officers Team made the OPCC aware. Mrs King confirmed that the OPCC were included in the Op Ultima Gold Group, were informed of the situation when it arose & have been updated regularly on the work being progressed.

Mr Dundas enquired about confidentiality to which DCC Edens confirmed that there is a communications plan in place if information does get out but it is sensitive.

Mr Dundas also asked for assurance that it was known how much & what is involved. DCC Edens responded by providing the figure of theft involved & stating that once a theft was known, the other thefts quickly became apparent.

17/15. Declarations of Interest

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.

18/15. Minutes of the meeting held on 02 February 2015 and Rolling Action Sheet

The minutes of the meeting held on 02 February 2015, having been previously circulated, were confirmed as a correct record.

Rolling Action Sheet

DCC Edens outlined the two approaches to the actions which had caused some confusion & the Chair highlighted that there was a duplication on one of the actions provided which needed amending.

54/13- Report scheduled for August 2015.

14/14- Consideration to be given to including a test of the new RTWI system in quarter 4 of 2014/15 audit programme. This was updated in the Internal Audit Progress Report.

17/14- Compliance with ACPO Vetting Policy is a work in progress Mrs Saunders explained that new checks can be made but the impact is on existing staff. This is recognised as a risk within Orchid. One person is in post & another 3 people have also been recruited. They will be carrying out the work outlined in the business case.

19/14- No update provided

42/14- No update provided

51/14- Miss Corns to provide statistics from stores for April & September meetings. A paper was circulated with statistics for April. Statistics will be provided at the September meeting to enable comparison.

51/14- Miss Corns to find out how many items not in stores became lost in police possession for April meeting. Emma Corns has advised that 12 items were disposed of as 'lost in police possession'. Action complete.

55/14- DCC Edens confirmed that changes are fully in place for new starters & relevant forms are now being signed when devices are being given out. Existing staff move about & tracking is maintained on the Equitrax system. Leavers complete a form which is counter-signed by a line manager & returned to HR. DCC Edens clarified that mobile devices include mobile phones, laptops & tablets. Action complete.

59/14- No update provided

61/14- A presentation on Cybercrime is included on today's agenda. Action complete.

05/15- An update paper on Op Tiger was sent out with the agenda & papers for today's meeting. Action complete.

- 07/15- Mrs Saunders elaborated on the recruitment of a temporary position in relation to risk paper STR 1844 Transition to the ESN. Having spoken to Mr Reynolds (the risk owner), Mrs Saunders explained that the project manager is a permanent member of staff, currently working on this in a part time capacity whilst waiting for national momentum. Mr Reynolds is happy there is consistency through the project management processes. Action complete.
- 07/15- Mrs King highlighted that in a discussion at the Police & Crime Panel the OPCC will consider whether there should be a risk of legal action on the risk register & this would be included as an integral part of Risk Register Updates. The OPCC SMT is due to undertake a review of all its strategic risks in line with the review of its delivery plan & this will be incorporated within that review. Action complete- will be considered in existing Risk Review arrangements.
- 09/15- The regional collaborative assurance work is currently being tested as a “proof of concept” on Regional Learning & Development & will be shared with JARAP members when completed. Scheduled for the next meeting in September 2015.
- 10/15- A policy document for the new operating model was sent out with the agenda & papers for today’s meeting. Action complete.
- 12/15- Mrs King circulated copies of the Police & Crime Panel report on Communications & Engagement as part of the Police & Crime Panel reports circulated to members on 20/05/15. Action complete
- 12/15- The Red Quadrant report was reviewed, built on & developed & the final models implemented included within the Communications reports to the Police & Crime Panel & JARAP meetings earlier in the year. Action complete.
- 14/15- Mr Pulford spent an evening with Insp Roe in call management. DCC Edens to provide average response times & figures for calls to 101.
- 14/15- An update on the Ethics Committee has been provided on the Agenda & although a separate committee to JARAP, there will be close linkages between representatives of the two forums where appropriate to ensure that JARAP & Ethics Committee work plans & responsibilities are complimentary. Action complete.

Mr Pulford advised that he would take forward any further queries on the actions outside of the meeting.

19/15. JARAP Terms of Reference

The Panel received a report presenting the existing Terms of Reference for JARAP together with suggested amendments for discussion. A copy of the report marked ‘A’ is filed with the minutes.

Mrs King highlighted a minor error which will be rectified before completion.

Mr Dundas queried whether the document should state two or three terms. Mrs King responded that this has not been altered since the original document.

