

Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP)
held at Police Headquarters, Enderby at 10:00am
on Wednesday 22 January 2020

Present

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

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 R Mollett (Inspection Liaison & Project Officer)

Mr M Jones (Health & Safety Advisor)

Auditors

Mr N Harris (Ernst and Young)

Mr M Lunn (Mazars)

01/20 Apologies

Apologies were noted for Luke Pulford (JARAP).

02/20 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.

03/20 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.

04/20 Minutes of the meeting held on 23 October 2019 and Rolling Action Sheet

The minutes of the meeting held on 23 October 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 actions:

- 08/19
- 10/19
- 24/19
- 25/10
- 47/19

Action: Power Bi demonstration at the end of the year – to show how it has developed further (as a pre-briefing)

05/20 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 discussed the summary of internal audit work to date and highlighted that good progress has been made. 9 out of the 11 Leicestershire specific audits have been completed, and the two remaining audits in relation to the Payroll Provider and Benefits / Project Realisation are on track for completion during quarter four.

An update on the collaboration audits was provided and it was highlighted that the Performance Management fieldwork has been completed, and that the draft report will be issued soon. Mr Lunn also pointed out that the fieldwork for Business Continuity and Health and Safety audits are ongoing, and will be looking at these in the upcoming weeks.

Mr Lunn confirmed that they are on track with their targets and invited the panel to ask questions.

The panel members raised concerns on the budget control and queries were made about the fact that the handbook was going to be reviewed in December 2019. Mr Dawkins provided clarity that it is not the handbook which is being reviewed it is the Governance Framework. It was mentioned that this framework has not been reviewed for 5 years. Ms Hughes is leading on this work which is almost complete. Mr Dawkins highlighted that once finalised, it will then be circulated to key Stakeholders.

Action: Mr Dawkins to circulate the Governance framework to JARAP members for comments.

The panel members also asked a question around Core Financials and Fraud in terms of the new suppliers. The question was asked if the suppliers be audited. Mr Dawkins clarified that there have been antifraud controls in place for some time and confirmed that the controls which are in place are as good as we can currently get. It was highlighted that Mr Wenlock provided an update on Fraud during the last meeting in October 2019.

Mr Dawkins confirmed Leicestershire Police have a process in place which is followed for all payments made.

06/20 Internal Audit Recommendations & Tracking

The panel received the Internal Audit Recommendations and Tracking report from the Chief Constable and Chief Finance Officer (OPCC). 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:

- **Payroll Provider – April 2019**
Significant 4.1 Reporting of Quarterly KPIs
 - Proposed closed
- **Seized and Found Property – May 2019**
Significant 4.2 Officers and Property Officers Training
 - Proposed closed
- **Recruitment – September 2019**
Significant 4.2 Narrative explanation for process overrides
 - Proposed closed
 - Mr Pallas proposed to have HR and Recruitment in a pre-briefing

Action: Ms Dearden to arrange to have HR and Recruitment during a pre-briefing

- **Core Financials - January 2020**
Significant 4.1 Fraud checks on requests to add/change supplier details
 - Proposed closed
- **Victims Code of Practice - January 2017**
Significant – Communication with Victims 4.3
 - Mr Bhayat asked for clarity for the date of completion; within the report it highlights 'early 2020'
 - Mr Prince raised concerns with the delays of the Victim Code of Practice which was raised in January 2017. Mr Prince agreed that the outcomes are there and asked if the panel could be provided with a briefing as to what has gone on and what has been learnt from it. Mr Nixon believed it would be beneficial to provide members with an briefing of the Target Operating Model (TOM)

Action: Mr Nixon to provide clarity on when the date for completion will be

Action: Mr Nixon to provide a briefing of TOM at the next meeting

- **Fleet Management - September 2018**
Significant 4.2 Sample Check of Service Details
 - Ms Pallas asked for clarity on the update provided regarding who is waiting for a project manager (Civics or Leicestershire Police).
 - Mr Dawkins reassured Ms Pallas that it is Civicas resource and they are having issues.

Action: Mr Dawkins to provide an update on Civicas resource at the next meeting

- **General Data Projection Regulations (GDPR) - February 2019**
Fundamental 4.1 Implementation of Action Plan
 - Ms Pallas asked when the training is likely to be as within the update it highlights that 'there is some anticipated slippage'. Mr Nixon discussed that training has been rolled out to some and they are working through the systematics of the directorate.

It was brought to the attention from the panel that throughout Appendix A there were numerous revised target dates which were overdue and asked if these could be revised.

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

07/20 External Audit Progress Update 35.20

The panel received a verbal update from Mr Harris on the External Audit Progress report and provided wider context about what is happening within the profession at the moment with regards to the delivery of external audits (resource constraints with suppliers).

It was highlighted that the end of July 2020 deadline is not a statutory deadline, but there is, however, a publication deadline.

The plan was originally to deliver the Leicestershire audit before the end of July 2020. Mr Dawkins expressed his concerns that he doesn't feel they have the resources in place for this year's audit with the pressures faced. The question was then asked if we have the resources available in Leicestershire to allow a reasonable timeframe for the audit. It was confirmed by Mr Harris that it is not likely to be July, but they expect it to be completed in September.

08/20 Risk Register

The panel received a report from Mr Jones on the Risk Register. The report marked 'D' is filed with the minutes.

Mr Jones apologised for the short notice distributing the updated paper. The updated paper contains recent SORB updates from December/January. It was agreed that Mr Jones would go through the paper with the panel as they may have not had chance to go through it prior to the meeting. Mr Nixon also apologised with regards to the late distribution of the paper and clarified that it is important to be looking at the latest information, and it wouldn't be beneficial looking at information from November 2019.

