

**Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP) held
at Police Headquarters, Enderby at 10:00am on
Tuesday 20 June 2017**

Present

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

Also in attendance

Office of The Police and Crime Commissioner (OPCC)

Mrs H King (Chief Finance Officer)

Office of The Chief Constable (OCC)

Mr R Bannister (DCC), Mrs L Saunders (Force)

Auditors

Mr A Sohal (Ernst and Young), Mr B Welch (Mazars)

18/17 Apologies

No apologies were given.

19/17 Urgent Business

The Chair invited members to declare any urgent business in respect of items on the agenda for the meeting.

No such declarations were made.

20/17 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.

21/17 Minutes of the meeting held on 17 March 2017 and Rolling Action Sheet

The minutes of the meeting held on 17 March 2017, were discussed and were confirmed as a correct record with one minor amendment:

76/16 - Mr Bannister highlighted that the wording in the minutes needed amending from 'SAM Papers' to 'SAB Papers'.

ACTION: Minutes of the 17 March 2017 be amended.

The rolling action sheet was discussed, with the following discussion in respect of the process:

09/16 Meetings agreed and set. Action completed and closed.

40/16 This meeting has not yet taken place. Mr Dawkins mentioned that Phil Eaton has been advised that the JARAP chair wished to make contact and discuss ICT.

ACTION: Phil Eaton and Barrie Millett contact details to be exchanged.

- 42/16** Mrs King advised that it is likely once the new PCC CEO is appointed that an OPCC Business Plan will be produced. It is likely the OPCC Risks will need updating following this and that Mrs Saunders support will be sought for an OPCC Risk workshop.
- 46/16** Recruitment is underway and an update is tabled at item H on the Agenda. Action can be closed at the next meeting.
- 46/16** Terms of Reference Completed as per the March update. Action closed.
- 17/16** Mrs King advised that Mr Andrew Dale, Chief Finance Officer in Derbyshire has confirmed that the Internal Audit Actions have been completed and has received a copy of the Legal Services Annual Report which can be shared publicly.

ACTION: Update on Legal Services to be circulated with the minutes as attached.



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- 76/16** Mrs Saunders and Mr Bannister updated on the Contact Management Delivery Plan for 17/18 and shift patterns and recruitment. Mr Bannister advised that the Chief Constable and PCC met regularly to discuss updates and progress in this area which included updates reported to Performance Delivery Group, Strategic Assurance Board Group and Police and Crime Panel. Mr Bannister agreed to update the Panel with a report to the December 2017 meeting.

ACTION: Actions to remain open with an update report tabled at the December 2017 JARAP meeting.

Mr Dundas queried whether PCCs (particularly those in the previous Tri-Force arrangements) intended to collaborate on a Regional Commissioning Framework. Mrs King advised that all three PCCs included their own Commissioning Intentions in their Manifestos and Budgets and Precepts set locally to deliver local services. At present there is no appetite to change this position. However, Mrs King advised that PCCs will and do collaborate on Commissioning where appropriate and gave an example of the current Commissioning work for Paediatric SARC arrangements where National Health Service England (NHSE) was working closely with all five Regional PCCs to Commission services.

- 80/16** Mr Dawkins advised the Panel that the report had been considered and Leicestershire were progressing with maximising current arrangements as were Northamptonshire and Nottinghamshire at this time. The report will be shared in confidence with Panel members for information.

ACTION: Grant Thornton report to be circulated to members.

- 4/17** Rolling action sheet and Legal Services Dec 2016 actions can be closed.
- 4/17** Information Security – action to remain open – Item on Information Security to the September 2016 meeting and Paul Hooseman invited to attend.
- 5/17** Action on going.
- 6/17** Action completed and closed.

- 7/17 Action on going.
- 8/17 Self-assessment action completed and closed.
- 8/17 Timescales reviewed and amended action completed and closed.
- 8/17 Terms of Reference – not yet due – action ongoing.
- 12/17 Force meetings – list provided completed and closed.
- 12/17 Mr Bannister to add dates of the Victim Code Compliance Group to the list of Force meetings and circulate to members. Action on going.

ACTION: Dates to be provided to members, action ongoing

- 13/17 Action completed and closed.
- 14/17 Action completed and closed
- 16/17 Mr Prince and the JARAP wrote to the PCC and CC and a response has been provided which includes a specific Health and Safety Internal Audit to be undertaken. Any findings from the Internal Audit will be reported to the JARAP in line with existing arrangements. Action completed and closed.

22/17 Internal Audit Progress Report

The Panel received a report from the Head of Internal Audit providing a summary of the Internal Audit Progress Report. A copy of the report marked 'A' is filed with the minutes.

