

**Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP) held
at Police Headquarters, Enderby at 2:00pm on
Thursday 14 September 2017**

Present

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

Also in attendance

Observer

Mrs J Pallas

Office of The Police and Crime Commissioner (OPCC)

Mrs H King (Chief Finance Officer)

Office of The Chief Constable (OCC)

Mr R Bannister (Deputy Chief Constable),
Mr P Dawkins (Assistant Chief Officer Finance and Resources), Mrs L Saunders (Force) Mr Paul
Hooseman (Force for item 46/17)

Auditors

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

36/17 Apologies

No apologies were given.

37/17 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.

38/17 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.

39/17 Minutes of the meeting held on 20 June 2017 and Rolling Action Sheet

The minutes of the meeting held on 20 June 2017, were discussed and were confirmed as a true and correct record, with the following amendments:

Mr Prince advised that he had raised a query regarding the scrutiny and oversight of the DPCC role and allocation of time.

Following the meeting, Mrs King advised members that Mr Prince's comment was within the minutes of the meeting at 25/17, however, the query was attributed to the Chair. Mrs King advised that the minutes would be amended accordingly.

The rolling action sheet was discussed as follows:

The Panel AGREED to close the following rolling actions:

09/16 (all), 17/16, 42/16, 46/16, 76/16 (second action), 80/16, 4/17, 5/17, 7/17, 8/17 (all), 16/17, 22/17, 23/17 (all), 25/17 (all), 28/17, 29/17 and 32/17 (all).

The following actions remain open:

40/16 – Action on going. Mrs King advised that Mr Eaton was leaving the organisation and Mr Dawkins advised that the tri-force IT work and collaboration was currently being reviewed by the Force. The PCC has asked the CC for an update following this work. Mr Bannister to update the Chair as this progresses. Action to remain open.

Mr Welch advised that he had postponed the ICT audit until Quarter 4 and that the Terms of Reference would now also link in with wider data (GDPR).

76/16 – Action on going. Mrs Saunders to provide figures on strategic risk as detailed within the 18/7/17 update on the rolling action sheet regarding improvements over the last 3 months for call taking and sickness.

12/17 – Action on going. Mr Bannister to update the Panel with dates for the Victim Code Compliance Group and details of who attends.

Mr Millett advised that to enable officers to attend and present their items (Information Assurance) and to facilitate the discussion on Internal Audit Recommendations and Tracking, he would take agenda items in a different order. For the purpose of the minutes, the reports remain in Agenda order.

40/17 Page Overview on Patching Update

The Panel received a report from the Deputy Chief Constable on the Patching Update. The report marked 'A' is filed with the minutes.

The Deputy Chief Constable (DCC) explained the origin behind the paper and advised the JARAP Members that the Force was not affected during recent national incidents. .

The Chair noted the Regional discussions and the link in with the London Digital Security System.

The Panel NOTED the contents of the report.

41/17 Internal Audit Recommendations and Tracking

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

The DCC explained that the report is good and rather than talking through the report, asked if the Members had questions.

Mr Bannister invited questions on the report:

Mr Prince queried whether there were still concerns regarding out of hours firearms safe as detailed on page 10, and if so, when they would be resolved.

- (a) **ACTION: Mr Bannister to update members on the Out of Hours Firearms safe Access as identified in Paper B (Internal Audit Recommendations and Tracking), page 10.**

Mr Prince queried whether the risk had been assessed on access to firearms and Mr Bannister confirmed this would have been done.

Mr Prince queried whether the Property Department Audit Procedure on page 11 had been completed. Mr Bannister confirmed it had been done and that this recommendation could now be closed. Mr Welch advised that this was his understanding from recent audit planning work in this area.

Mrs King queried whether the forthcoming Seized and Found Property Audit would look at previous recommendations and Mr Welch confirmed it would do so.

Mr Prince pointed out that on page B13, it was proposed to go live in March. Mr Bannister confirmed that it went live and that this recommendation can now be closed.

Mr Prince and Mr Dundas sought further information on Force priorities on page B22, recommendation 4.4. Mr Bannister discussed the Force Strategic Planning and priorities and how this is discussed and shared with the PCC. Mr Dundas requested details on who attended the Victim Compliance Action Group and Mr Bannister advised he felt it was mainly internal stakeholders but would clarify. This has been reflected in Action 12/17.

Mr Pulford requested that one further update be provided for recommendations 4.5 and 4.6 on pages B14 and B15 for the December meeting which would enable these recommendations to then be closed.

