

**Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP) held
at Police Headquarters, Enderby at 10:00am on
Wednesday 24 July 2019**

Present

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

Also in attendance

Office of the Police and Crime Commissioner (OPCC)

Mr M Henry (Chief Finance Officer)
Ms C Purshottam (Business Staff Officer)

Office of the Chief Constable (OCC)

Mr R Nixon (Deputy Chief Constable), Mr R Mollett (Policy and Strategy Officer), Mrs K Jebson-Hambly (Risk and Business Continuity Advisor), M King (Staff Officer)

Auditors

Mr N Harris (Ernst and Young)
Mr B Welch (Mazars)

20/19 Apologies

Apologies were noted for Mr P Dawkins (Assistant Chief Officer Finance and Resources), Ms J Kriek (Ernst and Young) and Mr A Bhayat.

Mr Nixon introduced Mark King who has replaced Emma Matts.

21/19 Urgent Business

The Chairman invited members who wished to do so to raise any items of urgent business.

No items of urgent business were raised.

22/19 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.

23/19 Minutes of the meeting held on 25 April 2019 and Rolling Action Sheet

The minutes of the meeting held on 25 April 2019, were discussed and confirmed as a true and correct record.

The rolling action sheet was discussed.

Mr Nixon highlighted bringing Fraud back as a presentation into the next JARAP meeting on the 23rd October.

ACTION: Ms Purshottam to include Fraud update on the work programme for the 23rd October.

Members agreed on accepting and closing the following actions stated as 'proposed close':

- 20/18d
- 20/18d(i)
- 57/18
- 06/19

24/19 Internal Audit Progress Report

The panel received a report from Mr Welch (MAZARS) on the Internal Audit Progress Report. The report marked 'B' is filed with the minutes.

Mr Welch highlighted three 18/19 reports being Leicestershire specific which were not viewed in the last meeting:

- Payroll Provider
- Property Management; and
- Archive Management.

Mr Welch confirmed that all of the above have received a satisfactory assurance opinion.

Mr Nixon that it would be beneficial for panel members to be given a tour of the new EPAC building and panel members agreed with the suggestion.

ACTION: Ms Purshottam to organise a tour of the EPAC building prior to a future JARAP meeting.

Mr Welch highlighted that there was one outstanding Collaboration Audit for 2018/19 in relation to Projected Underspends. Mr Welch highlighted that the report had been issued in draft format in March 2019 but it had not been finalised yet.

The panel members were concerned about this and requested that Mr Henry feed this back to the lead CFO.

The panel requested that the report should be finalised prior to their next meeting.

ACTION: Mr Henry to make the lead CFO for the Projected Underspends report aware of the view of the panel.

Mr Prince highlighted that the report was very positive in respect of the 2018/19 Internal Audits that had taken place, in that all Audits had received 'significant' or 'satisfactory' assurances. He requested that previous years' audits be analysed to demonstrate what the direction of travel has been.

Mr Welch confirmed that it was very positive and he would be able to look at previous annual reports to demonstrate the direction of travel.

ACTION: Mr Welch to summarise the direction of travel on audits that have taken place over the last four years using the Internal Audit Annual Report.

Mr Dundas highlighted an issue in relation to 'heat mapping' information in the Workforce Planning and Recruitment Audits that are scheduled to take place in August 2019. Mr Nixon highlighted that this issue was being looked at in the Race, Religion and Belief Forum that takes place.

Ms Pallas asked if the Force were facing difficulties in recruiting officers. Mr Nixon responded that there was always a high volume of applications but after sifting to ensure the applicants have the right skills, attitude and expertise this number reduced significantly.

25/19 Internal Audit Recommendations & Tracking

The panel received the Internal Audit Recommendations and Tracking report from the Chief Constable. A copy of the report marked 'C' is filed with the minutes.

