

**Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP) held  
at Police Headquarters, Enderby at 1:00pm on  
Tuesday 05 July 2016**

**Present**

Mr B Millett (Chair 2:10pm-4:20pm), Mr L Dundas (Chair; pro temp 1pm-2:10pm), Mr I Prince, Mr L Pulford

**Also in attendance**

**Office of The Police and Crime Commissioner (OPCC)**

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

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

DCC R Bannister (Deputy Chief Constable), Mr P Dawkins (ACO Finance and Resources)  
Mrs L Saunders (Force Risk & Business Continuity Advisor), Mrs S Partridge (minute taker)  
Miss S Chadha (Inspection/ Audit) attended as an observer

**Auditors**

Mr A Sohal (Ernst and Young), Mr S Clarke (Ernst and Young), Mr B Welch (Mazars),  
Mr M Clarkson (Mazars)

**34/16 Apologies**

Apologies were received from Mr J Burgess (Ernst and Young).

**35/16 Urgent Business**

There were no items of urgent business.

**36/16 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.

**37/16 Minutes of the meeting held on 18 May 2016 and Rolling Action Sheet**

The minutes of the meeting held on 18 May 2016, having been previously circulated, were confirmed as a correct record.

Paragraph 28/16 The final sentence 'There was no formal traction' was removed.

**Rolling Action Sheet**

59/15 Re approaching PCCs in region to gauge interest in joint subscription to CoPACC, the Chief Executive (OPCC) advised this would be part of the induction process (action ongoing).

**Action: Helen King to send a CoPACC link to Mr Pulford direct.**

59/15 Monitoring weekly CoPACC updates (action ongoing).

- 06/16 Mr Welch to add JARAP timings to Audit Plan, ensure proposed timings are listed in date order and, wherever possible, indicate where audits are to be conducted with other police forces. (action complete)
- 07/16 DCC to check appropriate training had taken place. There were no significant changes to the property processes which required formal training sessions, however, the policy and procedure was reinforced with the property staff. There remains a heavy scrutiny on property processes by the Crime and Intel SMT. 20.6.16 Scrutiny continues and a recent formal audit has been completed, force action plans fully updated and results to be discussed at JARAP(action complete)
- 07/16 DCC to check rigour in relation to proposed timescales for completion. On the infrequent occasions where target dates are requested to be revised by business owners discussions take place between the owner, auditors and the force monitoring team to ensure that any agreed revised targets are achievable whilst maintaining the interests of the force. Where target dates are revised the circumstances for doing so are reported to JARAP. Indeed, sometimes circumstances are beyond the control of the business owner for example **ZANZIBAR – (P2P) [Procure to Pay]** system for procurement dates were revised, placed on hold and then superseded altogether due to the system not meeting force requirements. 20.6.16 As per action above this is complete. (action complete)
- 09/16 Chair to review meeting dates for 2017. (action ongoing)
- 23/16 Helen King offered to chase CFO's to seek speedy responses to be provided to Mr Welch. Regional CFO's have been chased twice to complete the Regional collaboration audits and ways forward suggested when there were points of difference. Chief Executives have also been chased. At the time of writing, one report had been finalised but it is hoped that the two chasers may assist in finalising the remaining reports. (action ongoing)
- 24/16 Share a copy of the HR Plan with JARAP members when agreed. Once issued publicly the updated HR Plan can be shared with JARAP members. This is anticipated within the next few months.(action ongoing)
- 24/16 Update JARAP when Human Resources 4.1 has been discussed at SAB.20.06.16 This is scheduled for discussion at SAB on 28.06.16. (action ongoing)
- 26/16 Mrs Saunders to meet Mr Dundas offline regarding visibility of HR issues on appendix C. This was discussed immediately after the last JARAP. The query was around how areas not covered under the standard risk assessment matrix such as staff morale are assessed. Areas not included are assessed by applying the existing terminology for instance minor, significant or severe to determine the impact when undertaking the assessment. (action complete)

### **38/16 Internal Audit Annual Report 2015/2016**

The Panel received the annual report of Mazars, the Internal Auditors, presented by Mr Welch. 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 and is an important aspect of corporate governance. A copy of the report marked 'A' is filed with the minutes.

