

**Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP) held
at Police Headquarters, Enderby at 10:00am on
Thursday 25 April 2019**

Present

Mr L Pulford (Chair), Mr A Bhayat, 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 M Jones (Health and Safety Advisor), Mr R Mollett (Policy and Strategy Officer), Ms K Jebson-Hambly (Risk and Business Continuity Advisor)

Auditors

Mr N Harris (Ernst and Young)
Ms J Kriek (Ernst and Young)
Mr B Welch (Mazars)

01/19 Apologies

Mr P Dawkins (Assistant Chief Officer Finance and Resources)

02/19 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.

03/19 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.

04/19 Minutes of the meeting held on 11 December 2018 and Rolling Action Sheet

The minutes of the meeting held on 11 December 2018, were discussed and confirmed as a true and correct record.

The rolling action sheet was discussed and the following points were raised.

20/18d - Ms Pallas raised an issue relating to the Keto risk management system which had been recently implemented and sought assurances. The panel were introduced to the new Risk and Business Continuity Manager, Ms Kimberley Jebson-Hambly who responded to the query raised. Ms Pallas requested further assurances around the temporary use of spreadsheets.

ACTION – Ms Jebson-Hambly to provide further assurances around the temporary use of spreadsheets

76/16 – The Chairman commented on the 101 report that had been circulated to JARAP members stating that he had found it useful.

18/18b – The panel raised a query regarding the use of surveys and seeking assurances that there would be improvements in the completion of relevant surveys. Mr Nixon responded by stating that survey results are captured, tracked and reported through the Performance Development Group (PDG). The panel were satisfied by the response.

The panel asked Mr Nixon to confirm if there had been improvements to the survey results.

ACTION - Mr Nixon to confirm if there had been improvement to the survey results.

20/18b – The panel highlighted that the RRD policy had not yet been circulated and therefore the action should remain open. Mr Nixon agreed to circulate the policy which has already been completed. Once it has been circulated formal closure will be recommended at the next meeting.

41/18 – The panel were happy to close this particular action but requested that Mr Henry circulate an early draft of future budget consultations for them to have the opportunity to consider before it is finalised and launched.

ACTION – Mr Henry to circulate draft budget consultation once it has been prepared for the financial year 2020/21.

The panel decided to keep the following action open as detailed above:

- 20/18b
- 20/18d
- 18/18b

The Panel AGREED to close the following rolling actions:

- 76/16
- 06/18 (Page 4)
- 06/18 (Page 6)
- 06/18 (Page 7)
- 41/18
- 53/18
- 54/18b
- 54/18c
- 54/18d
- 56/18a
- 56/18b
- 56/18d
- 56/18e

05/19 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 introduced the report and outlined the summary of internal audit work to date. He highlighted the following reports which had been finalised since the last progress meeting:

- Core Financial Systems – this had been given a satisfactory assurance level.
- Payroll – this had been given a satisfactory assurance level.
- General Data Protection Regulations (GDPR) - this had been given a satisfactory assurance level.

The panel queried why the GDPR audit had been given a satisfactory assurance level when there was a priority 1 recommendation included within the findings.

Mr Welch responded that whilst a priority 1 recommendation quite often led to limited assurance, this was not always the case.

Mr Welch felt in this instance, given the progress that had been made and in comparison to other areas, satisfactory assurance was appropriate.

- Health and Safety - this had been given a satisfactory assurance level.

Mr Welch highlighted that the Archive Management Audit had been issued as a draft and was awaiting a management response. He also highlighted that the Property Management Audit had just been issued as a draft.

Mr Welch then commented on the three Regional Collaboration Audits that had been finalised as follows:

- Strategic Financial Planning - this had been given a satisfactory assurance level.
- Risk Management - this had been given a satisfactory assurance level.
- Business Planning - this had been given a satisfactory assurance level.

The panel queried where the Regional Collaboration Audits would be scrutinised. Mr Nixon responded that DCC Chris Haward has responsibility for these audits but in order to ensure this panel has oversight of them it was agreed they would be referred to in the annual collaboration update which should be a written report for this panel in the future.