Action- Mrs King to review whether the PCC & CC wished to consider change to the tenure they had set for future appointments & this review would be incorporated into the Panel member arrangements report that she will work on with the Chair, scheduled for September 2015.

The Panel approved the Terms of Reference & noted that tenure of future appointments determined by the PCC & CC would be considered further in the September report.

20/15. JARAP Annual Report

The Panel received a draft of the Chair's report outlining the key activities, areas of oversight, sources of assurance & critical considerations undertaken by JARAP during 2014/15. A copy of the report marked 'B' is filed with the minutes.

Mr Millett suggested a meeting outside of JARAP with Mrs King to go through the report & look at changes to be made.

Action- Mr Millett to set a date with Mrs King to go through the changes he wishes to incorporate into the Chair's Annual Report.

The Panel AGREED to note the contents of the report.

21/15. External Audit Progress Update

No auditors were present from PricewaterhouseCoopers to provide the verbal update as detailed on the Agenda.

Action- Mrs King to contact Mr Cooke from PricewaterhouseCoopers to request a written paper is provided. Update: This has now been provided & will be circulated with the minutes.

22/15. Risk Register

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

There are currently 37 police strategic risks & 8 OPCC strategic risks with 1 new risk, 3 high priority risks & 4 risks of note.

High priority risks:

STR 1844- This is high as the original date was 4 years which has been reduced to 2 years. The project team are now in place & there are monthly conference calls. The force is waiting for national clarity regarding dates as the national infrastructure may not be enabled until April 2017.

STR1329- The new Edison model went live in February 2015. "Blue Print 2020" is now being developed to meet the funding gap.

Mr Millett requested "Blue Print 2020" as a main Agenda item in September.

Action- Sue Walsh to ensure “Blue Print 2020” is added to September’s Agenda.

STR1679- The high rating is due to new crime recording requirements which came into force on 01 April & mean all crimes must be recorded within 24 hours. Caroline Barker is the project lead currently working through solutions.

Mr Millett requested to see the plan.

Action- Mrs Saunders to provide the plan to the September 2015 meeting.

New risk

STR 1890- The number of dedicated Neighbourhood Team members have been reduced but they have had abstractions removed so the resource capacity has increased. The extra capacity needs to be translated to make best use of resources.

Mr Dundas requested more information, specifically who identified it & at what level of the organisation this has been found out.

Action- Mrs Saunders to provide more detail for risk STR 1890.

Risks of note:

STR127- This has decreased in rating to medium as recent incidents have been identified quickly & dealt with. We are waiting for a report from the Information Commissioners Office.

Mr Prince requested to see the report. DCC Edens said the report is due for imminent publication.

Action- Mrs Partridge to include a link to the website with the minutes.

STR1475- The target of having 100% ASB incidents on SENTINEL remains aspirational. New processes are in place & a thorough review has been carried out by the new risk owner Supt Newcombe.

STR11- This risk has decreased due to the planned strike activity in December 2014 not going ahead as an agreement was reached between the two parties.

OPCC1700- This has reduced in rating as lots of planned activity that was reflected as additional controls has been completed & as such are existing controls.

Mr Dundas made a request for operational engagement & activity to be reflected commenting that the strategic element was great but he would like to see evidence of how it translates into operational impact.

Action- Mrs Saunders - assessment of operational impact could be added to risk controls.

Mrs Saunders stated that there has been 100% compliance with timely review of high risks within the last month & medium/ low risks within the last 3 months.

The Panel AGREED to note the contents of the report.

23/15. Internal Audit Recommendations & Tracking

The Panel considered a report of the Chief Constable providing update progress responses from business owners & external auditors Baker Tilly. A copy of the report marked 'D' is filed with the minutes.

Mrs Saunders summarised the development of each recommendation.

The Panel AGREED to note the contents of the report.

24/15. Internal Audit Progress Report

The Panel received a report of Mr Harris providing an update of completed to date against the internal audit plan for 2014/15 & summarises the results of work to date. A copy of the report marked 'E' is filed with the minutes.

There are 4 draft reports for the rest of the year which will be finalised in due course & brought to the next meeting. The next paper is the annual report. There are no high priority recommendations. All recommendations are agreed & tracking is already in place. Both S151 officers have received a copy of the draft reports & Mrs King advised that from her perspective there didn't appear to be anything significant which could change assessments between the draft & final reports. Mr Harris advised that this was the case.

The Panel discussed the contents of the report.