The report was introduced by Deputy Chief Constable, Mr Rob Nixon. The panel considered the detailed recommendations contained in Appendix A within the report and highlighted the following points:

- **Victims' Code of Practice – January 2017**

- Recommendation 4.3 Communication with Victims

- Mr Dundas and Mr Prince sought further details and assurances in relation to Communication with Victims generally and particularly with the advent of Single Online Home (SOH). Mr Nixon responded by setting out the current and intended approach and proposed that Mr Dundas gets involved in the focus groups that are being set up.
 - In response to the queries raised Mr Nixon made reference to the reporting tool 'Power BI' which was in development at the Force. Mr Nixon offered to organise a demonstration.
 - Ms Pallas asked how many people have been trained to use Power BI and Mr Nixon responded setting out training plans for the organisation using the pro-licence package.

ACTION: Mr Nixon to invite Mr Dundas and Mr Prince to appropriate focus groups

ACTION: Mr Nixon to organise a Power BI demonstration for a future meeting

- **Audit Committee Effectiveness – October 2017**

- Recommendation 4.4 Administrative Support

- The Chairman commented that he was happy to close this recommendation based on the most recent update. He requested that Mr Henry provide a few bullet points on the service standards for the administration of the meeting.
 - Mr Henry commented that the Effectiveness Review had been carried out but needed to be captured within a formal report and he planned to complete this before his departure.

ACTION: Mr Henry to provide information on the service standards for the administration of the meeting.

ACTION: The Review on the Effectiveness of the panel to be considered at the next JARAP meeting.

- **Code of Governance – June 2018**

- Recommendation 4.2 Policy Review Log

- There was general query from panel members regarding the process for closing recommendations. It was confirmed that the recommendations are considered in the first instance by the Strategic Organisational Risk Board (SORB) and if they are proposing closure of a recommendation that proposal is referred up to JARAP for their consideration and ultimate decision on closure.

- **Health and Safety – March 2019**

- Recommendation 4.1 Job Roles

- Mr Prince sought assurances about where the responsibilities for Health and Safety were held at the most senior level as well as at an individual level. Mr Nixon described the process and highlighted that ultimately he held responsibility for Health and Safety across the organisation and was therefore accountable.
 - After further discussion it was agreed that the current Health and Safety policy along with a selection of two or three job descriptions which made reference to the policy should be shared with Mr Prince. The intention being that he would then be able to consider further the arrangements that are currently in place.
 - Ms Pallas wanted to know if the training referred to was happening and if it would be audited. Having been given assurances she was comfortable with the proposal to close the recommendation.

ACTION: Mr Nixon to share the current Health and Safety policy and up to 3 job descriptions that make reference to the policy with Mr Prince.

Subject to the comments made above the panel were happy to close all the recommendations that had been proposed for closure.

26/19 External Audit Progress Update

Mr Harris stated that this agenda item would be covered under agenda item 13.

27/19 Risk Register

The panel received a report from Mrs Jebson-Hambly on the Risk Register. The report marked 'D' is filed with the minutes.

Mrs Jebson-Hambly introduced the report on the Risk Register highlighting the high risks, new risks, risks of note/archived risks, the risk grading criteria, the risk status and updated the panel on the progress relating to the new risk management system (KETO). She also covered an overview of the current strategic risks highlighting that five of these risks had a high priority as outlined in appendix A. The panel considered the report.

On strategic risk STR-FMS-3 Mr Dundas queried on page D6 if the volunteers referred to in the narrative were volunteers from the workforce or external volunteers. Mr Nixon confirmed that it was volunteers from the current workforce that were being sought.

On strategic risk STR-FMS-4 Mr Dundas commented that there were lots of different strands to the management of wellbeing issues. Mr Nixon agreed and highlighted that the strands were all being brought together so they could be managed most effectively and he would provide details to Mr Dundas once this exercise had been completed.

ACTION: Mr Nixon to send the panel members details of all of the initiatives that are taking place in relation to workforce wellbeing once they have been collated.