Mr Welch highlighted that he had also been requested to carry out some field work on budget monitoring variances within the Regional Collaboration Units and that had been issued as a draft report for which is awaiting a response.

ACTION – Future Annual Collaboration updates to this panel would take the form of a written report and include an update on the regional audits.

06/19 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:

- **Seized & Found Property – March 2018.**
Recommendation 4.1 Missing Firearm and recommendation 4.4 Officers and Property Officers Training

- Mr Prince requested an indication of the percentage of the workforce that had received training. Mr Nixon responded that the headcount is currently running at approximately 1900 police officers and approximately 85% have received the training. This is tracked through the Performance Development Group.
- It was proposed responses 8iii and 8v from recommendation 4.1 and responses iii and v from recommendation 4.4 are merged as they are the same. This avoids duplication. The panel agreed to this approach providing the detail is not lost.

ACTION: On the Seized and Found Property Audit it was agreed that response iii and v from recommendation 4.1 and iii and vi from recommendation 4.4 are amalgamated.

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

- Recommendation 4.3 Communication with Victims

- The panel asked how this was being monitored internally. Mr Nixon responded that a HMIC internal group had been set up and the internal audit team also had a role to play in this group. It was felt that it was better to be proactive and actively monitor internally rather than wait for external scrutiny on the subject area.

- **Code of Governance – June 2018.**

- Recommendation 4.1 Approval of the Governance Framework

- Mr Prince noted that the implementation target date had been changed to end of September 2019 and sought assurances that it would be updated by the revised date. Mr Henry responded that workloads had not allowed the corporate governance framework to be updated by the previous target date but was hopeful it would be achieved by the revised date.

- **Firearms Licencing – August 2018.**

- Recommendation 4.1 Reconciliation of fees against licences issued

- Mr Prince noted the progress of reconciled fees and the dip sampling exercise that had taken place. He sought further assurances about this process. Mr Nixon responded by stating that the Head of Firearms was accountable for the process and further assurance could be delivered through the work carried out by MAZARS. As a result he had confidence in the revised process and although these checks had not been verified by a third party he was happy with the approach adopted. The force Inspectorate Unit had undertaken an objective dip sample which followed the Mazars audit methodology thereby providing reassurance that processes and procedures in relation to reconciliation of fees against licences issued have been strengthened.

- **Fleet Management – September 2018.**

- Recommendation 4.1 Strategy and Implementation Plan

- The panel asked for progress on the plan. It was noted that a draft plan is available and is awaiting final approval. Mr Dawkins will provide an update at the next JARAP meeting in relation to this recommendation.

Mr Pulford highlighted that under some recommendations where the target implementation date had changed the old target dates had been deleted and therefore panel members could not see how much those target dates had shifted since the original recommendation was made.

He highlighted that the approach taken for the revised date on the Corporate Governance Framework should be adopted for all recommendations so it can be clearly seen how that target has moved over time.

Subject to the comments above the panel agreed that all of those recommendations proposed for closure could be closed. For clarity the following recommendations will now be closed:

- Audit Committee Effectiveness (October 2017) – Recommendation 4.7
- Payroll (December 2017) – Recommendation 4.2
- Firearms Licencing (August 2018) – Recommendations 4.1 and 4.2
- Data Quality (August 2018) – Recommendation 4.2
- Core Financials (February 2019) – Recommendation 4.2 and 4.3

07/19 External Audit Progress Update

Mr Harris requested that the panel considered this agenda item and agenda item 12 together as they were linked and the panel agreed.

Mr Harris highlighted that the External Audit Plan related to the work required for the financial year 2018/19. He introduced Julie Kriek who is the new audit manager and replaced Helen Henshaw who the panel will have been familiar with. Ms Kriek had recently carried out an interim audit on site.

Mr Harris took the panel through the Audit Planning Report highlighting particular issues of importance for the panel.

Ms Kriek updated on the interim audit visit and highlighted at this stage she had no areas of concern that she needed to bring to the attention of the panel. Ms Kriek highlighted that the full audit would commence in June.

