

**Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP) held  
at Police Headquarters, Enderby at 10:00am on  
Wednesday 23 October 2019**

**Present**

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

**Also in attendance**

**Office of the Police and Crime Commissioner (OPCC)**

Mr P Dawkins (Chief Finance Officer)  
Ms K Hughes (Resource Manager)  
Ms Dearden (Business Staff Officer)

**Office of the Chief Constable (OCC)**

Mr R Nixon (Deputy Chief Constable), Mr Paul Wenlock (Economic Crime Unit Manager),  
Mr R Mollett (Inspection Liaison & Project Officer), Mrs K Jebson-Hambly (Risk and  
Business Continuity Advisor), C Heath (Business Staff Officer)

**Auditors**

Ms J Kriek (Ernst and Young)  
Mr M Lunn & Mr David Hoose (Mazars)

**35/19 Apologies**

Apologies were noted for Mr N Harris (Ernst and Young), Mr A Bhayat (JARAP) and Mr L Dundas (JARAP).

**36/19 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.

**37/19 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.

**38/19 Minutes of the meeting held on 24 July 2019 and Rolling Action Sheet**

The minutes of the meeting held on 24 July 2019, were discussed and confirmed as a true and correct record.

The rolling action sheet was discussed.

Members agreed on accepting and closing the following action:

- 56/18c

### **39/19 Fraud and Corruption Update**

The panel received a presentation from Mr Wenlock (Force Economic Crime Unit Manager) on Fraud and Corruption.

Mr Wenlock provided the following updates:

- 11,000 fraud reported in Leicester, Leicestershire and Rutland between April 2018- March 2019 i.e. ~900 per month with £248 million total loss.
- Current Force performance shows 17.2% positive outcomes
- Leicestershire has introduced more efficient service to reduce harm, identify those at risk and to ensure no repeat of victimisation.
- Leicestershire Police has measures in place to detect internal risk of theft and fraud through the use of Bad Apple system, training, audit and finance vetting.

The panel members queried the frequency of fraud and advised the Force to raise any concerns on the bad apple referrals.

DCC Nixon confirmed there is a robust process in place where all new PSD cases via anti-corruption team is reported directly to Mr Nixon and all specialist fraud via covert investigation to Mr Wenlock.

The panel members queried the findings from Force audits. Mr Nixon briefed the panel on cases around expenses, mileage claims, staff vetting and the property store.

### **40/19 Internal Audit Progress Report**

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

Mr Lunn highlighted 5 final reports issued since the last meeting:

- Pension Provider
- Workforce Planning & Absence Management
- Recruitment
- Complaints Management; and
- Custody Arrangements

Mr Lunn confirmed that all of the above have received significant or satisfactory assurance opinion.

Mr Lunn discussed the collaboration projected underspends (appendix A1) which was affected by the budget virement approval process but has now been finalised.

The panel members raised concerns on the workforce planning & absence management and whether succession planning was assessed during the audit. The panel also queried recruitment delays, particularly replacing senior roles in the Force.

Mr Nixon confirmed succession planning was assessed and the Strategic Establishment Leadership & Capabilities Board (SELCB) is set up to track succession planning of those in specialist areas/skills.

Mr Nixon /Mr Dawkins notes recruitment is an ongoing problem for the Force with 6-7 months delays due to vetting, however the problem is being mitigated with good practice of recruiting over establishment.

## 41/19 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 the Force Inspection Liaison Officer, Roy Mollett. 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 Pulford raised concerns with the delays of the Victim Code of Practice (VCOP) which is ongoing since January 2017.
  - Mr Nixon explained the detailed audit checks required on each element of the code of practice and owners of the crime.

**ACTION: Mr Nixon to share the VCOP audit methodology to the JARAP panel.**

- **Payroll Provider– April 2019**  
Recommendation 4.1 Reporting of Quarterly KPIs
  - Ms Pallas raised concerns on the amount of new systems implemented in Force and the confidence/accuracy of data extracted from these systems to generate KPI reports.
  - Mr Dawkins explained the functionality of the systems and that majority of the providers/contracts manage the KPIs. There is work in progress to standardise payroll KPIs.
  - Mr Dawkins discussed plans to automate processes (Tranman) to improve functionality to monitor contracts appropriately.
  - Mr Nixon updated the panel on the work of the Power BI Team to improve performance dashboards with plans to increase our IT capability to link Payroll, Tranman and other systems to Power BI.
- **GDPR– February 2019**  
Recommendation 4.1 Implementation of Action Plan
  - The panel members raised concerns on the procurement process which Mr Nixon and Mr Dawkins should ensure compliance with audit requirements.
- **Health & Safety– March 2019**  
Recommendation 4.4 Spot checks of accidents /incidents
  - The panel members requested the job specifications for various roles across the Force to ensure they adhere to policy and procedure.

