

**Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP) held
at Police Headquarters, Enderby at 10:00am on
Wednesday 21 February 2018**

Present

Mr Leon Dundas (Chairman for the meeting), Mr Ian Prince, Mr Ashif Bhayat, Ms Janette Pallas

Also in attendance

Office of The Police and Crime Commissioner (OPCC)

Mr Martin Henry (Chief Finance Officer)

Office of The Chief Constable (OCC)

Mr Rob Nixon (Deputy Chief Constable),

Mr Paul Dawkins (Assistant Chief Officer Finance and Resources), Mrs Laura Saunders (Force)

Auditors

Mr Neil Harris (Ernst and Young), Ms Helen Henshaw (Ernst and Young), Mr Brian Welch (Mazars)

01/18 Apologies

Mr Luke Pulford

02/18 Urgent Business

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

No such declarations were made.

03/18 Declarations of Interest

The chairman 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.

04/18 Minutes of the meeting held on 21 December 2017 and Rolling Action Sheet

The minutes of the meeting held on 21 December 2017, were discussed and were confirmed as a true and correct record.

The rolling action sheet was discussed.

The Panel AGREED to close the following rolling actions:

46/17, 55/17, 56/17, 57/17, 58/17

The following actions remain open:

40/16 – Action ongoing. The ICT audit has been postponed until Quarter 4 and that the terms of reference will also link in with wider data (GDPR)

57/17 – Action on going. Details on the last victim survey still need to be provided.

76/16 – Action ongoing. Mrs Saunders updated the 101 call handling figures; that in December 2017 84.5% of calls were answered within 30 seconds and in January 2018, 83.2% were answered. The call abandonment rate had increased between December 2017 and January 2018 from 3.2% to 3.9%.

05/18 Internal Audit Progress Report

The Panel received a report from the Internal Audit on the Internal Audit Progress Report. The report marked 'A' is filed with the minutes.

Mr Welch introduced the Internal Audit Progress Report and confirmed that the Seized and Found Property audit had been completed. Mr Welch agreed to provide the final version at the panel meeting in June 2018.

(a) ACTION: Mr Welch to bring the final version of the Seized and Found report to JARAP in June 2018.

Mr Welch explained that Internal Audit were looking at the force procedures on the Counter Fraud audit. The finalised report will be presented at the JARAP in June 2018.

(b) ACTION: Mr Welch to bring the final version of the Counter Fraud report to JARAP in June 2018.

Mr Welch made reference to the East Midlands Police Regional Audit Committee Meeting which was due to take place on Tuesday 6 March.

A discussion took place between the panel members in relation to the audit reports.

Mr Welch confirmed that the Payroll Provider audit and the IT Strategy audit would take place in March.

Ms Pallas requested an update on the Payroll Project at the next JARAP meeting in June 2018.

(c) ACTION: Mr Welch to provide an update on the Payroll Project in June 2018.

Ms Pallas questioned the recent press around the East Midlands Criminal Justice Service. In response, Mr Nixon confirmed that a Gold Group had been established for current cases and provided statistics around current cases and discontinued cases.

The Panel DISCUSSED the contents of the report.

06/18 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.

Mr Nixon outlined the Internal Audit Recommendations and Tracking report and clarified that the Seized and Found property (3.14/15) in Appendix A, linked to bigger issues around property management.

Ms Pallas suggested that it would be useful to have cases with current updates rather than future updates.

Mr Nixon informed the Panel that the building work was ongoing and had an estimated completion date of 2019/2020.

Mr Prince raised a question in relation to the Insurance for Transportation of Cash (Page B14) and whether the cash had been transported and insured appropriately to which Mr Dawkins confirmed it had been.

Mr Prince recommended that the Safe Specification Insurance (B16) February 2018 update was the same as November 2017 update therefore, could be closed.

(a) ACTION: Mr Nixon and Mr Dawkins to provide a holistic overview on the actions taken to date and summarise them.

The Panel members asked questions around the validity of the cases and Mr Nixon answered to their satisfaction.

