

**Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP) held
at Police Headquarters, Enderby at 2:00pm on
Friday 21 December 2017**

Present

Mr L Pulford (Chair), Mr L Dundas, Mr I Prince, Mr A Bhayat, Ms J Pallas

Also in attendance

Observer

Mr John Beckerieg

Office of The Police and Crime Commissioner (OPCC)

Mr P Hindson (Chief Executive)

Office of The Chief Constable (OCC)

Mr R Bannister (Deputy Chief Constable), Mr R Nixon (Assistant Chief Constable)
Mr P Dawkins (Assistant Chief Officer Finance and Resources), Mrs L Saunders (Force)

Auditors

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

52/17 Apologies

No apologies were given.

53/17 Urgent Business

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

Mr Bannister provided the following updates: -

Darwin – the new operating model has now gone well and is working well.
The HMIC Legitimacy Inspection report has been published, there are 3 ratings,
Leicestershire Police have done well in all 3.
The HMIC Effectiveness Inspection is expected soon.
Some surveillance based reports had positive outcomes, these will be reported through to SAB.

54/17 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.

55/17 Minutes of the meeting held on 14 September 2017 and Rolling Action Sheet

The minutes of the meeting held on 14 September 2017, were discussed and were confirmed as a true and correct record, with no amendments.

- a) **ACTION: The Chair requested that future packs of paper are printed in a book style layout for ease of reading.**

The rolling action sheet was discussed.

The Panel AGREED to close the following rolling actions:

12/17, 41/17 (all), 42/17 (all), 43/17 (all).

The following actions remain open:

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

76/16 – Action ongoing. Mrs Saunders updated 101 call handling figures; that in November 2017 82.8% of call were answered within 30 seconds, compared to 43.7% in May 2017 and call abandonment reduced from 20.5% in May 2017 to 3.9% in November 2017.

46/17 – Action remains open. Miss Pabari to ensure an update on staffing and information assurance is tabled on the agenda for the first meeting in 2018.

56/17 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.

The Panel DISCUSSED the contents of the report.

Mr Welch updated that since the last meeting 6 Leicestershire Police specific and 3 collaborative reports have been finalised. He advised that the Audit Effectiveness report has now been finalised and that the Payroll report will be updated at the next meeting as the report was finalised after the deadline for papers for this meeting.

One of the finalised reports was outlined was in relation to Health & Safety, which received limited assurance with a fundamental recommendation. Mr Bannister advised that the new Health & Safety Procedure has been signed off, the accident investigation backlog has been cleared and a schedule has been put in place to increase training.

Ms Pallas asked whether there was a measure of success to demonstrate a return on investment in training.

- (a) **ACTION: Mr Bannister to update any measures of success of Health & Safety training i.e. decreased accidents.**

Mr Welch advised that the audit effectiveness audit is complete. Mr Pulford requested that the plan be shared with him so he could share it with the panel members.

- (b) **ACTION: Mr Welch to share the audit effectiveness plan with Mr Pulford.**

Mr Welch advised that in Quarter 4 a further Seized and Found Property audit is due. The IT Strategy audit was due, however, as the TFC is no longer going ahead this will be revisited in 2018/19 when the force has had the opportunity to develop a local strategy.

57/17 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.

Mr Bannister ran through the report and invited questions from the panel.

Mr Pulford noted that the update for Found and Seized Property (3.14/15) page B3 stated that the procedure was due to be launched in early December. DCC Bannister stated that this had been launched. Mr Pulford requested that the panel receive a further update to confirm this to ensure that the recommendation could be updated and closed

- (a) ACTION: Mr Bannister to ensure a further update is included within the report for the next meeting.**

Mr Dawkins advised that the recommendation relating to the Change Programme, page B5, related to the Strategic Alliance. The update provided relates to LNHRP, as this is an element of collaboration that did progress. The Chair agreed that this recommendation could be closed.

Mr Bannister advised that the Information Asset Owner recommendation on B8 remains open and that the Information Manager is due to attend the February meeting when a further update will be provided.

Mr Bannister updated the panel in relation to the most recent Found and Seized Property audit. He advised that there is electronically controlled access to the firearms safe allowing access to be restricted and audited. Mr Pulford requested the recommendation remains open until it is confirmed that safes have been installed within the temporary stores due to be completed in January 2018.

- (b) ACTION: Mr Bannister to advise whether safes have been installed within temporary safes.**

Mr Pulford noted that the Safes Audit Regime recommendation on page B12 stated that the audit procedure was in final draft and due to go live and requested confirmation at the next meeting if this has been launched.

- (c) ACTION: Mr Bannister to advise whether the audit procedure has been launched.**

Mr Pulford noted that similarly with the other Seized and Found Property audit recommendations further updates were required.

- (d) ACTION: Mr Bannister to confirm if the overall force property procedure referred to on page B14 has been completed.**

- (e) ACTION: Mr Bannister to confirm if the new process for transportation of cash referred to page B15 has gone live.**

- (f) ACTION: Mr Bannister to ensure a further update is provided in relation to the Courier Collection recommendation of page B16.**

- (g) ACTION: Mr Bannister to ensure a further update is provided in relation to the Safe Specifications audit recommendation of page B17**

Mr Pulford noted that the target date for the Vetting recommendation on B20 had been passed.