- (b) **ACTION: Mrs Saunders to provide one further update to the December meeting on Paper B, pages B14 and B15 recommendations 4.5 and 4.6 of the Seized and Found Property Safe Management Audit then these recommendations can be closed following that meeting.**

Mr Pulford requested that recommendations on page B5 (Change Programme, 4.1, aligning strategies) and B26 (Victims Code of Practice Recommendation 4.3 Information Security Resources) have one further update at the December meeting and can then be closed.

- (c) **ACTION: Mrs Saunders to provide one further update on recommendations on page B5 (Change Programme, 4.1, aligning strategies) and B26 (Victims Code of Practice Recommendation 4.3 Information Security Resources) and then can be closed at the December meeting.**

The Panel NOTED the contents of the report.

42/17 Risk Register

The Panel received a report from Mrs Saunders on the Risk Register which highlighted high priority, newly registered and risks of note. A copy of the report is marked 'C' is filed with the minutes.

Mrs Saunders highlighted that on page C, paragraph 3 of the report, the Board last met on 31st August and not 8th May.

Mrs Saunders briefed the Panel on Appendix A, Strategic Risks and the Chair took questions as follows:

STR473 – Page C4 – The Chair questioned when the recruitment would be finalised. Mrs Saunders confirmed that they will be in post by October and will confirm this information at the next meeting.

(a) ACTION: Mrs Saunders to confirm the recruitment information relating to STR473 to the next meeting.

OPCC1694 – Page C6 – Mr Dundas highlighted the lack of resource and capacity risk for the OPCC due to staff savings and queried that in the Statement of Accounts the narrative highlighted that there were no savings on the OPCC budget during the year. Mrs King advised that she was unable to answer the question in a public meeting but the reason for no savings were highlighted elsewhere within the Statement of Accounts. Additionally, the PCC produces an annual report on the OPCC structure and budget to the Police and Crime Panel, usually at the December meeting.

STR1844 – Page C4 – Mr Prince questioned the financial impact of the ESN on Leicestershire. Mrs Saunders stated that this had not yet been determined but would find out.

(b) ACTION: Mrs Saunders to find out the financial impact of the failure to transition to the ESN Risk (STR1844 page C4).

STR473 – Page C4 – Mr Prince sought information on the percentage of staff recruitment before January 2012 and before who had not been vetted. Mr Bannister agreed to look at this and advise members.

(c) ACTION: Mr Bannister to advise members of the percentage of staff appointed pre 2012 who had not been vetted.

STR1679 & STR1910 – Page C5 and page C7 – Mr Prince queried when Project Darwin will end and the risks to be mitigated. Mr Bannister advised that Project Darwin is just starting and is an evolution of Edison.

STR1991 – Page C8 – The Chair Queried whether assumed breaches had been built into the process and Mr Bannister advised he thought that was the case. Mrs Pallas queried whether ethical hacking had been carried out and Ms Saunders confirmed it has been discussed previously..

The Panel NOTED the contents of the report.

43/17 Internal Structures and Procedures in Place as Counter Fraud and Counter Corruption Measures

The Panel received a report from the Assistant Chief Officer (Finance and Resources) providing a summary of the Internal Structures and Procedures in Place for Counter Fraud and Counter Corruption Measures. A copy of the report marked 'D' is filed with the minutes.

Mr Dawkins outlined a few key areas in the report and explained the requirements in terms of National Standards, summarised local strategies, policies and procedures and the issues relating to seized and found property.

The Chair queried how often was the "Bad Apple" reporting facility used? Mr Bannister agreed to find this information.

(a) ACTION: Mr Bannister to provide information on the use of Bad Apple reporting mechanism.

Mr Prince queried in relation to individuals caught in this, were these people employed before 2012, had they been vetted in accordance with ACPO recommendations, if not and they had been it is likely the potential issue would be picked up? Mr Bannister advised this information was not readily available in that way.

Mr Dundas queried about involvement of the Force with community groups in regard to whistleblowing. Mr Bannister explained how the Force engages with some community groups regularly such as the Youth Commission and the Stop and Search Reference Group and Mr Dundas asked for more information in this regard. Mrs King mentioned that the Ethics Committee had recently received reports and presentations in respect of Stop and Search as part of their work plan and would provide this for members' attention.

(b) ACTION: Mrs King to provide members with the Ethics Committee report on Stop and Search.

The Panel NOTED the contents of the report.

44/17 Statement of Accounts OPCC and PCC

The Panel received a joint report from the Assistant Chief Officer (Finance and Resources) and the Chief Finance Officer on the Statement of Accounts for the OPCC and PCC. A copy of the report marked 'E' is filed with the minutes.