In respect of the 2016/17 Internal Audit Plan, Mr Welch confirmed that EMSOU and EMOpSS, the two collaborative audits, have now been finalised and are included within the report.

Overall satisfactory assurance, except Legal Services, which had been discussed in a prior meeting.

Mr Welch expanded on the collaborative audits and explained that overall, there were a lot of common issues across all five areas.

In respect of the Payroll provider Audit, the overall audit had a satisfactory assurance with one issue being highlighted around vetting. Two examples were provided where clearance had not been received at the point of expiry.

Mr Millett queried further information on vetting and access to systems.

ACTION: Mr Welch to clarify the position to ensure that access is not available to officers until vetting has been completed.

In respect of 2017/18, Mr Welch advised that there are audits scheduled in the next few months for Risk Management and Business Continuity.

Mr Millett advised that whilst the Seized and Found Property Audit for 16/17 was deferred, he asked that a date be set in 17/18 as soon as possible. Mr Welch confirmed that this will be set in Q3.

Mrs King added that the only addition to the 17/18 Plan is the additional Internal Audit on Health and Safety.

Mr Pulford asked how Internal Audit are assured that recommendations have been completed. Mr Welch advised that it was twofold, firstly through the updates to the JARAP but also the Internal Auditors when undertaking the next audit of that area would have the previous audit report to hand to check the actions had been completed in line with the original recommendation. Mr Bannister added that the recommendations are updated at every JARAP meeting until such time as they are completed.

The Panel NOTED the contents of the report.

23/17 Internal Audit Recommendations and Tracking

The Panel received a report from the Chief Constable providing a summary of the Internal Audit Recommendations and Tracking. A copy of the report marked 'B' is filed with the minutes.

Mr Bannister confirmed that B1 – D2 is about recommendations being made around revamping policies and procedures. Good progress has been made on Vehicle Recovery Procedure around Evidential Property which was approved and introduced in April. It is RAG rated as amber as it is a work in progress and one final review is to be carried out on Evidential Property Packaging.

The Chair requested that the wording of 'work in progress' be reviewed for the Recommendation updates.

ACTION: Mrs Saunders to review the wording of the updates.

Mr Millett and Mr Prince queried that a number of Seized and Found Property Recommendations had updates where policies were with Senior Management (D2, D10) and requested an update from Mr Bannister on timescales.

ACTION: Mr Bannister to ensure the recommendations are updated to reflect timescales for the report to the September Panel meeting.

Mr Dundas queried the RAG rating on D8 as improvements are still outstanding. It was assessed as Green and Mr Dundas queried whether it should be Amber. Mr Bannister advised that this would be actioned.

ACTION: Mrs Saunders to revise the RAG rating on D8 to Amber.

Mrs King queried that for D3, the recommendation was Aligning Strategies, Policies and Procedures within the Strategic Alliance and as the Strategic Alliance is not going forward the original recommendation is no longer applicable, although separate work on HR is being progressed, this does not relate to the original recommendation.

Mrs King suggested the recommendation be closed in that context at the September meeting following Mrs Saunders updating the narrative to note the ongoing HR work.

ACTION: Mrs Saunders to update the narrative on D3 for the JARAP meeting in September.

Mr Bannister presented the update on D4 and Mr Prince questioned the timings for the ICT Strategy consultation and risk of lack of Programme resources which could potentially affect timeliness of completing various work stream and project supports. This risk is being mitigated by prioritisation.

The Panel discussed update D5 and D6, Mr Bannister advised that Information Management has moved under Headquarters, Corporate Services. The Panel sought a more detailed update before the recommendation could be closed.

ACTION: Mrs Saunders to provide a more detailed update on D5 for the September meeting.

The Chair queried whether there were still issues regarding the patching arrangements and requested an update to the September meeting.

ACTION: Roger Bannister to produce a small overview regarding the patching arrangements and to provide information on how the Force responded to the recent Wannacry issue.

Mr Bannister presented D7, D8 and D9 and Mr Prince queried how close the implementation was. Mr Bannister advised that whilst most of the implementation has been completed, the actions will remain Amber and he will provide an update paper to the September meeting.

ACTION: Roger Bannister to provide an update paper on the Property Project to the September meeting.

Mr Bannister advised that the processes in D11 are now live. The Panel requested more detail on the narrative to ensure consistency across the seized and found property recommendations and estimated completion dates and then this recommendation can be closed.

ACTION: Mrs Saunders to add more narrative to this recommendation which can then be closed.

Mr Bannister updated the Panel on D12, D13, D14 and D15 and the Panel requested more information in the narrative for WIP and completion dates and propose these to be closed at the September meeting.