- (h) **ACTION: Mr Bannister to ensure a new target date is updated for Vetting recommendation.**

Mr Pulford asked for further information in relation to the VCOP recommendation on page B23 in relation to how many tasks get passed to the Confidence and Satisfaction Group to show it is working. Mr Bannister agreed this could be included in the next update.

Mr Dundas asked for a copy of the minutes from the Confidence and Satisfaction Group and also an update on the last victim survey.

- (i) **ACTION: Mr Bannister to provide a copy of the Confidence and Satisfaction Group minutes.**
- (j) **ACTION: Mr Bannister to provide an update on the last victim survey.**

Mr Pulford noted that the update provided for Risk Management recommendation (page B31) states that checks are being completed to ensure compliance however it is unclear whether compliance is being achieved.

- (k) **ACTION: Mr Bannister to ensure an update is included on Risk Management recommendation 4.5. about whether compliance has been achieved.**

The panel agreed that the following audit recommendations could be closed: - Core Financials 4.1 (page B21), Information Security Resources 4.3 (page B27), PSN Accreditation 4.4 (page B28), Business Continuity 4.1 (page B29), Risk Management 4.1 (page B29), 4.2 and 4.3 (page B30), 4.4 (page B31), SORB risk reports (page B32), JARAP Annual report (page B34), Disclosable Interests (page B35), Risk Management Policy (page B37)

The Panel NOTED the contents of the report.

58/17 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 briefed the panel on Appendix A, strategic risks as follows: -

STR1844 – C3 – Mrs Saunders stated that she had spoken with the ESN Project Manager and there was no further update, however, further clarity is expected when the transition plan is released which is expected in the new year.

STR380 – C4 – Mrs Saunders explained that this risk had increased to high from low due to the Hay Scheme project reaching a milestone with the decision of the force/PCC to proceed with the scheme implementation. Mr Prince was interested to know the journey of this risk and how the ratings may have changed since it was created in 2010.

- (a) **ACTION: Mrs Saunders to provide an overview of STR380 and the change in ratings since it was created.**

STR1935 – C8 – Mr Pulford stated that he did now think that the update did justice to the volume of work that has been done to bring the status of this risk down from high to medium. The panel requested to be informed if planning permission for the new audit and property store was granted and a copy of the design and plan for implementation.

- (b) **ACTION: Mr Bannister to notify the panel of whether planning permission is granted for the new audit and property store.**
- (c) **ACTION: Mr Bannister to share the design of the audit and property store and the implementation plan.**

OPCC1690 – Mr Dundas stated that an existing control to this risk should be propriety of staff as if the public have confidence in the police and they were more likely to engage with the police. He asked whether all equality strands had been looked at and whether an Equality Impact Assessment had been completed.

- (d) **ACTION: Mrs Saunders to check whether an Equality Impact Assessment was completed and all strands of equality considered as part of the OPCC consultation and engagement work.**

Mr Pulford requested that in future reports the date of archive is added to the risks presented as closed by SORB for completeness.

- (e) **ACTION: Mrs Saunders to ensure the archive date is added to risks that are presented as closed by SORB.**

The Panel NOTED the contents of the report.

58/17 External Annual Audit Letter 2016/17

The Panel received a letter from External Audit on the External Annual Audit 2016/17. A copy of the report marked 'D' is filed with the minutes.

Mr Sohal provided an update to the panel that due to a change in portfolios Neil Harris would be undertaking the audits in future in place of Steve Clark.

Mr Sohal referred to the annual audit letter and stated that it was a clean sudot with value for money and statement with no issues to report and that the force are in a good place to develop statements moving forwards.

The Panel NOTED the contents of the report.

59/17 JARAP Annual Plan 2018

The Panel received a report from the Assistant Chief Officer on the JARAP Annual Plan 2018. A copy of the report marked 'E' is filed with the minutes.

Mr Dawkins presented an overview of the JARAP annual plan. It was noted by Mr Dawkins and Mr Sohal that the draft statements of accounts scheduled for inclusion at the June 2018 meeting may have to move depending on timings.

The Panel DISCUSSED the contents of the report.

60/17 Audit Committee Development Day

The Panel received a verbal update from Mr Pulford in relation to the Audit Committee Development Day.

Mr Pulford advised that a number of topics had been covered including: -Strategic issues in policing, audit/governance issues in police/OPCC, building good relationships as critical friends, force management statements, governance of collaboration with the fire service and the crime element of the PCC.

Mr Pulford stated it was useful to share experiences with other panels.

Mr Bannister stated he felt it was important for the panel to be notified of strategic issues that were on the horizon.

The Panel NOTED the contents of the verbal update.

61/17 PSAA Appointments

The Panel received a report from the Assistant Chief Officer informing them of the PSAA Appointments. A copy of the report marked 'F' is filed with the minutes.