25/15. Internal Audit Annual Report

The Panel received the annual report of Baker Tilly the Internal Auditors, presented by Mr Harris. This contains the Internal Audit Assurance Statement which provides the Chief Finance Officers with evidence to be presented within the Annual Governance Statements. This is contained within the Statement of Accounts & is an important aspect of corporate governance. A copy of the report marked 'F' is filed with the minutes.

Mr Harris outlined that as the provider of the internal audit service to the OPCC & the OCC for Leicestershire Baker Tilly are required to provide the Panel with opinions on the adequacy & effectiveness of the organisation's governance, risk management & control arrangements. Individual opinions are given followed by what has informed opinions to draw the conclusions. There is nothing significant from the review. Mr Harris advised the committee that page 7 onwards provides a summary of opinions.

2 audits have been assigned 'cannot take assurance' (red) which are seized & found property & Collaboration: Innovation Fund where some weaknesses & areas for improvement were identified.

Mr Prince asked how red relates to seized property. Mrs King said this information is included in the Mazars report.

Mr Millett noted that it was the last attendance for Baker Tilly. Mr Millett formally thanked Mr Harris of Baker Tilly for his support, saying it was appreciated as was openness of dialogue & thanked him for his interaction. Mr Harris responded by thanking Mr Millett & wishing JARAP & the Police well for the future. Mr Dawkins & Mrs King thanked Mr Harris on behalf of the force & OPCC.

Mr Dundas raised a point regarding contracts & the risk of significant of inputs by contractor even though outcome targets are met. A specific example & a discussion followed.

Action- Mrs King to meet with Mr Dundas outside of JARAP to discuss the specific example he highlighted he is aware of at the meeting.

The Panel AGREED to note the contents of the report.

Mr Harris left the meeting.

26/15. Internal Audit Plan

The Panel considered a report of Mazars, presented by Mr Welch in respect of the internal audit strategy for 2015/16- 2018/19 & the annual plan for 2015/16. A copy of the report marked 'G' is filed with the minutes.

Mr Welch introduced Mazars as the new internal auditors. Mr Welch & Mr Clarkson are the new contacts. Mr Welch explained he had a programme of familiarisation booked for two days after the meeting when he would meet with various people to improve his understanding of the organisation.

Mr Welch outlined the contents of the report, stating the basis for the 2015/16 plan had been provided by Baker Tilly but some aspects had been amended.

Action- Mrs King & Mr Dawkins will review the terms of reference for each audit prior to them being undertaken.

Mr Millett asked for sharing of information & reassurance that mobilisation is embedded.

Action- Mrs King to share mobilisation plan with the Chair.

Mr Stock asked if Appendix A was a national or local perspective as he disagreed with the assessment. Mr Welch replied that it was national as he is not familiar with Leicestershire.

Mr Millett stated that he sees a risk in the transition.

Action- Mr Dawkins & Mrs King to refine the Appendix A assessment in due course with Mr Welch.

The Panel AGREED to note the contents of the report.

27/15. Cybercrime

The Panel received a written presentation of Phil Tebbs on Cybercrime. A copy of the report marked 'H' is filed with the minutes. DCC Edens gave an overview of the presentation.

Mr Millett asked if the force was capitalising on the regional work led by Pete Goodman. DCC Edens replied that Pete Goodman was taking the lead.

Ms Algate asked for the definition of flagging or recording. DCC Edens responded that some answers may be found in the national police council meeting held in April. DCC Edens explained that a crime takes place where the victim records it. Mrs Algate was enquiring what happens regarding a prolific offender who may be international.

Action- DCC Edens to find out about prolific offenders who may be international.

Mr Dundas spoke of email scams & wondered how many staff may make themselves vulnerable by clicking to open an email with a virus.

Action- DCC Edens to consider the idea of a "bait" test with regards to email scams.

The Panel AGREED to note the contents of the report.

28/15. Fraud & Corruption

This report is to inform the Panel that there have been no substantive changes to the report since the last update in December 2014. A copy of the report marked 'I' is filed with the minutes.

The Audit Commission's National Fraud initiative has run data matches & some anomalies have been identified.

Action- Mr Dawkins will provide an Action plan with concerns from the initiative for the next meeting in September.

The Panel AGREED to note the contents of the report.

29/15. HR Succession Planning Feedback

The Panel considered a report of the Chief Constable to provide an update on succession planning & the current situation with regards to the Direct Entry Superintendent scheme, the Police Constable to Inspector Fast Track scheme & the Sergeants Work Based Assessment (WBA) process. A copy of the report marked 'J' is filed with the minutes.