**ACTION: Mr Nixon to review the Health & Safety policy i.e. section on directorate for Health & Safety and provide Ian Prince the job specifications for the Deputy Chief Constable, Heads of Directorate, Head of Health & Safety and the Commander of new property store.**

**ACTION: Peter Coogan to ensure Ian Prince is invited to the upcoming Executive Health & Safety Committee meeting.**

**ACTION: The Health & Safety recommendation can be closed.**

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

#### **42/19 External Audit Progress Update**

The panel received an update from Ms Kriek on the External Audit Progress report with plans to finalise the audit by the end of July 2020.

Ms Kriek commented on the audit of the accounts which was the best Ernest and Young have undertaken. Leicestershire Police was the only Force in the region that delivered on time.

Mr Dawkins expressed his thanks to Julie Kriek, Samantha Lamb, Ruth Gilbert and the team.

#### **43/19 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 and the risk status. The panel considered the report.

Mrs Jebson-Hambly provided the following updates:

- All new risks have been scored accurately and awaiting review of the risk status (STR0084, STR0094, STR0095 & STR0096).
- New risk STR0084 (transfer of evidential property to EPAC) have been scored medium.
- 8 risks of note that have been re-scored following scrutiny (STR1329, STR430, STR11, STR1801, STR2017, STR1679 and STR2006 & STR1844).
- 3 risks to be archived (STR473, STR1946 & STR1915).

#### **Ineffective Tracking of Force Assets (STR0078)**

Ian Prince raised concerns on the tracking of the Captor Sprays and the assumption that the unaccounted canisters have been destroyed appropriately.

Mr Nixon explained that the Force has initiated a physical sweep of canisters but poor tracking could be due to recording errors. Mr Nixon assured the panel that this will not occur in the future as there are plans to migrate to a more robust asset tracking system (Chronicle System).

**ACTION –Mr Nixon to check the progress of recording captor on the asset tracking system and update JARAP.**

#### **Back-up Generators (STR0083)**

Mr Pulford queried the progress of the generators.

Mr Dawkins informed the panel that the fuel tanks have been tested and sulphur detected in the diesel. The Force is in breach of environmental regulation if the generators are switched on. There are plans to drain the tanks in the next few weeks and replace with clean diesel as quickly as possible.

The panel noted the change in the layout of the report with the new Keto software.

**ACTION –Mrs Jebson-Hambly to present all new risks in a way that is identifiable and clearly separated from the high risks i.e. colour coded.**

#### **44/19 Feedback from SORB**

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

- Recruitment uplift and concerns with infrastructure
- Issues with the Occupational Health Unit
- Movement of archive material to the new property store
- Asset management
- Succession planning

The panel were CONTENT with the update from SORB.

#### **45/19 Annual Audit Letter and ISA 260**

The panel received the Annual Audit Letter and ISA 260 from Ms Kriek. A copy of the report marked 'E' is filed with the minutes.

The panel NOTED the content of the report.

#### **46/19 Annual Effectiveness Review**

The panel received a report on the Annual Effectiveness Review which was introduced by Mr Dawkins. A copy of the report marked 'F' is filed with the minutes.

Mr Dawkins discussed the bi-annual effectiveness review and highlighted the assessment scores as well as the constructive audit review. Paragraph 3.9 for JARAP to note from Neil Harris.

Mr Pulford commented on the overall positive report with good outcome and key areas to reflect on.

**ACTION –Mr Pulford will respond to Mr Harris in writing.**

Ms Pallas noted the email to Martin Henry (Appendix C), includes her personal email address and mobile number which should be removed from the public domain.

**ACTION –Ms Hughes to ensure Ms Pallas' personal email and mobile number is removed from the public domain.**

The panel ENDORSED the report.

#### **47/19 Work Programme**

The panel received a copy of the work programme up to January 2020 which was presented by Mr Dawkins.

**ACTION – Ms Hughes and Ms Dearden to prepare the 2 years’ work programme for the next JARAP meeting and should be a future looking document onwards.**

The panel AGREED the work programme

**48/19 Any other Business**

The chairman gives his apologies for the January 2020 meeting due to family commitments.