Mr Dawkins provided a verbal overview and asked the panel if they support the principle of joining the PSAA. The panel considered this and stated collectively that as a panel they do support this and this was ratified by the panel.

Mr Dawkins stated that EY would continue from 2018/19 for a further 5 years with Leicestershire Police and that as used by other East Midland forces this was helpful when considering collaborative units.

The Panel SUPPORTED the contents of the report.

Misc.

The Chair acknowledged that this was Mr Bannister's final meeting and thanked him for the support to the panel and the meetings and welcomed Mr Nixon to continue to represent the force when he takes up the role as Deputy Chief Constable in the year new.

Date of Next meeting

Wednesday 21 February 2018 – 10:00am, 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% 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>
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	Miss Pabari	First meeting in 2018	

			meeting in 2018.			
21/12/17	56/17	A	Mr Bannister to update any measures of success of Health & Safety training i.e. decreased accidents.	Mr Bannister		30.01.18 – Discussed with Head of Health and Safety – We cannot directly link a reduction in accidents to training in a causal manner. We might be able to track some behaviours of manager’s pre and post training but this would be quite patchy. We have some legal minimums that we need to meet which is one of the main drivers for providing this training. A lot of our accidents are associated with assaults and conflict resolution and, while we do our best to manage them they are sometimes unavoidable when trying to make arrests. An improvement in culture brought about by training may also increase accident reporting ad people engage more. The police service has a general problem with under reporting especially regarding assaults so an increase is foreseeable.
21/12/17	56/17	A	Mr Welch to share the audit effectiveness plan with Mr Pulford.	Mr Welch		
21/12/17	57/17	B	Mr Bannister to ensure a further update is included within the report for the next meeting.	Mr Bannister		30.01.18 – This will be updated within the audit recommendations tracking paper.
21/12/17	57/17	B	Mr Bannister to advise whether safes have been installed within temporary safes.	Mr Bannister		30.01.18 – This will be updated within the audit recommendations tracking paper.
21/12/17	57/17	B	Mr Bannister to advise whether the audit procedure has been launched.	Mr Bannister		30.01.18 – This will be updated within the audit recommendations tracking paper.
21/12/17	57/17	B	Mr Bannister to confirm if the overall force property procedure referred to on page B14 has been completed.	Mr Bannister		30.01.18 – This will be updated within the audit recommendations tracking paper.

21/12/17	57/17	B	Mr Bannister to confirm if the new process for transportation of cash referred to page B15 has gone live.	Mr Bannister		30.01.18 – This will be updated within the audit recommendations tracking paper.
21/12/17	57/17	B	Mr Bannister to ensure a further update is provided in relation to the Safe Specifications audit recommendation of page B17	Mr Bannister		30.01.18 – This will be updated within the audit recommendations tracking paper.
21/12/17	57/17	B	Mr Bannister to ensure a new target date is updated for Vetting recommendation.	Mr Bannister		30.01.18 – This will be updated within the audit recommendations tracking paper.
21/12/17	57/17	B	Mr Bannister to provide a copy of the Confidence and Satisfaction Group minutes.	Mr Bannister		30.01.18 – A copy of the minutes for the Crime and Op Effectiveness meeting will be provided at the February meeting.
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.
21/12/17	57/17	B	Mr Bannister to ensure an update is included on Risk Management recommendation 4.5. about whether compliance has been achieved.	Mr Bannister		30.01.18 – This will be updated within the audit recommendations tracking paper.
21/12/17	58/17	C	Mrs Saunders to provide an overview of STR380 and the change in ratings since it was created.	Mrs Saunders		30.01.18 – This risk was created in January 2010 with a rating of low. In March 2010 it rose to medium with the rationale - collaboration work had exposed the vulnerability of the Job Evaluation Scheme to the region. Later in March 2010 it reduced to low as appropriate communications had been shared regionally to minimise the risk of equal pay claims. It remained as low until September 2017 when it increased to high. This was due to the outcome of the Hay

						Review nearing conclusion and the results representing a significant financial challenge to the force with uncertainty about how the outcomes would be received.
21/12/17	58/17	C	Mr Bannister to notify the panel of whether planning permission is granted for the new audit and property store.	Mr Bannister		30.01.18 – Planning permission has been granted for the new property and archive store.
21/12/17	58/17	C	Mr Bannister to share the design of the audit and property store and the implementation plan	Mr Bannister		30.01.18 – Copy of design and implementation plan will be provided at the February meeting.
21/12/17	58/17	C	Mrs Saunders to check whether an Equality Impact Assessment was completed and all strands of equality considered as part of the OPCC consultation and engagement work.	Mrs Saunders		30.01.18 – Update provided by the OPCC - We have one for the Victims project, and going forward this now appears in the Exec Managers and Engagement Officers Role so going forward we will have a better system in place for engagement activity.
21/12/17	58/17	C	Mrs Saunders to ensure the archive date is added to risks that are presented as closed by SORB.	Mrs Saunders		30.01.18 – This will be included as standard in the risk paper from the February meeting.