Ms Pallas asked whether the Force and the Office of the Police and Crime Commissioner (OPCC) have a Data Protection Officer, to which Mr Henry confirmed that discussions on the matter were taking place with the Force.

Mr Nixon explained the progress of the Victims Code of Practice (VCOP) and Mr Dundas asked to have sight of those on VCOP.

(b) ACTION: Mr Nixon to bring the information on VCOP to JARAP in June 2018.

A discussion took place around Health and Safety (B32) and the Panel challenged that if Health and Safety is the responsibility of certain staff, it should be identified in their job description.

(c) ACTION: Mr Nixon to look at Health and Safety.

(d) ACTION: Mr Nixon to review all associated risks relating to property, victims, IT and Health and Safety to be able to provide a holistic view on these particular themes which are referred to in several of the internal audit recommendations.

The Panel agreed that the following audit recommendations could be closed:

- Safe Specification Insurance 4.6 (B16)
- Security and Vetting Team: Internal Appeals 4.6(B20)
- Service Desk Call Handling (B24)
- User management 4.2 (B26)
- Mitigating actions and risk reviews 4.5 (B27)
- Governance Structure 4.1 (B31)
- Health and Safety projects 4.3 (B33)
- Departmental Improvement Plans 4.5 (B34)
- New and Amended Supplier Anti-Fraud Checks 4.1 (B38)
- Authorisation of payments 4.2 (B38)
- Credit Note Supporting Documentation 4.3 (B39)
- Stock Condition Survey Schedule 4.1 (B39)
- Kier BACS 4.1 (B40)
- Expenses 4.3 (B41)
- Expenses 4.4 (B41)

(e) ACTION: Mr Nixon to provide the Panel with the Stock Condition Survey from 2015.

The Panel NOTED the contents of the report.

07/18 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 provided a brief outline of the Risk Register and explained that the risk status. She mentioned that the Strategic Organisational Risk Board (SORB) had met on 6 November and were meeting again on 21 February.

STR380 – Mrs Saunders explained that the risk had increased to high from low. The Panel NOTED the contents of the report.

08/18 Fraud & Corruption

The Panel received a report from the Deputy Chief Constable on Fraud and Corruption. A copy of the report marked 'E' is filed with the minutes.

Mr Dawkins presented the report and identified the current threat. He mentioned that the Ethics, Integrity and Complaints Committee had shown an interest in this subject. Mr Dawkins confirmed that Mr Nixon would be in charge of Professional Standards and strategic objectives.

Mr Nixon provided details of the previous HMIC inspection. There had been an investment in senior expertise being brought into fraud. HMIC will carry out an anti-fraud inspection.

Mr Nixon stated that the statutory roles in the Force and OPCC are the Chief Executive Officer, the Chief Finance Officer and the Finance Director.

Mr Dundas queried the numbers around whistleblowing and the 'Bad Apple' initiative. Mr Nixon could not provide details however, had met with Martyn Ball, Head of Professional Standards and had been briefed on, on-going anti-corruption cases and the 'Bad Apple' numbers. Mr Nixon confirmed that a monthly meeting takes place with Professional Standards to discuss the volume of complaints, severity and case load.

The Panel DISCUSSED the contents of the report.

09/18 Internal Audit Plan 2018/19 (Mazars)

The Panel received a report from Internal Audit in relation to the Internal Audit Plan 2018/19. A copy of the report marked 'F' is filed with the minutes

Mr Welch introduced the Internal Audit Plan.

Mr Dawkins advised the Panel that the statutory ownership of the plan sat with Mr Henry and himself.

Mr Prince queried page 6 in relation to the auditable area and suggested that Health and Safety should be moved to Q2 and Archive Management should be moved to Q4.

The Panel NOTED the contents of the report.

10/18 JARAP Aims and Objectives for 2018/19

In the absence of Mr Luke Pulford the panel decide to defer this item until their next meeting in June 2018.

11/18 Force Meetings 2018

The Panel received a report from the Deputy Chief Constable on the Force Meetings 2018. A copy of the report marked 'I' is filed with the minutes.