Mrs King thanked the Force Finance Team and the Auditors for their hard work in completing an earlier closedown on the accounts which were again to a high quality. Mrs King highlighted how a successful audit is not a given and the auditors and staff hard work could not be underestimated in achieving this. Mr Dawkins mentioned that across the Tri-Force, they trialled the CIPFA Big Red Button process. In Leicestershire this was discontinued due to technical issues with software and this was also the case in other forces in the region and hoped this could be resolved for 2017/18 closedown. Mr Clarke encouraged forces to try and persevere with it to help streamline and speed up closedown processes in the long term.

The Panel NOTED the contents of the report.

45/17 Report to those Charged with Governance (ISA260)

The Panel received a report from Mr Clarke outlining the Report to those Charged with Governance Report on Collaboration. A copy of the report marked 'F' is filed with the minutes.

Mr Clarke explained that the audit went well with one minor audit adjustment and there were no risks being an issue. Mr Clarke explained that although the audit went well, and only one audit adjustment was made, members can be reassured that the audit work had been thorough and robust and the result was a reflection of the good working papers and processes in place, to enable the earlier deadline to be met. Mr Clarke confirmed that this was not the case elsewhere in the country and was a good reflection on Leicestershire.

Mr Clarke outlined future key challenges in relation to how any tri force work is developing and Policing and Fire Integration.

The Chair stated that the report was clear, concise and well mapped out.

Mr Dawkins and Mrs King thanked Ernst and Young for their hard work and ensuring the audit was completed in a timely and thorough manner.

The Panel NOTED the contents of the report.

46/17 Update on Information Assurance

The Panel received a report from Mr Paul Hooseman providing an Update on Information Assurance. A copy of the report marked 'G' is filed with the minutes.

Mr Hooseman gave insight into the background of the Information Assurance work within the portfolio of the Professional Standards Department. The outcome of the review highlighted the need for resilience and resources and Mr Hooseman discussed the resources and staffing in more detail. Mr Hooseman advised of the GDPR implementation changes in May 2018, for which the legislation had only been released at 12.00 p.m. that day. Mr Hooseman advised that the Force will be holding a GDPR transition Board from between now and May 2018

The Chair thanked Mr Hooseman for the update which he felt was thorough.

Mr Pulford asked if post C would assist with responses to FOI requests within the 20 days response time, which Mr Hooseman had highlighted as an issue in meeting with current capacity. Mrs Pallas asked whether the Force had a procedure was in place to manage FOI's and subject access requests, particularly with the press.

Mr Hooseman explained the Corporate Communications would undertake the liaison with the press and both FOI's and subject matters have an internal review press and once the internal review process has been exhausted, the Information Commissioner's Office would be involved.

Mr Prince asked if an update on staffing and Information Assurance could be provided for the first JARAP meeting in 2018.

ACTION: Miss Pabari to ensure "An update on Staffing and Information Assurance" is tabled on the agenda for the first meeting in 2018.

The Panel NOTED the contents of the report.

47/17 Seized and Found Property

The Panel received a report from the Deputy Chief Constable updating progress on Seized and Found Property. A copy of the report marked 'H' is filed with the minutes.

Mr Bannister discussed progress and the timeline and detailed the proposed new build of an Evidential Property and Archive Centre further on page H5.

The Chair raised that a new build would incur significant funding requirements.

Mrs King assured members that all options and the Business Case had been considered in detail by the Change Board on a number of occasions over the last 18 months to ensure that due diligence had been undertaken in coming to this decision.

The Panel NOTED the contents of the report.

48/17 Recruitment Update

The Panel received a report from the Chief Finance Officer updating on Recruitment. A copy of the report marked 'H' is filed with the minutes.

Mrs King thanked Mr Millett for all of the work undertaken during his time as Chair of the JARAP and welcomed Mr Pulford in his role as chair from November. Mrs Janette Pallas

and Mr Ashif Bharat were welcomed as future panel members when usual recruitment checks had been completed.

Mrs King updated the Panel on the OPCC statutory officer recruitment.

The Panel NOTED the contents of the report.

49/17 Audit Committee Effectiveness

The Panel received a report from the Chief Finance Officer updating members responses highlighted in red and blue on the Draft Audit Committee Effectiveness Report and proposed way forward. A copy of the report marked 'J' is filed with the minutes.

Mrs King thanked the Panel for their comments on the Panel's Internal Audit Report. Mrs King asked if the Panel were The CFO stated that if the Panel were comfortable with way forward, she would edit the wording and recirculate to Mr Welch.