The panel NOTED the content of the report and the verbal update.

08/19 Risk Register

Ms Hambley-Jebson introduced the report on the risk register highlighting high priority, newly registered risks and risks of note. A copy of the report marked 'D' is filed with the minutes.

Ms Hambley-Jebson highlighted that a new risk management system had recently been implemented and the force were in the process of transferring all risks onto the new system (KETO). The new system will include all of the departmental risks, strategic risks and OPCC risks. Therefore all risks encountered by the two organisations will be contained within one system.

Ms Hambley-Jebson directed the panel to Appendix B and highlighted that where there had been a change the status common had been shaded to reflect this. Mr Pulford agreed that this was a good idea but highlighted that the shading did not confirm the direction in which the status had changed.

Ms Hambley-Jebson highlighted STR2006 relating to Management of Archive Provision and stated that it had been recently re-scored and was now felt to be a medium risk rather than a high risk. She also highlighted STR1623 relating to Preparing for New Communities, Travelling and Foreign National Offending and proposed that it should be changed to a risk relating to the impact of Brexit. The panel thought that the current risk should remain as it is and there should be a separate risk on the impact of Brexit.

ACTION – To create a risk specifically for the impact of Brexit.

The panel took an interest in the cost of an increasing population to policing services as a result of increased developments throughout the area. Mr Nixon highlighted that we do not receive funding relative to population growth apart from the increase precept receivable as a result. He highlighted that new developments are sometimes subject to developer contributions through the S106 agreements and commented that the force has a S106 working group that looks at this issue and which the OPCC is represented on.

The panel DISCUSSED and NOTED the contents of the report.

09/19 Feedback from SORB

Mr Nixon provided detailed feedback on the recently held SORB meeting which was attended by Mr Prince as a representative of this panel.

Mr Nixon went through the minutes of the SORB in order to update the panel. His update included highlighting the following points:

- Risks associated with Brexit
- An update from the recent Home Affairs Select Committee (HASC) meeting and the steps taken by the force to address the issues raised
- An update on the risk register replacement
- An update on Information Security

Mr Prince commented that he had witnessed improvements in the operation of SORB in the last 12 months.

The panel NOTED the verbal update.

10/19 Fraud and Corruption

The panel received a report from the ACO (Finance and Resources) which was presented by Mr Nixon. A copy of the report marked 'E' is filed with the minutes.

The panel asked for details on where the fraud had come from, how many are investigated and many lead to conviction. Mr Nixon suggested that the fraud lead from the force comes to the next meeting to present an overview of the arrangements. The panel agreed with this suggestion.

ACTION – Mr Nixon agreed to organise the attendance of the force's fraud lead to present an overview of the work in his area.

The panel NOTED the report.

11/19 Internal Audit Plan

The panel received the draft Internal Audit Plan for 2019/20 which was presented by Mr Welch.

Mr Nixon highlighted that the Regional Collaboration Audits will be considered by the Deputy Chief Constables' board.

The panel AGREED the content of the report.

12/19 External Audit Plan 2019-20

This agenda item was considered earlier in the meeting alongside agenda item 7 and the update is contained at minute 07/19.

13/19 JARAP Terms of Reference Annual Review

The panel received a report from the Chief Finance Officer of the OPCC who highlighted that the terms of reference had been amended to provide greater clarity on a couple of key points. A copy of the report marked 'H' is filed with the minutes.

The panel AGREED the revised terms of reference.

14/19 Force Meetings 2019

The panel received a report from the Chief Constable on the key meetings being held by the force and the OPCC for 2019. Mr Nixon presented the report. A copy of the report marked 'I' is filed with the minutes.

The panel NOTED the list of meetings proposed for the force and OPCC for 2019.

15/19 Force Management Statement and Force Planning Cycle

The panel received a report from the Chief Constable on the Force Management Statement 2 (FMS2). The report was presented by Mr Nixon. A copy of the report marked 'J' is filed with the minutes.

Mr Nixon highlighted that the draft of FMS 2 is due to be considered by the Strategic Assurance Board on the 14th May. The production of the FMS is now built into the Corporate Planning Cycle.