Mr Nixon suggested that the Force Meetings report would be updated and circulate.

- (a) ACTION: Mr Nixon to update the Force Meetings report and circulate.**
- (b) ACTION: Ms Pabari to re-arrange JARAP in September and to bring it forward to accommodate the bringing forward of the statutory deadlines for the production of the statement of accounts which now have to be approved by the end of July 2018.**

The Panel NOTED the contents of the report.

12/18 Information Assurance & GDPR Update

The Panel received a report from the Information Manager on Information Assurance & GDPR. A copy of the report marked 'J' is filed with the minutes.

The Panel NOTED the contents of the report.

13/18 Any other business

Mrs Saunders stated that she would be in touch with the Panel and attendees in relation to the JARAP Induction day which is due to take place on Thursday 5 April.

Date of Next meeting

Wednesday 20 June 2018

10:00am

Main Conference Room.

Chair

10:00am - 12.10pm

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% The abandonment rate for 101 calls are: - May 2017 – 20.5% August 2017 – 6.9% November 2017 – 3.9% The sickness rate has decreased from 14.7 days lost on average over the year to 13.4 days (as at September 2017).</p> <p>30.01.18 – The figures for answering 101 call within 30 seconds are as follows: - December 2017 – 84.5% January 2018 – 83.2% The abandonment rate for 101 calls are: - December 2017 – 3.2% January 2018 – 3.9%</p> <p>12.06.18 – Propose close</p>
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21/12/17	57/17	B	Mr Bannister to provide an update on the last victim survey.	Mr Bannister		30.01.18 – Details of the victim survey will be provided at the February meeting.
21/02/18	05/18	A	Mr Welch to bring the final version of the Seized and Found report to JARAP in June 2018	Mr Welch		12.06.18 – The summary of the final report is included in the Progress Report contained on this agenda (20.06.18)
21/02/18	05/18	A	Mr Welch to bring the final version of the Counter Fraud report to JARAP in June 2018	Mr Welch		12.06.18 – The summary of the final report is included in the Progress Report contained on this agenda (20.06.18)
21/02/18	05/18	A	Mr Welch to provide an update on the Payroll Project in June 2018	Mr Welch		12.06.18 – Paul Dawkins will provide a verbal update at the next meeting.
21/02/18	06/18	B	Mr Nixon and Mr Dawkins to provide a holistic overview on the actions taken and extract from that timeline of key critical gateways, policies and procedures.	Mr Nixon/Mr Dawkins		12.06.18 – Discussions have taken place to improve the information contained within the Internal Audit Recommendations Report and these are still being developed.
21/02/18	06/18	B	Mr Nixon to bring the information on VCOP to JARAP in June 2018	Mr Nixon		12.06.18 – This will be covered within the future papers that Roy Mollett prepares as part of the changes being made, as agreed between him, JARAP chair OPCC and DCC
21/02/18	06/18	B	Mr Nixon to look at health and Safety	Mr Nixon		12.06.18 – This will be covered within the future papers that Roy Mollett prepares as part of the changes being made, as agreed between him, JARAP chair OPCC and DCC
21/02/18	06/18	B	Mr Nixon to review all associated risks relating to property, victim, IT and Health and Safety to gain assurance.	Mr Nixon		12.06.18 – This will be covered within the future papers that Roy Mollett prepares as part of the changes being made, as agreed between him, JARAP chair OPCC and DCC
21/02/18	06/18	B	Mr Nixon to provide the Panel with the Stock Condition Survey from 2015.	Mr Nixon		12.06.18 – This will be covered within the future papers that Roy Mollett prepares as

						part of the changes being made, as agreed between him, JARAP chair OPCC and DCC
21/02/18	11/18	H	Mr Nixon to update the Force Meetings report and circulate	Mr Nixon		12.06.18 – Ms Pabari is communicating with Mr Prince in relation to the Force meetings and will circulate once this is complete.
21/02/18	11/18	H	Ms Pabari to re-arrange JARAP in September and to bring it forward.	Ms Pabari		12.06.18 – Additional JARAP meeting arranged on 24.07.18. Action closed.