28/19 Feedback from SORB

Mr Nixon provided detailed feedback on the recently held SORB meeting which was attended by one of the panel members. He updated the panel verbally on the following points:

- Target operating model and IT capacity
- EMOpSS resources being moved back into the Force

- KETO risk management system
- Property training
- Brexit
- Information security

The panel were CONTENT with the update from SORB.

29/19 Annual Report of JARAP

The panel received the Annual Report of JARAP which was presented by the Chairman. A copy of the report marked 'E' is filed with the minutes.

The panel NOTED the content of the report.

30/19 Internal Audit Annual Report

The panel received the Internal Audit Annual Report from Mr Welch. A copy of the report marked 'F' is filed with the minutes.

The panel congratulated the Force and the OPCC on the number of greens (satisfactory and significant assurance) contained within the Annual Report. Mr Welch commented that this was indeed a positive performance.

The panel NOTED the content of the report.

31/19 Annual Governance Statement

The panel received a report on the Annual Governance Statements which was introduced by Mr Henry. A copy of the report marked 'G' is filed with the minutes.

The panel ENDORSED the report.

32/19 Report to those charged with Governance

The panel received a verbal update from Mr Harris relating to the current situation in relation to the accounts Mr Harris highlighted that the detailed issues were contained within Mr Henry's report on the Statement of Accounts which was the next agenda item and therefore he did not need to go into detail at this point.

Mr Harris was confident that the remaining issues in relation to the accounts would be resolved and his team would be able to audit and confirm the changes prior to the statutory deadline of the 31st July 2019. He also expected the formal audit opinion would be issued by this date as well, but highlighted that it was not part of the statutory requirement to do so. He currently expected to be able to issue an unqualified opinion on the accounts.

The Chairman highlighted to the panel that he had been communicated with regularly throughout the accounts closure process and was fully supportive of the current situation.

Mr Harris highlighted that he expected his value for money opinion to be unqualified also.

The panel were CONTENT with the verbal update.

33/19 Statement of Accounts

The panel received a report on the Statement of Accounts which was introduced by Mr Henry. A copy of the report marked 'I' is filed with the minutes.

The panel raised some queries in relation to the issue of IICSA which was covered in the report. Mr Henry confirmed he would send round the website link to the IICSA inquiry.

ACTION: Mr Henry to send round the IICSA public inquiry website link.

The panel thanked Mr Henry and the rest of the team for all of their work on the statement of accounts. They wished Mr Henry well for his future.

34/19 Work Programme

The panel received a copy of the proposed work programme which was presented by Mr Henry.

The Chairman stated that he would work with Mr Nixon to finalise the programme on pre-meeting briefings for the next year.

The panel AGREED the work programme

Date of Next meeting

Wednesday 23 October 2019

10:00am – 12:00pm

Main Conference Room

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

Meeting Date	Minute No.	Paper	Action	Person Responsible	Update
19/09/18	45/18	C	Mr Dawkins to provide information on the job evaluation process when the exercise has been finalised.	Mr Dawkins	<p>27.11.18 – The job evaluation continues and is overseen by a Gold Group chaired by the DCC. Negotiations are underway with staff representatives. The exercise has not been finalised and therefore more information will be provided when it is completed.</p> <p>11.12.18 – Action ongoing. Hays job evaluation, DCC currently working through negotiation strategy and awaiting data from Unison.</p> <p>02.04.19 – HAY job evaluation process still ongoing</p> <p>20.05.19 – HAY job evaluation process still ongoing</p> <p>10.10.19 – HAY job evaluation process still ongoing</p>
11.12.18	54/18a	B	DCC Nixon to have further discussions with Mr Dundas on victim led work as there is a keen interest to get victims more involved especially with work around Single Online Home.	DCC Nixon	<p>03.04.19 Discussions held and as TOM evolves this will be included in the framework</p> <p>10.10.19 Still in work in progress linked to the TOM</p>