The panel NOTED the update on the Force Management Statement.

16/19 Annual Collaboration Update

The panel received a verbal update from Mr Nixon on the current Regional Collaboration arrangements.

He made reference to the tour of the Firearms Department that had taken place immediately prior to this meeting. The panel members highlighted how beneficial they found the tour and the chairman stated he would write to the department thanking them for their time.

The panel RECEIVED the verbal update.

17/19 Update on Progress against the Victims' Code of Practice

The panel received the report of the Chief Constable on progress against the Victims' Code of Practice. The report presented by Mr Nixon. A copy of the report marked 'K' is filed with the minutes.

Mr Nixon highlighted that the progress is being tracked and monitored on a regular basis.

Mr Dundas offered to get involved in victim user workshops in order to better understand the victim experience. Mr Nixon gratefully accepted the offer.

ACTION – Mr Nixon to liaise with Mr Dundas in order for him to be involved in the victim user workshops.

18/19 Emerging Issues

Mr Nixon provided an update on the following current and emerging issues:

- Brexit Update
- Single Online Home

The panel RECEIVED the verbal update on emerging issues.

19/19 Work Programme

The panel received a copy of the proposed work programme which was presented by Mr Henry. A copy of the report marked 'L' is filed with the minutes.

The panel AGREED the work programme

Date of Next meeting

Wednesday 24 July 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
20/06/18	18/18 b	A	In response to the outcome of the fraud surveys, in future Rob Nixon, Martin Henry and Paul Dawkins will highlight important surveys that they are aware of in order for their completion to be highlighted by senior staff in order to achieve a higher response rate.	Mr Nixon/ Mr Dawkins/ Mr Henry	<p>3.7.18 Action ongoing This will be considered on an ongoing basis. Surveys will be considered as they are received and important ones highlighted for action and completion.</p> <p>09.07.18 - Rob Nixon to meet with Peta Halls to discuss 12.7.18</p> <p>30.08.18 - Rob Nixon has spoken to Adam Streets. Important surveys are flagged and Mr Nixon highlights those that should be completed.</p> <p>PROPOSE CLOSE</p> <p>19.09.18 - Mr Streets to provide a briefing note on the Fraud Survey and how Police Officers and staff can be encouraged to return this survey in future to enable a greater response rate.</p> <p>It was also agreed that Mr Henry would share the Budget Consultation Process with the panel once it had been produced.</p> <p>25.04.19 - Mr Nixon to confirm if there</p>

					had been improvement to the survey results.
20/06/18	20/18 b	C	In regards to management of archive provision, Rob Nixon to ensure the appropriate measures are in place to mitigate the potential loss of high profile archive evidence.	Mr Nixon	<p>09.07.18 - II MoPI review archived material disposals by the force have ceased under the UCPI/ICSA moratorium until the legal advice is clarified. We are awaiting further clarification from EMPLS.</p> <p>A task group (as part of the Evidential Property and Archive Programme) headed by ACC Jason Masters has been meeting to clarify the national and regional position and prepare an Archive Material RRD procedure for the force. The procedure will be submitted to the COT/Change Board for approval and ratification. The procedure is currently at consultation stage with stakeholders. The procedure proposes disposals for certain material that can/cannot be linked with a NICHE occurrence and proposes timescales where MoPI national guidance cannot be applied.</p> <p>30.08.2018 - the new policy has been drafted and is going through the channels to be ratified. Op Halo 2 is planned with restricted officers ready to process the amalgamation of items to the new store.</p> <p>20.11.18 An archives RRD procedure has been completed and submitted to DCC Nixon (end Sept 2018). Further work is being completed at the request of DCC Nixon on risk assessing and prioritising disposal of records prior to a final decision. The responsibility for this overall risk sits jointly between the Information Management MoPI team and the</p>