Mr Jones provided the following updates:

- There are no new risks
- 9 High priority risks (STR0015, STR0016, STR0050, STR380, STR0055, STR0078, STR0081, STR0083 & STR1679)
- No risks have been archived

Diminished Capacity and Lack of Accreditation within CSI (STR0055)

Mr Prince raised concerns regarding if one force fails, then the whole region fails. It was queried if we are keeping in contact with other forces. Mr Nixon assured members that regular communication occur at the EMSOU Management Board.

Maintaining Workforce Wellbeing (STR0016)

Mr Dundas queried why the sickness days for Police Officers have decreased but staff sickness has increased. Rob Nixon informed the panel that this could be stress related or possibly due to staff being on long term sick. It was also highlighted that in certain areas of the Force, pre-screening now in place due to the nature of the role and what they may be exposed to.

Mr Dundas proposed that figures are provided with an average/mean number.

Action: Mr Jones agreed that average/mean numbers will be included within the next report

09/20 Feedback from SORB

Mr Nixon provided detailed feedback on the recently held SORB meeting on 14 November 2019. He updated the panel verbally on the following points:

- Reduced capacity Regional Occupation Crime Unit (ROCU)
- Funding
- Airwave coverage at Leicester Royal Infirmary
- Computer misuse is on the downward trend
- Civil claims

The panel were CONTENT with the update from SORB.

10/20 Work Programme

The panel received a copy of the work programme up to October 2021 which was presented by Mr Dawkins.

Mr Dawkins invited members to make comments on the proposed Work Programme and noted that throughout the year, the work plan may change but we will use it as a working document.

11/20 Any other Business

Mr Prince thanked everybody for attending the board.

Mr Dundas congratulated the Force on receiving an Open and Transparency Award.

Date of next meeting

Wednesday 15 April 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>23.10.19 -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>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> <p>23.01.20 – Queried if still on track to resolve by April 2020. DCC confirmed the data sets have been sent to Unison which are still in negotiation. A gold group its taking place early Feb relating to HAYS. DCC confirmed they now also have an ACO which have joined the Force for HR. who is getting up to speed with the HAYS journey and has met with Unison. Action ongoing.</p> |

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JARAP – ROLLING ACTION SHEET

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| 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 | 03.04.19 – Discussions held and as TOM evolves this will be included in the framework 10.10.19 – Still in work in progress linked to the TOM |
| 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 | 30.05.19 – This cannot be addressed just yet and will be carried forward. 10.10.19 – Once a draft questionnaire has been put together it will be shared – target date Nov 2019 23.01.20 – Questionnaire is complete. Abbey to distribute the link to JARAP members. 29.01.20 – Abbey unable to distribute the Questionnaire due to expiring. |
| 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 | 10.10.19 – Number of Regional Audit conducted details of which are included in the Mazars progress report |
| 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 | 23.01.20 – outstanding |
| 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 23.01.20 – To provide a trend line at the end of each year. |
| 24.07.19 | 25/19 | C | Mr Nixon to invite Mr Dundas and Mr Prince to appropriate focus groups | DCC Nixon | 23.01.20 – DCC has chased; awaiting an update |

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JARAP – ROLLING ACTION SHEET

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| 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 | 23.01.20 – Decision to be made end of February 2020. |
| 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"> • 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. • Peter Coogan to ensure Ian Prince is invited to the upcoming Executive Health & Safety Committee meeting. | DCC Nixon | |

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JARAP – ROLLING ACTION SHEET

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| | | | <u>Recommendations to be closed</u> <ul style="list-style-type: none"> • The Health & Safety recommendation 4.4 can be closed. • 4.1 Complaints Management • 4.2 Case Closures • 4.1 Governance | | |
| 23.10.19 | 43/19 | D | <u>Ineffective Tracking of Force Assets (STR0078)</u> <ul style="list-style-type: none"> • Mr Nixon to check the progress of recording captor on the asset tracking system and update JARAP. <u>Back-up Generators (STR0083)</u> <ul style="list-style-type: none"> • 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. | DCC Nixon/ Ms Jebson-Hambly | |
| 23.10.19 | 46/19 | F | <u>Annual Effectiveness Review</u> <ul style="list-style-type: none"> • Mr Pulford will respond to Mr Harris in writing (Paragraph 3.9 of the effectiveness review) | Mr Pulford | |
| 23.10.19 | 47/19 | G | <u>Work Programme</u> <ul style="list-style-type: none"> • 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. | Ms Hughes | 19.12.19 Work programme draft complete – future dates have been signed off. |

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JARAP – ROLLING ACTION SHEET

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| 23.01.20 | 04/20 | | Power Bi demonstration towards the end of 2020 (October) | Ms Dearden | |
| 23.01.20 | 05/20 | | Circulate the Governance framework to JARAP members for comments | Mr Dawkins / Ms Hughes | |
| 23.01.20 | 06/20 | | Arrange HR & recruitment during a pre-briefing | Ms Dearden | |
| 23.01.20 | 06/20 | | <u>Victims Code of Practice – Jan 17</u> Clarity on the date for completion and a briefing of TOM | Mr Nixon | |
| 23.01.20 | 06/20 | | Update on Civicas resource at the next meeting | Mr Dawkins | |
| 23.01.20 | 08/20 | | Use of mean/average numbers to be included in the next report | Mr Jones | |