The Panel NOTED the contents of the report.

50/17 Internal Audit Progress Report

The Panel received a report from Internal Audit updating on Internal Audit Progress. A copy of the report marked 'K' is filed with the minutes.

Mr Welch discussed that two reports were currently in draft and would be finalised shortly. A draft Health and Safety report had been issued and Mr Welch advised that there are likely to be a number of recommendations on the Health and Safety Audit report for the Panel to consider in the next Internal Audit Progress update.

Mr Welch has reviewed the audit plan for the remainder of the year and as mentioned earlier in the meeting, the ICT strategy in Q3 is going to be moved into Q4 and the counter-fraud audit will take place across all tri-force areas.

Mr Welch reminded the Panel that the format for the collaboration audit was a similar format to last year to ensure consistency. Of the 5 collaboration audits, one has been finalised and there are dates for other three and the final audit was for Proceeds of Crime.

The Chair raised an issue where he had written to both the Chief Constable and the Police and Crime Commissioner regarding an increase level in crime in his local area and whilst he had received a response from the Chief Constable, he was disappointed that the Police and Crime Commissioner had not yet responded. Mrs King apologised that this had been the case and advised that the PCC still intended to respond.

The Chair thanked the Panel for their support over the last four years and was happy to pass the reins over to Luke Pulford as the new Chair.

51/17 Threat Level Increase

The Panel received a report from the Deputy Chief Constable on Threat Level Increase. A copy of the report marked 'L' is filed with the minutes.

The Panel NOTED the contents of the report.

Date of Next meeting

Thursday 21 December 2017 – 2:00pm, Main Conference Room.

Chair

2:00pm – 4:00pm

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
05/07/16	40/16	C	Meeting offline with Mr Dawkins regarding ICT audit	Chair/ Mr Eaton	September 2016	<p>09.12.16 - Mr Dawkins asked Mrs King if the offline meeting regarding the ICT audit had taken place. The Chair confirmed that the meeting had not taken place and requested that this action is kept open for further update.</p> <p>28.02.17 –This is a Force audit and the Tri-Force ACO IT is Phil Eaton for members to contact and discuss any issues where required.</p> <p>17.3.17 – JARAP Action to remain open</p> <p>20.06.17 – Phil Eaton and Barry Millett contact details to be exchanged</p> <p>17.8.17 – Mr Eaton is leaving the Tri-Force in September, and discussions are in train on Tri-force ICT work. Propose to keep this action open until a replacement has been appointed and arrange for the chair to meet with them.</p> <p>14.09.17 - Action on going. Mrs King advised that Mr Eaton was leaving the organisation and Mr Dawkins advised that the tri-force IT work and collaboration was currently being reviewed by the Force. The PCC has asked the CC for an update following this work. Mr Bannister to update the Chair as this progresses. Action to remain open.</p>

						Mr Welch advised that he had postponed the ICT audit until Quarter 4 and that the Terms of Reference would now also link in with wider data (GDPR).
09/12/16	76/16	C	STR1940 – Failure to meet 101 call handling target: The Chair asked what the average time was to answer a 101 call, if calls were not being answered within 30 seconds. Mrs Saunders said she would find out and provide a response.	Mrs Saunders	March 2017	<p>28.02.17 – Update provided by Jason Ross, Contact Management Chief Inspector (risk owner):- It is difficult to identify an average time as it can change depending on the time/day, general volume of calls and staffing numbers. Whilst there is no national target, there is a force set target of answering calls within 30 seconds. However, this is being reviewed as this was set some time ago and since then the process in recording information over the phone during initial calls has increased, increasing the average length of incoming calls. Therefore the target is being reviewed.</p> <p>17.3.17 – Discussed at JARAP – action to remain open. Member invited to attend PDG to gain assurance on how this area of performance is being monitored.</p> <p>22.05.17 – The risk owner has provided the CMD 17/18 delivery plan which includes the following:- There is a historic target in relation to 101 performance to answer 85% in 30 seconds, YTD performance stands at 61%. The primary objective in order to improve performance as outlined in previous sections is to embed the new shift pattern to better align demand and resources combined with the correct establishment supported by over-recruitment to manage attrition.</p> <p>18.08.17 – The risk owner updates as follows: - Over the last 3 months we have</p>