ACTION: Mrs Saunders to add more narrative to these recommendations to enable these to be closed at the September meeting.

Mr Prince requested that the complaints recommendations highlighted in D16 and D17, particularly with regards to dip sampling be considered at the next JARAP meeting. Mr Bannister and Mrs King advised that Complaints were considered by the PCC at the Strategic Assurance Board (SAB) and that Complaints and Dip Sampling was carried out by Ethics Committee members and discussed within the remit and Terms of Reference of the Ethics Committee, therefore it would not be appropriate for these to be considered by the JARAP. A copy of the reports will be provided to the JARAP members for information.

ACTION: Ethics Committee Report on Dip Sampling of Complaints and the Strategic Assurance Board report on Complaints by the Force to the PCC to be shared with the JARAP members or information.

Mr Pulford requested that the initial and any updated target implementation dates both be shown on the recommendations tracker moving forwards.

ACTION: Mrs Saunders to ensure the recommendations report is updated for future meetings to reflect initial and updated target implementation dates.

Mr Pulford queried the impact on resources for the recommendation to communicate with victims in 4.3 on page D22 and Mrs Saunders confirmed that there is an online portal for Track my crime which gives the opportunity for victims to sign up and see updates on crime and add information.

Following a query by Mr Prince on Kier timescales, Mr Dawkins updated on D26 and advised during the meeting that the workshop had now taken place. This recommendation can be closed for the next meeting.

ACTION: Mr Dawkins to propose this recommendation is closed for the September meeting.

The Panel NOTED the contents of the report.

24/17 External Audit Progress Report

Mr Sohal provided a verbal summary of the External Audit Progress and confirmed that the audit has commenced and is making good progress and that it should be completed by Friday 30 June 2017.

The Panel NOTED the verbal report.

25/17 Risk Register

The Panel received a report from the Chief Constable providing a summary of the Risk Register. A copy of the report marked 'C' is filed with the minutes.

Mr Pulford questioned the timescale for some of the risk updates and reviews and Mrs Saunders confirmed that the Risk Register generates automatic emails to Risk owners for reminders and whilst not aligned to the JARAP meetings it is procedural in line with the Policy.

Mr Dundas queried whether there is an action plan for the high risk STR473 and requested a report to the September meeting.

ACTION: Mr Bannister to provide a report on the Vetting Action Plan to the September meeting.

Mrs King updated the panel on OPCC1694 on the CEO recruitment and restructure of the OPCC.

The Chair queried how the part time roles in the OPCC and Leicester City Council which are held by the Deputy Police and Crime Commissioner are managed and monitored independently and transparently. Mrs King advised that in line with the legislation, the PCC to manage and monitor the role of the DPCC. However, scrutiny and challenge of this DPCC role is also within the remit of the Police and Crime Panel who held a confirmation hearing for the role. Mrs King advised that the Panel had also requested a 6 monthly update on the role. Both of these reports are available publicly and will be shared with JARAP members for information.

ACTION: Mrs King to share the Police and Crime Panel papers on the DPCC confirmation hearing and 6 month review with JARAP members for information.

Mrs King updated the Panel on the OPCC Risk 1696 and explained that whilst the wording may need amending in due course, the risk is relevant, particularly in the context of the recent HMIC Effectiveness Audit, Child Protection and future Data Integrity Inspections.

Ms Saunders updated the Panel on STR1961.

Mr Pulford requested all increased risks be included within the report. Mrs Saunders advised that the report does usually include these under Risks of Note, however, on this occasion there were no increased risks other than those which increased to high.

Mr Dundas queried whether the Force were working with Community organisations in respect of the Force's response to work on Hate Crime. Mr Bannister advised that they were.

The Panel NOTED the contents of the report.

26/17 Internal Audit Annual Report 2016/17

The Panel received a report from the Head of Internal Audit summarising the Internal Audit Annual Report 2016/17. A copy of the report marked 'D' is filed with the minutes.

Mr Welch highlighted key elements of this report and concluded that the overall summary was a good, solid performance and there were no concerns to highlight.

The Panel NOTED the contents of the report.

27/17 Annual Update Report on Collaboration

The Panel received a report from the Chief Constable outlining the Annual Update Report on Collaboration. A copy of the report marked 'E' is filed with the minutes.

Mr Bannister highlighted key elements of this report and confirmed that three collaborative programmes exist with Nottinghamshire and Northamptonshire in the areas of HR, Finance and IT. Each area has an Assistant Chief Officer Lead. Mr Bannister confirmed that Blueprint 2020 is now revamped as Blueprint 2025, has adopted the National Policing Vision and gives a longer term perspective.