Mr Welch stated that overall it was a solid performance.

For Leicestershire only all but one report received either satisfactory or significant assurance. Limited assurance was given for Seized and Found Property Safe Management.

For collaboration, Forensics received satisfactory assurance. Final reports for Officers in Kind, PCC Board Governance and Covert Payments will be brought back to the next JARAP to enable a co-ordinated response. Improvements have been identified for moving forward collaboratively.

The Panel AGREED to note the contents of the report.

### **39/16 Internal Audit Progress Report**

The Panel received a report from Mazars, presented by Mr Welch, providing a summary of progress against the Internal Audit Plan 2015/16 together with progress on delivering the 2016/17 Internal Audit Plan which was considered and approved by the JARAP at its meeting on 22<sup>nd</sup> February 2016. A copy of the report marked 'B' is filed with these minutes.

Mr Welch highlighted the two priority recommendations for Seized and Found Property Management as detailed below:

- 1- Access to the keys to the safes that are holding cash and valuables should be appropriately restricted and keys to the safes should be securely stored at all times.
- 2- A segregation of duties should occur in the completion of the monthly safe audits at the various property locations so that more than one officer is included in the safe audit process.

Mr Pulford enquired whether seized and found property was to be included again for 2016/2017. Confirmation was provided that this area was planned in to be looked at again in quarter 4.

Collaboration was covered within 38/16.

Mrs King noted that it was good to see the audits had moved forward so quickly at the start of the year. She also noted that with regard to commissioning, this may need to be reviewed later in the year and possibly rescheduled to 2017/18, highlighting that the new PCC will not complete their Police and Crime Plan and any subsequent Commissioning Framework until much later in the year.

Mr Stock enquired whether there were any more details for the collaboration audits and Mr Welch replied to say they were not available yet.

Mrs King informed the JARAP that the regional workshop on collaboration assurance which Mrs King and Mr Prince hope to attend was planned for Chief Finance Officers' and Chief Executive Officers' within the next two weeks.

The Panel discussed the contents of the report.

### **40/16 Internal Audit Recommendations and Tracking**

The Panel received a report from the Chief Constable with update progress responses from business owners and external auditors Baker Tilly and Mazars for the period 2013-16. A copy of the report marked 'C' is filed with these minutes.

- Seized and Found Property (3.14/15) keep open
- Partnerships: (4.2, 4.3, 4.4, 4.5) keep open
- Human Resources (4.1; 4.2) proposal to close both agreed
- Payroll (4.1, 4.2) keep open
- Change Programme (4.1) keep open (4.2) proposal to close agreed
- ICT audit (4.1, 4.2, 4.3, 4.4, 4.5, 4.6) keep open
- Seized and Found Property (4.1, 4.2, 4.3, 4.4, 4.5, 4.6, 4.7, 4.8) keep open

The Panel AGREED to note the contents of the report.

**Action: Paul Stock to add details regarding Supt Newcombe and the meeting that has taken place to tracking for Partnerships**

**Action: DCC Bannister to add updates on tracking which have taken place for Change Programme.**

**Action: Mr Prince requested a discussion outside JARAP to gain understanding of Human Resources tracking.**

**Action: DCC Bannister to find out whether Leicestershire as a force will be linking into the cyber security considerations launched by the Cabinet Office.**

**Action: Mr Millett to have a meeting offline with Mr Dawkins regarding ICT Audit.**

**Action: Each recommendation to have the name of responsible owner and job description included.**

#### **41/16 External Audit Progress Report**

The Panel received a verbal External Audit Update from Mr Sohal at Ernst Young.

Mr Sohal reported that both sets of accounts had been produced on time. Mr Sohal also informed the panel that on-site field work would begin week commencing 11<sup>th</sup> July 2016. The results and assurances would be submitted to the next JARAP meeting on 19<sup>th</sup> September 2016.