						<p>seen a month on month improvement in relation to call taking, both 101 and 999. This has been backed up by BT who say they have seen a significant improvement in our 9's performance also. In terms of recruitment and HR sickness is down and numbers of staff are up. We have agreed a recruitment process with HR and EMCHRS for 4 intakes a year for 2018.</p> <p>14.09.17 - Action on going. Mrs Saunders to provide figures on strategic risk as detailed within the 18/7/17 update on the rolling action sheet regarding improvements over the last 3 months for call taking and sickness.</p> <p>15.11.17 – The figures for answering 101 call within 30 seconds are as follows: - May 2017 – 43.7% August 2017 – 72.1% November 2017 – 82.8%</p> <p>The abandonment rate for 101 calls are: - May 2017 – 20.5% August 2017 – 6.9% November 2017 – 3.9%</p> <p>The sickness rate has decreased from 14.7 days lost on average over the year to 13.4 days (as at September 2017).</p>
17/3/17	12/17	Verbal	Mr Bannister to consider whether Victim Code Compliance Group should be added to the list of meetings and if so to do so and recirculate the list on meetings to members.	Mr Bannister	June 2017	<p>31.5.17 – This meeting is one of many that take place in the force. Members will be apprised of any relevant issues arising.</p> <p>20.06.17 – Force to provide Victim Code Compliance date to JARAP Members.</p> <p>18.08.17 – Dates to be provided for the September meeting.</p> <p>14.09.17 - Action on going. Mr Bannister to update the Panel with dates for the Victim Code Compliance Group and details of who</p>

						attends. 15.11.17 - The Victim Code Compliance Group no longer exists. It has been absorbed into the Confidence and Satisfaction Group. This is a practitioner group rather than a strategic meeting. PROPOSE CLOSE
14/09/17	41/17 (a)	B	Mr Bannister to update members on the Out of Hours Firearms safe Access as identified in Paper B (Internal Audit Recommendations and Tracking), page 10.	Mr Bannister	December 2017	15.11.17 – An update has been provided within the Audit Recommendation Tracking paper prepared for the December JARAP meeting. PROPOSE CLOSE
14/09/17	41/17 (b)	B	Mrs Saunders to provide one further update to the December meeting on Paper B, pages B14 and B15 recommendations 4.5 and 4.6 of the Seized and Found Property Safe Management Audit then these recommendations can be closed following that meeting.	Ms Saunders	December 2017	15.11.17 – An update has been provided within the Audit Recommendation Tracking paper prepared for the December JARAP meeting. PROPOSE CLOSE
14/09/17	41/17 (c)	B	Mrs Saunders to provide one further update on recommendations on page B5 (Change Programme, 4.1, aligning strategies) and B26 (Victims Code of Practice Recommendation 4.3 Information Security Resources) and then can be closed at the December meeting.	Ms Saunders	December 2017	15.11.17 – An update has been provided within the Audit Recommendation Tracking paper prepared for the December JARAP meeting. PROPOSE CLOSE
14/09/17	42/17 (a)	C	Mrs Saunders to bring the recruitment information relating to STR473 to the next meeting.	Ms Saunders	December 2017	15.11.17 – We have now recruited 3 Vetting Researchers and a Senior Vetting Manager is in place, which completes our recruitment process with no further plans to recruit at this time. PROPOSE CLOSE
14/09/17	42/17 (b)	C	Mrs Saunders to find out the financial impact of the failure to transition to the	Ms Saunders	December 2017	15.11.17 – We have been notified that the penalty for not transitioning within the

			ESN Risk (STR1844 page C4).			specified window will be £3.64m for the region per month. There is no detail about how this amount would be divided between the 5 forces. PROPOSE CLOSE
14/09/17	42/17 (c)	C	Mr Bannister to advise members of the percentage of staff appointed pre 2012 who had not been vetted.	Ms Saunders	December 2017	15.11.17 – The original estimate of staff not vetted was 60%. When the project commenced in July 2017 with a list of people produced it was actually 46%. Since that time due to vetting checks completed the figure now stands at 37%. Updates will continue to be provided within the risk report. PROPOSE CLOSE
14/09/17	43/17 (a)	D	Mr Bannister to provide information on the use of Bad Apple reporting mechanism.	Mr Bannister	December 2017	14.09.17 – Mrs King emailed this information included in the Ethics Report to members on the 14.09.17 ACTION CLOSED
14/09/17	43/17 (b)	D	Mrs King to provide members with the Ethics Committee report on Stop and Search.	Mrs King	December 2017	14.09.17 – Mrs King emailed this information included in the Ethics Report to members on the 14.09.17 ACTION CLOSED
14/09/17	46/17	G	Miss Pabari to ensure “An update on Staffing and Information Assurance” is tabled on the agenda for the first meeting in 2018.	Miss Pabari	First meeting in 2018	