

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 pm on
Friday 19 December 2014

Present

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

Also in attendance

OPCC

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

Office of the Chief Constable (OCC)

Mr 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 R Bacon (Pricewaterhouse Coopers), Mr E Cooke (PricewaterhouseCoopers), Mr T Baker (PricewaterhouseCoopers) & Mrs S Lane (Baker Tilly)

Presenters

Insp. S Barber, Miss E Corns, Mr G Brown & Mr S Adams

47/14. Apologies

Apologies were received from Mr L Dundas & Mr D Harris (Baker Tilly)

48/14. Urgent Business

There were no items of urgent business.

49/14. 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.

50/14. Minutes of the meeting held on 23 September 2014 and Rolling Action Sheet

The minutes of the meeting held on 23 September 2014, having been previously circulated, were confirmed as a correct record.

Rolling Action Sheet

Mr Millett said thank you to Simon & team for going through the action sheet & it is now much clearer.

40/13- Mr Stock advised that the Communications & Engagement planning document would be ready for February's meeting.

54/13- Mrs King confirmed that a regional meeting had taken place where the Assurance Framework was discussed. Draft terms of reference are being finalised & an update on progress will be available in February.

Action- Mrs King to submit a paper update for February.

04/14- An update for Operation Tiger is on the Agenda for February.

07/14- Presentation to members on Sentinel is on today's agenda.

09/14- DCC Edens confirmed a Transforming Rehabilitation Advisory Panel meeting took place & the process is still ongoing. Governance is in place & the risk is managed through governance. Mrs King added that the contracts for new Community & Rehabilitation companies were signed yesterday across the country & a list is available if anyone would like a copy.

14/14- Consideration to be given to including a test of the new RTWI system in quarter 4 of 2014/15 audit programme is not due yet. The Chair asked for clarification of whether this will go into quarter 1 of 2015. Clarification was given that it will go into the first part of 2015 but this is quarter 4 of the financial year 2014-2015.

15/14- Reflect on Terms of Reference for audit plan for Partnerships/ Engagement is due next year.

17/14- DCC Edens stated that an update on compliance with ACPO Vetting Policy is a work in progress & a much more detailed update will be available in the New Year. DCC Edens stated that it had also been suggested that it could be part of the Annual Plan. The Chair agreed.

19/14- The Chair stated that exploratory work to be undertaken around the member Appraisal System would be completed during the first part of January 2015. Mr Prince has an action in hand. The Chair will feed through to both the PCC & the Chief prior to the February meeting.

31/14- DCC Edens provided a breakdown of those who do/ do not attend training sessions on 21.10.14. Action complete.

37/14- The Chair confirmed that future agenda items for meetings have been discussed with Mr Prince & Mr Pulford as well as Mrs King & Mrs Haslett. There is a new template which is part of the annual plan & this will enable there to be more focus on specific diary issues & allow both offices to be better prepared. This will be reviewed after the first part of next year to see if any further adjustments are needed.

Spending is on today's agenda.

40/14- Mr Stock has updated the wording of OPCC1700.

42/14- Mr Harris is to present the findings from his meeting with HMIC/ PEEL at the April 2015 meeting.

44/14- Further information to be provided to members around the auditing/ checking process for items in property stores is to be given in a presentation today.

46/14- AOB is now included on the agenda. Action complete.

The Chair noted that the Panel is improving in signing off the minutes. Having the pre-meeting between Mr Millett, Mrs King & Mrs Haslett is helping the process & the Chair will ensure this continues going forward.

51/14. Property Stores Presentation

Inspector Barber & Miss Corns gave a presentation on Property stores.

Mr Prince enquired at what point an individual is deemed to have a high volume of items booked out. Miss Corns replied that it is possible to identify the top 10 officers in terms of holding the most items. Team leaders will need to manage property levels as significant investigations may require hundreds of exhibits for one or two major cases.