#### **42/16 Risk Register**

The Panel received a report from the OCC and the OPCC providing information on the Corporate Risk Register, highlighting the high priority, risks of note and new risks. A copy of the report marked 'D' is filed with these minutes.

Mrs Saunders advised that there were currently 38 police strategic risks and 9 OPCC strategic risks with 2 high priority risks and 1 new OPCC risk.

##### High priority risks:

- STR 1844- Failure to transition to the Emergency Services Network. Risk related to expiry of Airwave in 2017. This is a nationally driven project and the key update is that it's unlikely and devices will be available for testing until April 2017 .
- STR1679- Missed opportunities: failure to accurately record crime. The controls remain the same.

##### New Risks

- OPCC1934- Newly elected PCC for LLR could result in widespread change. Paul Stock is the owner. There are ongoing discussions within the senior management team and they are planning for a public consultation. The PCC has stated he will appoint a deputy PCC in the Autumn. The new PCC has expressed an interest in more 5 force collaborations and wants more strength on local partnerships. Mr Stock will be creating a task and finish group which will be a multi-agency team and will include the fire service amongst others.

The Panel AGREED to note the contents of the report.

**Action: Mrs Saunders to note if there is a new risk owner for any of the risks.**

**Action: Mrs Saunders to add narrative to the system to reflect the continuing review of OPCC1934.**

**Action: Mrs King to ensure the new PCC Risk is updated monthly rather than quarterly.**

**Action: Mrs Partridge to include an item for First 100 Days of the PCC at the request of Mr Stock for him to table on the agenda of the next JARAP meeting on 19<sup>th</sup> September 2016.**

#### **43/16 Fraud and Corruption**

The Panel received a report of the Chief Constable, presented by Mr Dawkins which provides updated details of the robust processes and procedures Leicestershire Police currently has in place to identify and mitigate the likelihood of fraud. A copy of the report marked 'E' is filed with the minutes.

The Panel AGREED to note the contents of the report.

#### **44/16 Annual Report of JARAP**

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 2015/16. A copy of the report marked 'F' is filed with the minutes.

The Panel AGREED to note the contents of the report.

**Action: Panel members to respond with any comments on the content of the Annual Report by 19<sup>th</sup> July.**

**Action: Mrs King to liaise with the Chair regarding the presentation of the Annual Report to the Police and Crime Commissioner and the Chief Constable.**

#### **45/16 Strategic Alliance Update**

The Deputy Chief Constable and the Chief Executive gave a verbal update on Strategic Alliance.

DCC Bannister stated that with the introduction of two new PCC's there was a change in political colours.

A lot of work has taken place between the 3 Deputy Chief Constables and the 3 Chief Executive Officers. There is congruence between the outgoing and incoming PCCs and agreement and consistency between PCCs.

The wording of Strategic Alliance has been changed to Tri-force Collaboration.

The emphasis remains on local neighbourhood policing and local crime.

Mr Stock led the introduction of the 2 new PCCs who are Lord Bach for Leicestershire and Steven Mould for Northamptonshire.

There was a desire for 5 forces to be involved in the work if possible. There was a small programme team in place which was more focussed.

#### **46/16 Recruitment Processes**

The Panel received a verbal update from the Chair.

The Chair reported that the recruitment process had been on hold due to possible different directions. The time had now come to get a 5<sup>th</sup> member in place as soon as possible. HR had agreed that it would be possible to do targeted recruitment.

Mrs King informed the Panel that she would be writing to them shortly to ask about a second tenure. Mrs King would also be looking at the tenure of Chair, which was currently restricted to 1 term, having spoken to Lord Bach.