				<p>Archives team. Operation Halo2 archives aims to prepare operational archives for transfer to the EPAC centre in June 2019.</p> <p>This involves reviewing, cataloguing, scan and bin, dating and grading all undetected crime files at Mansfield house archive store and files where offences are to be prosecuted or have been prosecuted at Tigers Road. It also involves reviewing potentially 100,000 back record converted crimes from CIS that have been MoPI graded by the regional RRD team, locating the relevant files & media material, retrieving the specific files and preparing them for disposal subject to IICSA/UCPI approval. This operation requires staff. 2 full time MoPI staff are to be provided. A business case for 3 full time temporary staff for 12 months has been submitted to the October Change board and approved.</p> <p>11.12.18 - Action ongoing. There are 3 decades of archive materials to be processed before sign off which needs to be MoPI compliant. The Change Board has agreed to employ 3 additional staff over the next 12 months to facilitate this clear out. The assigned staff must comply with a decision making framework with specific guidelines to archiving. There will be regular progress updates through SORB which will feedback to JARAP. There were suggestions from JARAP to link in with University of Leicester archivists and museum/police studies for funding support through 8 weeks internship projects.</p>
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					<p>3.4.19 The DCC has agreed the RRD policy and this is being implemented by a team currently and will be continuously progressed ahead of the EPAC building – due July 2019. There has been substantial filtering of both evidential and archive property disposal/retention prior to this move. Mazars have done an audit of the Archive project and we are awaiting their formal report. The evidential audit is being completed this week. The ACC has considered the suggestion in respect of the University however its main focus is on retention, review and disposal so at this time wouldn't be beneficial.</p> <p>Propose Close</p> <p>25.4.19 The panel highlighted that the RRD policy had not yet been circulated and therefore the action should remain open until this has happened.</p>
20/06/18	20/18 d	C	Rob Nixon to provide the panel with an update on the plans to move forward from Orchid and Ms Janette Pallas would be a part of the evaluation making panel.	Mr Nixon	<p>09.07.18 – Carried forward to September meeting.</p> <p>30.08.2018 – Verbal update to be given to the September meeting on the progress relating to this action under the risk management agenda item.</p> <p>21.09.18 – Orchid update was provided in the Risk register.</p> <p>PROPOSE CLOSE.</p>

20/06/18	20/18 d (i)	C	Ms Jebson-Hambly to provide further assurances around the temporary use of spreadsheets whilst the risk management information is transferred from the Orchid system to the KETO system.	Ms Jebson-Hambly	<p>18.07.19 – Orchid has been decommissioned as of July 2019. All strategic risks have been transferred to the new Keto system which is fully operational. SLA in place with Keto developers to address any issues or faults we may experience with the system. Contingencies in place include excel and reports which are exported from Keto on a regular basis. See update on KETO contained elsewhere on 24.07.19 agenda.</p> <p>PROPOSE CLOSE.</p>
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>
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	DCC Nixon	<p>03.04.19 Discussions held and as TOM evolves this will be included in the framework</p>

			get victims more involved especially with work around Single Online Home.		
11.12.18	56/18c	C	Mr Jones to facilitate a combined risk management database for both OPCC and OCC data sets.	Mr Jones	<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>
11.12.18	57/18	D	Mr Henry to ensure all OPCC risks are forwarded to SORB for consideration and the outcome reported to JARAP.	Mr Henry	<p>04.04.19 Mr Henry to arrange for the OPCC risks to go to the next SORB meeting to be held on 16 May 2019</p> <p>30.05.19 The OPCC risk register was considered at the SORB meeting held on 16 May 2019.</p> <p>Propose close</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 Henry	<p>30.05.19 This cannot be addressed just yet and will be carried forward.</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	
25.04.19	06/19	C	On the Seized and Found Property Audit it was agreed that response 8iii and 8v from recommendation 4.1 and	Mr Mollett	<p>17.05.19 These recommendations have been amalgamated.</p>

			iii and vi from recommendation 4.4 are amalgamated.		Propose Close
25.04.19	08/19	D	To create a risk specifically for the impact of Brexit.	Ms Jebson-Hambley	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 Exit on Policing' and code 'STR0079'. Will be confirming the risk scoring element of this risk with the Owner by the end of June.
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	
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	