DCC Edens went through the report. Mr Millett asked what was behind the change. DCC Edens clarified that it has been around for years but there has not been any national structure. Mr Millett expressed that he thinks it is a good move.

Mr Dundas would like to see aspects of diversity highlighted.

Mr Pulford will progress outside of the meeting with the DCC as whilst he said it is a good paper he felt it didn't address the original question on succession planning.

The Panel AGREED to note the contents of the report.

30/15. Ethics Update

The Panel received a report of the OPCC to inform the Panel of the steps taken to convene an Ethics, Integrity & Complaints Committee on behalf of the Police & Crime Commissioner. A copy of the report marked 'K' is filed with the minutes.

Mr Stock confirmed that Sir Clive Loader & the Chief Constable have offered panel membership to 7 people. The Chair will be selected at the first meeting. There will be a linkage between JARAP & the Ethics committee whilst not wanting to duplicate. Mrs Angela Perry will work with Mrs King & the two lead members for JARAP & the Ethics Committee regarding agendas & content for smooth continuity & to allow the two panels to complement each other & they are currently working on an early draft of terms & conditions. Mr Dundas is the ethics lead for JARAP & is working with Mrs Perry.

The report recommends that the Panel approve the Chairman &/or the lead member for ethics of JARAP meet with the Chair of the Ethics, Integrity & Complaints Committee, when in place, to develop a protocol to ensure the work of both forums are complementary & duplication is avoided.

The Panel discussed the contents of the report.

31/15. Partnership & Commissioning Update

The Panel received a report of the OPCC outlining progress in relation to partnerships & commissioning since the last report to the Panel in December 2014. It includes restructure, commissioning activity & the Commissioning Audit & Strategic Partnership Board developments. A copy of the report marked 'L' is filed with the minutes.

Mr Stock reported success in delivering this key priority. There is a stronger team which has a mature approach to commissioning & where the PCC invests the second highest value when compared to other PCC's, nationally in Commissioning. The commissioning audit was positive. There are 2 recommendations which will be easy to pick up. Mr Stock is hoping to engage even more with voluntary partners.

Mr Millett asked if good work is being communicated broadly. Mr Stock replied that it may be possible to sell what is being done more.

Action- Mr Stock to add JARAP members to the newsletter circulation list.

The OPCC are working with C/Supt Rob Nixon regarding the change team. The Force & the OPCC are trying to continue to promote partnership working arrangements, particularly in regard to the £2m partnership funding element of the 2015/16 Budget. Ms Algate is working with Mr Stock.

Mr Dundas enquired about recording in respect of the work being progressed for Victim First. Mr Stock responded by saying there is a self-referral mechanism (confidential). The victim will have a named single case worker. More issues may emerge as hopefully people will feel more confident. Mr Stock has linked in with Northants & both are aligned.

The Panel AGREED to note the contents of the report.

32/15. Transparency update

Mr Stock provided a verbal update on transparency & integrity. He is part of a national group facilitating dialogue with issues of vulnerability around austerity, looking at what safeguards can be put in place. There are 7 other groups also fed through Mr Stock's group. Mr Stock will keep an eye out & feed back to the Panel. This group will be in place for 8 months, with the second meeting happening shortly.

33/15. AOB

DCC Edens announced that it was his last meeting as he will be leaving Leicestershire Police before the next meeting in September. DCC Edens formally thanked the Panel for their support, dialogue, engagement & expressed his best wishes to them for the future.

Mr Pulford thanked DCC Edens for the Op Tiger update. Mr Millett said there was good visibility on Op Tiger.

Ms Algate announced that it may also be her last meeting. Mr Millett said Ms Algate would be missed & gave formal thanks for her support on the Panel & with different teams.

Action- Mr Millett to book to meet with Mrs King regarding the appointments procedure for a new JARAP member as soon as possible.

Mr Millett highlighted that an eye needs to be kept on spending with regard to temporary & agency staff & that this is key in the media. Mrs King responded by saying that as part of his assurance & scrutiny the PCC receives a quarterly report from the Chief Constable & Mr Dale has regular meetings with Mrs Naylor & HR. Mr Dawkins advised that effectively the cost is equal. Agency staff has been used flexibly & widely, particularly with the restructure. Mr Millett provided feedback from Melton to say that the community feels there is more visibility of personnel & they are happy as a result.

Chairman

03 June
9:30-11:50

Next meeting 22nd September 9.30am Olympic Room