**Action: Mrs King and the Chair to progress the process to recruit a JARAP member outside the JARAP meeting.**

**Action: Mrs King to discuss with the PCC and the Chief Constable and consider work on the Terms of Reference as regards to the tenure of the Chair outside of the JARAP meeting.**

#### **47/16 Partnerships and Commissioning Update (to include victim first)**

The Panel received a report from the CEO outlining progress in relation to partnerships and commissioning since the last report to the Panel in February 2016. It provides an update to the Panel on the OPCC commissioning activity highlighted in that report, together with the Partnerships Audit and Strategic Partnership Board (SPB) developments. A copy of the report marked 'G' is filed with these minutes.

Mr Stock stated that there was more to be done around Restorative Justice. Mrs King highlighted that Lord Bach wanted a higher priority on communications and engagement and would be involved in exposing information to the public. Mr Stock stated that the OPCC was working closely with the Force who was usually the first to see victims.

They were looking to specialise with victim first to allocate a lead for different areas, i.e. hate crime and mental health. People were able to refer themselves for support.

The Panel AGREED to note the contents of the report.

#### **48/16 Regional Collaboration Landscape**

The Panel received a verbal update from the Chief Executive.

A copy of the PCC and CEO meeting 24<sup>th</sup> May East Midlands Police Force Collaborations was distributed to the Panel in the meeting.

DCC Bannister explained there were a number of regional projects, which incorporated between 2 and 5 forces.

Mr Stock discussed governance and performance, looking at what needed to be put in place locally and regionally.

Lord Bach and Mr Stock would be attending a national Capabilities Summit on Friday, which would include information such as for Firearms.

#### **49/16 Exclusion of the Public and Press**

It was RESOLVED that under Schedule 30 and Schedule 31 of the Freedom of Information Act 2000 the public, including the press, be excluded from the meeting during consideration of the following item on the grounds specified on the agenda.

**50/16 Seized and Found Property Update**

The Committee received a report of the Chief Constable, presented by the Deputy Chief Constable. A copy of the report marked 'H' is filed with these minutes.

The Panel AGREED to note the contents of the report.

**51/16 Date of next meeting**

**19<sup>th</sup> September 2016**

**1:00pm, Main Conference Room, FHQ**

**Chair**

**1:00pm-4:20pm**

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**OFFICE OF POLICE AND CRIME COMMISSIONER & OFFICE OF THE CHIEF CONSTABLE**  
**JARAP – ROLLING ACTION SHEET**

Meeting Date	Minute No.	Paper	Action	Person Responsible	Target Date	Update
07/12/15	59/15	G	Mrs King to approach other PCC's in region to gauge interest in a joint subscription to CoPACC, once new PCC's are appointed in May 2016.	Mrs King	July 2016	<b>2.2.16</b> – This will be undertaken once the PCC elections have taken place and new PCCs appointed – suggest action paused and discussed at the July meeting. Ongoing <b>20.06.16</b> – This is still being considered by the new PCC and members will be updated when he has made a decision. <b>05.07.16</b> – Mrs King to send a CoPACC link to Mr Pulford direct. <b>22.08.16</b> - Mrs King emailed to members 08/08/16. <b>PROPOSE CLOSE.</b>
07/12/15	59/15	G	The JARAP agreed to monitor the weekly CoPACC updates and discuss at a future date.	JARAP members	July 2016	<b>2.2.16</b> - Ongoing
08/03/16	09/16	D	Chair to review meeting dates for 2017	The Chair	May 2016	<b>18.05.16</b> - Ongoing
18/05/16	23/16	A	Offered to chase CFO's to seek speedy responses to be provided to Mr Welch	Mrs King	July 2016	<b>20.06.16</b> – Regional CFO colleagues have been chased twice to complete the Regional collaboration audits and ways forward suggested when there were points of difference. Chief Executives have also been chased. At the time of writing, one report had been finalised but it is hoped that the two chasers may assist in finalising the remaining reports. <b>22.08.16</b> – Regional reports should now be completed. A new process has been agreed by CFOs for 16/17 to streamline the process better moving forwards. <b>PROPOSE CLOSE</b>
18/05/16	24/16	B	Share a copy of the HR Plan with JARAP members when agreed	DCC Bannister	July 2016	<b>20.06.16</b> – Once issued publicly the updated HR Plan can be shared with JARAP members. This is anticipated within the next few months.