Mr Prince asked if it is possible quarterly to have a report saying in 2014 there were so many booked out items & the cost of compensation was...compared to the same time in 2015. Miss Corns replied that there are weekly statistics but these do not currently go down to the booked out level as that is something new which came in for June & the property administrator hasn't started to collect the data. Miss Corns can bring the reasons.

Action – Miss Corns to provide statistics for the April meeting & then again for September so a comparison can be made.

Action – Miss Corns to find out how many items not in stores became lost whilst in police possession.

Mr Pulford enquired as to whether different items booked out held different responsibilities. Miss Corns clarified that items should always be in specific locations. Trust in overnight stores is being built back up & officers are discouraged from handling items other than when it is necessary for transit.

52/14. Sentinel Presentation

Mr Brown & Mr Adams gave a demonstration on Sentinel.

53/14. External Audit Progress Update & External Annual Audit letter

The Panel received an External Audit Progress Update report & an Annual Audit Letter. A copy of the report marked 'A' is filed with the minutes.

Mr Cooke stated that planning has started for 2014/2015, referencing two financial risks & a medium term risk detailed in the report. Mr Cooke also made reference to use of the HMIC inspections & their look at financial risk last year.

Two other matters: We want to make sure in a good position to tackle the earlier close down of accounts which will be within the next 18 months & finally confirming our independence. Please note there is a link in the report to which a hard copy can be provided on request.

Mr Dawkins highlighted that the corporate accountant, Mr Dale will move to the OPCC on February 16th 2015, creating an issue for resourcing, with an impact on capacity & capability. Mr Dawkins & Mrs Gilbert are preparing for risk & have a contingency plan in place, carrying out as much preparatory work as possible before Mr Dale Leaves to ensure a risk controlled handover. Mr Dale was the project manager & lead for Agresso, the replacement financial system. Resource is coming in at cost from the system supplier to carry on that work & hopefully provide successful implementation of the system in Summer 2015. If help is needed Mrs King is supportive in making Mr Dale available on an ad hoc basis.

Action – Mr Dawkins to provide an update in February.

The Chair noted the changes on the pwc team & asked if there are assurances that there will be continuity throughout the year. Pwc gave a positive response as Mr Bacon & Mr Cooke already work with JARAP. Tim has joined pwc but has previous experience working with the police.

The Panel AGREED to note the contents of the report.

54/14. Risk Register

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

STR1844- The current airwave contract is coming to an end. The Home Office is leading on a replacement & every emergency service will connect to the Emergency Services Network (ESN). In the report Tom Reynolds refers to an ICCS upgrade but this has run into problems. The system was moving from version 2000 to version 3000 but calls began freezing halfway through so this has had to be regressed. Version 2000 is currently back in use whilst looking at how to solve the problems in the long term. This information is not reflected in the report update of 25.11.14 as it is so recent.

STR1329- Update on the 17.11.14-Details of the Home Office settlement for policing & our likely allocation once the details come through in terms of the medium term. Risk around the financial pressures is perhaps even more acute now than when the update was written on 13.11.14.

New Risks:

STR1861-DCC Edens stated that this incident questions our ability to properly redact information. We handle a lot of information between agencies & we often redact information when disclosing it to other agencies. If that process isn't secure it doesn't have integrity & that could cause a huge risk.

STR1871-The introduction of Intelligent Voice Recognition (IVR) means that if you call up & ask for Paul Dawkins you will be put straight through to Paul Dawkins. In effectiveness it's seen as a new risk, relatively contained.

Mrs Saunders added that she's spoken to a lead on IVR & the system it's working well after testing. Any problems appear based around our system. For example, if name abbreviations are used or a maiden name is added in brackets on the phone book, the system may not recognise the request.

The Chair asked whether the risk was around getting put through to the wrong person. DCC Edens replied that it was around effectiveness, & providing customer service where someone can ensure you are directed accordingly.