11.12.18	56/18c	C	Mr Jones to facilitate a combined risk management database for both OPCC and OCC data sets.	Ms Jebson-Hambly	<p>04.04.19 Keto Risk Management system will house all the risks and all the subsequent risk registers for the force and the OPCC</p> <p>24.07.19 Mrs Jebson-Hambly has populated Keto with all current OPCC risks. Meeting with OPCC Managers on 16th July to finalise finer details of the risks and ensure all the latest 'controls' (mitigation measures) are recorded.</p> <p>02.10.19 All OPCC risks are on Keto and have been reviewed with the OPCC senior management. Review and updating of the risks will be undertaken every quarter going forward. Dates to be agreed.</p>
25.04.19	04/19	A	Mr Henry to circulate draft budget consultation once it has been prepared for the financial year 2020/21.	Mr Dawkins	<p>30.05.19 This cannot be addressed just yet and will be carried forward.</p> <p>10.10.19 Once a draft questionnaire has been put together it will be shared – target date Nov 2019</p>
25.04.19	05/19	B	Future Annual Collaboration updates to this panel would take the form of a written report and include an update on the regional audits.	DCC Nixon	<p>10.10.19 Number of Regional Audit conducted details of which are included in the Mazars progress report</p>
25.04.19	08/19	D	To create a risk specifically for the impact of Brexit.	Ms Jebson-Hambly	<p>24.07.19 Request name change on documentation to 'Mrs Jebson-Hambly' please. Risk has been created on Keto with the title 'Impacts of EU</p>

					Exit on Policing' and code 'STR0079'. Will be confirming the risk scoring element of this risk with the Owner by the end of June. 02.10.19 Risk has been created, assigned and scored. The risk has been scored as 'medium' due to its high likelihood but reduced impacts thanks to the control measures already in place. The risk is constantly monitored through the Op Bee Gold group which oversees the risks and BC implications of Brexit for the Force. Propose action close.
25.04.19	10/19	E	Mr Nixon agreed to organise the attendance of the force's fraud lead to present an overview of the work in his area.	DCC Nixon	10.10.19 Fraud update has been included on the agenda and Paul Wenlock providing the update
25.04.19	17/19	K	Mr Nixon to liaise with Mr Dundas in order for him to be involved in the victim user workshops.	DCC Nixon	
24.07.19	24/19	B	Ms Purshottam to organise a tour of the EPAC building prior to future JARAP meeting	Ms Purshottam	
24.07.19	24/19	B	Mr Henry to make the lead CFO for the Projected Underspends report aware of the view of the panel	Mr Dawkins	10.10.19 Included within the Mazars report
24.07.19	24/19	B	Summarise the direction of travel on audits that have taken place over the last four years using the Audit Annual Report	Mr Welch	10.10.19 Update to be provided at the meeting on 23.10.19
24.07.19	25/19	C	Mr Nixon to invite Mr Dundas and Mr Prince to appropriate focus groups	DCC Nixon	
24.07.19	25/19	C	Mr Nixon to organise a Power BI demonstration for future meetings	DCC Nixon	

24.07.19	25/19	C	Mr Henry to provide information on the service standards for the administration of the meeting	Mr Henry	10.10.19 Complete
24.07.19	25/19	C	The Review on the Effectiveness of the panel to be considered at the next JARAP meeting	Mr Henry	30.08.19 Effectiveness review emailed to Members and Auditors for comment.
24.07.19	25/19	C	Mr Nixon to share the current Health and Safety policy and up to 3 job descriptions that make reference to the policy with Mr Prince.	DCC Nixon	
24.07.19	27/19		Mr Nixon to send the panel members details of all of the initiatives that are taking place in relation to workforce wellbeing once they have been collated	DCC Nixon	
24.07.19	33/19		Mr Henry to send round the IICSA public inquiry website link.	Mr Henry	