						<b>24.08.16</b> – The HR Plan has been agreed and will be circulated to the panel.
18/05/16	24/16	B	Update JARAP when Human Resources 4.1 has been discussed at SAB	DCC Bannister	July 2016	<b>20.06.16</b> – This is scheduled for discussion at SAB on the 28/6/16. <b>24.08.16</b> – The People Strategy now includes a link to the Force objectives. It was presented and discussed at the SAB meeting on 28.06.16. <b>PROPOSE CLOSE</b>
05/07/16	39/16	B	Look into timescales for getting and receiving details on access to key safes and segregation of duties	DCC Bannister	September 2016	<b>24.08.16</b> – The safes have arrived and will be installed imminently. In terms of the segregation of duties; the project team are working on a short term measure as the matter will be addressed as part of the project review to implement a longer term solution.
05/07/16	40/16	C	Add details regarding Supt Newcombe and the meeting that has taken place to tracking for Partnerships	Mr Stock	September 2016	
05/07/16	40/16	C	Add updates on tracking which have taken place for Change Programme.	DCC Bannister	September 2016	<b>24.08.16</b> – This will be included in future reports. <b>PROPOSE CLOSE</b>
05/07/16	40/16	C	Requested a discussion outside JARAP to gain understanding of Human Resources tracking	Mr Prince	September 2016	
05/07/16	40/16	C	Find out whether Leicestershire as a force will be linking into the cyber security considerations launched by the Cabinet Office	DCC Bannister	September 2016	<b>24.08.16</b> – The launch has been delayed by the Home Office with the only update being “later in 2016”. Leicestershire Police are working with the regional cyber protect officer about all initiatives launched but the home office launch appears to have been delayed to “later in 2016” (according to website). Any key messages will be fed into the Cyber Crime Control plan messages being co-ordinated through the partnership group.
05/07/16	40/16	C	Meeting offline with Mr Eaton regarding ICT audit	Chair/ Mr Eaton	September 2016	
05/07/16	40/16	C	Each recommendation to have the name of responsible owner and job description included	DCC Bannister	September 2016	<b>24.08.16</b> – This will be included in future reports. <b>PROPOSE CLOSE</b>
05/07/16	42/16	D	Note if there is a new risk owner for any of the risks	Mrs Saunders	September 2016	<b>24.08.16</b> – This will be included in future reports. <b>PROPOSE CLOSE</b>

05/07/16	42/16	D	Add narrative to the system to reflect the continuing review of OPCC 1934	Mrs Saunders	September 2016	<b>24.08.16</b> – Additional narrative has been added to OPCC 1934 within Orchid. <b>PROPOSE CLOSE</b>
05/07/16	42/16	D	Ensure the new PCC Risk is updated monthly rather than quarterly	Mrs King	September 2016	<b>22.08.16</b> – monthly reviews scheduled
05/07/16	42/16	D	Include an item for First 100 Days of the PCC at the request of Mr Stock for him to table on the agenda of JARAP in September	Mrs Partridge	September 2016	<b>22.08.16</b> – On the agenda
05/07/16	44/16	F	Respond with comments on the content of the Annual Report by 19.7.16	Panel Members	July 2016	
05/07/16	44/16	F	Liaise with the Chair regarding the presentation of the Annual Report to the PCC and the Chief Constable	Mrs King	September 2016	<b>22.08.16</b> – scheduled for presentation to the 30/9/16 Strategic Assurance Board.
05/07/16	46/16		Progress the process to recruit a JARAP member outside the JARAP meeting	Chair/ Mrs King	September 2016	<b>22.08.16</b> – HK and BM to meet and progress
05/07/16	46/16		Discuss with the PCC and the Chief Constable and consider work on the Terms of Reference as regards to the tenure of the Chair outside of the JARAP meeting	Mrs King	September 2016	<b>22.08.16</b> – In progress