Paul Dawkins expressed his thanks to Ms Hughes for her hard work in collating and circulating the JARAP reports.

**Date of Next meeting**

Wednesday 22 January 2020

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><b>23.10.19</b> -Timeline is being finalised to April next year due to issues with Unison locally and nationally. Data finalised and submitted to Unison with offer of protection for those affected and should be resolved by April 2020.</p> <p><b>27.11.18</b> – 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><b>11.12.18</b> – Action ongoing. Hays job evaluation, DCC currently working through negotiation strategy and awaiting data from Unison.</p> <p><b>02.04.19</b> – HAY job evaluation process still ongoing</p> <p><b>20.05.19</b> – HAY job evaluation process still ongoing</p> <p><b>10.10.19</b> – 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><b>03.04.19</b> Discussions held and as TOM evolves this will be included in the framework</p> <p><b>10.10.19</b> 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><b>23.10.19 CLOSED – JARAP OCTOBER 2019</b></p> <p><b>04.04.19</b> Keto Risk Management system will house all the risks and all the subsequent risk registers for the force and the OPCC</p> <p><b>24.07.19</b> Mrs Jebson-Hambly has populated Keto with all current OPCC risks. Meeting with OPCC Managers on 16<sup>th</sup> July to finalise finer details of the risks and ensure all the latest 'controls' (mitigation measures) are recorded.</p> <p><b>02.10.19</b> 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><b>30.05.19</b> This cannot be addressed just yet and will be carried forward.</p> <p><b>10.10.19</b> 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	<b>10.10.19</b> Number of Regional Audit conducted details of which are included in the Mazars progress report
25.04.19	08/19	D	To create a risk specifically for the impact of Brexit.	Ms Jebson-Hambly	<b>24.07.19</b> 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.  <b>02.10.19</b> 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.  <b>Propose action close.</b>
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	<b>10.10.19</b> 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	<b>10.10.19</b> Complete
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	<b>10.10.19</b> 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	<b>10.10.19</b> 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	<b>10.10.19</b> 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	<b>30.08.19</b> 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	
23.10.19	41/19	C	<u>Recommendation 4.3 Communication with Victims</u> Mr Nixon to share the VCOP audit methodology to the JARAP panel.  <u>Recommendation 4.4 Spot checks of accidents /incidents</u> <ul style="list-style-type: none"> <li>Mr Nixon to review the Health &amp; Safety policy i.e. section on</li> </ul>	DCC Nixon	

			<p>directorate for Health &amp; Safety and provide Ian Prince the job specifications for the Deputy Chief Constable, Heads of Directorate, Head of Health &amp; Safety and the Commander of new property store.</p> <ul style="list-style-type: none"> <li>• Peter Coogan to ensure Ian Prince is invited to the upcoming Executive Health &amp; Safety Committee meeting.</li> </ul> <p><u>Recommendations to be closed</u></p> <ul style="list-style-type: none"> <li>• The Health &amp; Safety recommendation 4.4 can be closed.</li> <li>• 4.1 Complaints Management</li> <li>• 4.2 Case Closures</li> <li>• 4.1 Governance</li> </ul>		
23.10.19	43/19	D	<p><u>Ineffective Tracking of Force Assets (STR0078)</u></p> <ul style="list-style-type: none"> <li>• Mr Nixon to check the progress of recording captor on the asset tracking system and update JARAP.</li> </ul> <p><u>Back-up Generators (STR0083)</u></p> <ul style="list-style-type: none"> <li>• Mrs Jebson-Hambly to present all new risks in a way that is identifiable and clearly separated from the high risks i.e. colour coded.</li> </ul>	DCC Nixon/ Ms Jebson-Hambly	

23.10.19	46/19	F	<u>Annual Effectiveness Review</u> <ul style="list-style-type: none"> <li>• Mr Pulford will respond to Mr Harris in writing (Paragraph 3.9 of the effectiveness review)</li> <li>• Ms Hughes to ensure Ms Pallas' personal email and mobile number is removed <b>from</b> the public domain (appendix C).</li> </ul>	Mr Pulford/ Ms Hughes	
23.10.19	47/19	G	<u>Work Programme</u> <ul style="list-style-type: none"> <li>• Ms Hughes and Ms Dearden to prepare the 2 years' work programme for the next JARAP meeting and should be a future looking document onwards.</li> </ul>	Ms Hughes	<b>19.12.19</b> Work programme draft complete – future dates have been signed off