The Panel NOTED the contents of the report.

28/17 Audit Committee Effectiveness – Draft Report

The Panel received a report from the Head of Internal Audit summarising the draft Audit Committee Effectiveness Audit. A copy of the report marked 'F' is filed with the minutes.

Mr Welch confirmed that that the Audit Committee Effectiveness has been done at Nottingham and Northampton. In Leicestershire there was a 100% response rate. The audit fieldwork was followed up by a very positive workshop which identified a number of recommendations which are included in the draft report.

Mrs King thanked Mr Welch for the hard work involved in undertaking this audit and summarising the responses. Mrs King will liaise with the Force and the Chair to draft an initial management response to share with the Panel and respond to Mr Welch on the recommendations. The Panel agreed that all comments on the draft would be forwarded to Mrs King.

ACTION: Members to ensure Audit Effectiveness Draft Report Comments are forwarded to Mrs King as soon as possible to enable a Management response to be provided to the auditors and for a Final report to be issued.

The Panel NOTED the contents of the report.

29/17 Draft Annual Report of the JARAP

The Panel received a report from the Chair outlining the draft Annual Report of the JARAP. A copy of the report marked 'G' is filed with the minutes.

Mrs King outlined that this draft report includes not only the statutory roles of the JARAP and an update on its statutory work and terms of reference but also builds on the best practice highlighted in other areas and the CIPFA Best practice document for Audit Committees. The report is intended to also highlight issues considered by the Panel during the year in line with its remit and includes an area of the report for members to summarise their work.

The Chair has completed his foreword for the report and asked for comments on the draft from members, together with their paragraphs for inclusion to forward to Mrs King by the 31 July 2017.

ACTION: Members to provide feedback on the report and the draft paragraphs for inclusion in the report to the Chair and Mrs King by the 31 July 2017.

Mrs King highlighted the area suggested areas for consideration in paragraph 6 of the report which were supported by members.

The Panel supported the areas for consideration in paragraph 6 and NOTED the contents of the draft report.

30/17 JARAP Recruitment Update

The Panel received a report from the Chief Finance summarising the JARAP Recruitment Update. A copy of the report marked 'H' is filed with the minutes.

The Panel NOTED the contents of the report.

31/17 Matters to refer to the Ethics, Integrity and Complaints Committee

No matters were highlighted to refer to the Ethics, Integrity and Complaints Committee.

32/17 Items for the next meeting Agenda

The Panel highlighted the following items they wished to see in the September Agenda as follows:

Mr Pulford requested the welfare of staff linked to working arrangements during the Critical Threat level as an agenda item for the JARAP meeting in September, in particular how it is monitored and historic comparisons. Mr Bannister and Mrs King described how this had worked in respect of the recent situation where trade unions and the federation were represented at key meetings to ensure this was addressed appropriately.

ACTION: Mr Bannister to produce a report for the September meeting.

Mr Pulford asked for an update on Communications, for the next meeting, particularly where the Force have not responded to media articles. Mr Bannister advised that on occasion, responses from the Force were not printed in the media, despite being given and requested examples from Mr Pulford.

ACTION: Mr Pulford to share the media articles with Mr Bannister and agree how to take forward.

Mrs King highlighted to the JARAP members that a significant number of ad-hoc reports had been requested which were neither statutory nor included on the forward plan. Given the importance of the September meeting for the statutory requirement of the Statement of Accounts and ISA 260, Mrs King requested the Panel consider an optimum level of reports which can be effectively considered as a large number of ad-hoc reports had been added during the meeting:

Statutory Requirements/Terms of Reference:

- Internal Audit Progress Report
- Internal Audit Recommendations and Tracking
- Risk Register
- Fraud and Corruption (every two meetings)
- Statement of Accounts 2016/17
- ISA260 Report to those charged with governance
- Annual meeting of members with auditors (Audit Effectiveness Review)

Additionally, the Panel requested the following reports:

- Information Assurance update
- 1 Page overview on Patching
- Action Plan and update on Vetting
- Communications
- Update on Seized and Found Property
- Staff working arrangements and support during the Critical Threat level

ACTION: It was agreed that the Chair and Mrs King would review the proposed agendas for the September and December meetings to ensure that statutory requirements, planned and member requested reports could be considered effectively.

33/17 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.

34/17 Seized and Found Property Update

The Panel received a report from Mr Bannister regarding a specific issue in respect of Seized and Found Property. Mr Bannister confirmed that further detail had been shared with the Chair.

The Panel NOTED the contents of the report.

35/17 Date of Next meeting

Thursday 14 September 2017 – 2:00pm, Main Conference Room.

Chair

10:00am – 12:00pm