OPCC1864- A new Head of Policy & Strategy has been appointed. Key areas of focus are to look at horizon scanning issues to see what may or may not be impacted by it. The only guarantee is that there will be some form of change which they are preparing for.

STR564- Mr Prince asked for a written target date in reference to improving the recording of the absent category in terms of safeguarding effectiveness.

Action – DCC Edens/ Mrs Saunders to find out a target date.

STR1571- Mr Prince asked what is being done to adjust the individual failings specifically & in general.

Action- Mrs Saunders to provide a response at the next meeting.

OPCC1690- Ms Daisley asked how ratings have gone down & how the consultation & engagement strategy is being measured in terms of its effectiveness. Mr Stock stated there will be a full strategy & action plan for the next meeting. Already put into place is a series of engagement activities & consultation events. A joint directorate has been created looking at communication & engagement.

Mrs King stated that they held a budget consultation, asking the public how much they are willing to pay. There were 863 responses this year which is really good, compared to a number in the twenties last year.

Mr Stock added that he is reviewing their website so that there will be a rolling plan for members of the public to give us views & opinions.

Mr Pulford asked how the figure had risen from 20 to over 800. Mrs King replied that last year they were just on the website, having launched it through the media. This year Mr Brown, with a targeted consultation team that work with the Force, have done a specific piece of work on 700 randomly selected individuals. There are all the telephone surveys from the individuals & 163 through the website which has been helped by even further promotions of others encouraging individuals to actually take part in the consultation: Partners, the Police & Crime Panel, the Chief Constable.

The Panel AGREED to note the contents of the report.

55/14. Internal Audit Recommendations & Tracking

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

Mr Prince asked how staff access risk assessments in order to carry out tasks. Mrs Saunders replied that Health & Safety generic risk assessments will be held on Orchid but personal risk assessments may hold sensitive information. Mr Prince asked if there is an audit trail to say that risk assessment information is available.

Action- DCC Edens/ Mrs Saunders to look into audit trail to see if it does state that risk assessment information is available.

Mr Prince asked if a date has now been fixed for the desktop exercise in Business Continuity. Mr Stock confirmed that Mrs Perry has set a date in January. There is also someone within the team who is the lead officer for Business Continuity who has developed a new template to bring it up to date.

Mr Prince asked for confirmation that the further changes detailed within Mobile Device Security had been completed.

Action- DCC Edens to follow up the August update to confirm that the further changes to be completed by 30th September 2014 were completed.

The Panel AGREED to note the contents of the report.

56/14. Internal Audit Progress Report

The Panel considered a report of Mr Harris providing an update of progress to date against the Internal Audit Plan for 2014/15. A copy of the report marked 'D' is filed with the minutes.

Mrs Lane highlighted that two reviews have been completed in Leicestershire since the previous meeting. The first is seized/ found property & the second was key financial controls walk through. The risk management is now in draft & another three reports are in the field work stage. There is a review at Lincolnshire Police on the G4S Niche service provision. This was an additional review agreed by the Chief Finance Officers. There were no recommendations. There was a workshop with the Chief Finance Officers to discuss the collaborative assurance mapping, progressing that to agree the scope.

Mr Pulford asked for clarification of POCA & POT.
POCA –Proceeds of Crime Act
POTF-Property other than found

Mr Prince asked if 1.7b, the historic reconciliation across all areas, was completed by the end of September & Mr Dawkins confirmed that it was. Monthly reconciliation is now taking place.

The Panel AGREED to note the contents of the report.

57/14. Commissioning Update

The Panel considered a report of the Chief Finance Officer to present the new commissioning framework for 2015/17 & to update the panel on the grants allocated as part of the 2014/15 process. A copy of the report marked 'E' is filed with the minutes.

Mrs King asked for a volunteer to work with the PCC on commissioning & Ms Daisley volunteered.

Mrs King highlighted the update given to the Police & Crime Panel in September so that the Panel has an awareness of how they are also holding Sir Clive to account in terms of commissioning.

We do have a lot of applications for awards coming through. At the moment we have over 66 contracts in place that Sue Haslett, as head of Commissioning

Partnerships, manages. That is contracts in place for all of the elements on the commissioning framework.

Highlight from paragraph 11 onwards as a result of this Sir Clive has had a look at his structure within the office in terms of what resources he puts there for commissioning.

Action- Mrs King to send out a copy of the PCC structure to the Panel members after today's meeting.

Mrs King asked Ms Daisley to spend some time on commissioning with regard to victims & witnesses & Mr Stock also requested to be part of discussions with Ms Daisley.

Sue Haslett having been recruited as head of Partnerships & Commissioning, is taking up the post immediately. A team is needed to work with her.

The Chair asked what drove the structure & size. Mr Stock responded that last year Sir Clive tasked him with doing a stock take of what was working well & in what areas there were gaps. Firstly, policy & strategy was discussed so anyone in the team can look at horizon scanning, looking at national & regional issues coming in & translating into a policy or strategy. Secondly the time spent on setting the commissioning framework & working with Partners & stakeholders about those outcomes. Work involved SMT group, the wider team, national & regional colleagues, including internal discussion, challenge, risk assessment, police & crime panel challenge.

The latest 15/17 framework is based on partners feedback about supporting troubled families which the partners felt wasn't reflected as highly as it should have been in earlier commissioning intentions.

Sue Haslett has been talking to Partners & consulting with others about the best way to allocate funds for 15/16. A more flexible approach has been agreed based on the partnership delivery plans of those CSP's so they can move resources to where they are needed throughout the year. Mr Stock stated Appendix A on p25 targets where the commissioning funding is going.

Action- Ms Daisley to schedule time in with Mrs King

The Panel AGREED to note the contents of the report.

58/14. Fraud & Corruption

The Panel considered a report of the Chief Constable to provide details of the robust processes & procedures Leicestershire Police currently has in place to identify & mitigate the likelihood of fraud. A copy of the report marked 'F' is filed with the minutes.

This paper highlights some of the initiatives in place nationally & locally. Paragraph 3 on page F1 details the code of ethics produced by the college of policing. Page F2 details the national fraud initiative, in which we participate

as a force. We do submit data & there have been some prosecutions resulting from the data submitted along with other agencies including councils, in the main around housing benefits.

Internally, there are various policies & procedures on page F3 paragraph 15 that are live in force as well as the integrity website which allows access to information & also disclosure of any concerns that individuals may have. Mr Dawkins drew attention to F5, stating that anything procured is tightly governed & audited rigorously by internal & external audits. This is within our overall financial regulations control framework & contracts standing orders. HMIC show an interest in the Force & the integrity of those employed by it.

Lots of things are in play: nationally, locally, various control procedures-some of them written policies, others actual control procedures that are part of our systems & processes that we adhere to as a Force, independently scrutinised every year on an ongoing basis by internal & external audit & HMIC.

The Chair stated that the paper provides clarity.

The Panel AGREED to note the contents of the report.

59/14. Draft JARAP Annual Plan

The Panel considered a report for a draft annual plan which includes standing items, scheduled regular reports & the areas suggested for further scrutiny & assurance following recent JARAP feedback. A copy of the report marked 'G' is filed with the minutes.

The Chair confirmed a separate meeting had taken place for the Annual Plan with Mrs King & Mrs Haslett. The Panel will take this forward & link back with Mrs King if there are any changes.

Mr Stock asked to provide updates too & the Chair agreed.

DCC Edens made reference to the list of thematic updates included in paragraph 10 of the report, noting that Vetting is not on this list as detailed on the action plan.

Action- The Chair to add Vetting to the list of updates.

The Panel AGREED to note the contents of the report.

Chairman

19 December

13:00-15:30