

**Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP)**  
**held via Microsoft Teams at 10:00am on Tuesday 27 April 2021**

*Pre-briefing did not take place due to staffing issues*

**Present**

Mr Luke Pulford (Chair), Mr Ian Prince, Mr Leon Dundas, Ms Janette Pallas, Mr Ashif Bhayat

**Also in attendance**

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

Mr Paul Dawkins (Chief Finance Officer)  
Ms Kira Hughes (Resource Manager)

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

Mr Rob Nixon (Deputy Chief Constable)  
Mr Roy Mollett (Inspection Liaison & Project Officer)  
Mr Paul Dawkins (Chief Finance Officer)  
Mr Matt Jones (Health & Safety Advisor)

**Auditors**

Mr Neil Harris (Ernst and Young)  
Mr Mark Lunn (Mazars)

**14/21 Apologies**

No apologies were noted.

**15/21 Urgent Business**

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

Mr Nixon highlighted some key points: The Force are going through a busy period with year-end and there are lots of changes around Covid and responding to the restrictions being lifted. In the last two weeks, there has been three murders which the Force are responding to; one in particular involved a stop-check by Officers and the other two were relating to domestic matters.

**16/21 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.

**17/21 Minutes of the meeting held on 26 January 2021 and Rolling Action Sheet**

The minutes of the meeting held on 26 January 2021, were discussed and confirmed as a true and correct record.

The rolling action sheet was updated and a copy is attached within the minutes.

**18/21 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 the following key points:

- Pre-Covid there would have been more final reports by this stage, but working remotely has affected this
- In terms of getting field work planned and started, they have managed to do everything apart from 2 which were scheduled for April; Medium Term Financial Planning and payroll provider
- Finalised the 19/20 collaboration audit report
- Issued draft reports for 21/22, 2 collaborative audits which were planned
- Two final reports issued: wellbeing and vetting, both with satisfactory assurance.

Mr Lunn queried with members if they would like to see finalised reports before the next meeting (as there will be approx. 8 reports finalised by July 21). Members agreed they would be happy to see the reports prior to the meeting, but to also bring them along to the next meeting.

It was agreed that Mr Lunn will link in with Elaine (Collaboration Manager) to provide clarity on the two final reports.

Ms Pallas highlighted on pages 15-16 of the report relating to wellbeing, there are some contradictory statements around data analysis and queried if this is taking place. Ms Pallas explained if this is taking place, it would be useful to include this at the next Power Bi demo. Mr Nixon explained data analysis is taking place, through a variety of HR related data along with some workforce survey information and engagement.

#### **19/21 Draft Internal Audit Operational Plan 2021/22 & Internal Audit Charter**

The panel received a report from Mr Lunn (MAZARS) on the Draft Internal Audit Operational Plan 2021/22 & Internal Audit Charter. The report marked 'C' is filed with the minutes.

Mr Lunn highlighted:

- New format
- Within section two, it discusses plan laid out in terms of number of days/areas
- Plan to look at recruitment and Health and Safety this year

The Chair highlighted he liked the new format, found it easy to follow, and found it a much better read.

#### **20/21 Internal Audit Recommendations & Tracking**

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

It was agreed to go through this agenda item by exception. The Chair clarified anything that is skipped and proposed close, members are accepting.

The panel considered the detailed recommendations contained in Appendix A within the report and highlighted the following points:

- **Seized & Found Property – Limited Assurance March 2018**  
Fundamental – 4.1 Missing Firearm
  - Ms Pallas highlighted there is good progress being made. Suggested having a demo of results in Power Bi
- **GDPR – Satisfactory Assurance - February 2019**  
Significant – 4.3 Reporting of all agreed KPIs

- Mr Nixon explained he has changed the direction of travel and has said he wants it to be corporately owned and that a review is ongoing of corporate services and capabilities.
- **Recruitment – Satisfactory Assurance - September 2019**  
Fundamental – 4.1 Implementation of Action Plan
  - Ms Pallas explained that this is a good update

It was agreed to close: Leadership management development, missing persons, estates and vetting.

Mr Prince explained that within Paper D's Addendum "Significant 2.2 No central oversight over repair works" he believed Andrew Roe would get back to members after their meeting to allow progress with this item, this has not yet been actioned.

## **21/21 External Audit Progress Update / External Audit Plan 2021/22**

The panel received a verbal update from Mr Harris on the External Audit Progress Update and External Audit Plan 21/22.

Mr Harris provided an update:

- Started routine planning and walkthrough procedures ahead of the 2021 external audit of the PCC and CC financial statement
- There are some resourcing issues: sickness absence of the audit manager on the audit, who is due to return on 4<sup>th</sup> May
- 'Provisional' timetable is scheduled to begin at the end of June. Confident that they will be able to complete the external audit of financial statements before end of September
- Proposed scale fee variation of £18,360
- Timelines for receiving audit plan: end of May 21
- Expects the value of assets will still appear a higher inherent risk on the audit
- Two areas that they'll cover which are new in terms of audit approach and strategy, there's a new auditing standard on estimates and the medium-term financial strategy; changed reporting requirements on value for money
- As well as annual audit letter, there is now a requirement to produce an annual report – this will be issued a maximum of 3 months after they have issued the stator audit report

## **22/21 Risk Register**

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

The Chair questioned the absence of the OPCC risk register, Mr Dawkins explained that the plan was to bring the OPCC risk register to the JARAP on a quarterly basis.

### **Action: Agreed to bring the OPCC Risk Register to the next meeting**

#### STR0187 – Churn of staff and ongoing establishment pressure

Mr Prince asked for a snap shot how things are going with meeting target numbers for anticipated vacancies. Mr Nixon discussed they are achieving their recruitment targets – a churn of 42%. Last year the Force recruited 385 Officers. The average churn for the Force is usually 150 year on year. On track to recruit 280 this year despite Covid. Within the recruitment, the Force set themselves an ambitious target around the 1 in 4 coming from Black, Asian and minority ethnic communities.

#### STR380 – Current JES non-equalities compliant and the implementation of new JES scheme carries risk

Mr Prince agreed it was a good idea to consider splitting the risk but holding off at the moment.

### **23/21 Feedback from SORB**

Mr Nixon provided an update on the recently held SORB meeting, updating the panel verbally on the following points:

- Keep the focus on the risk register and the audit
- Covid has a separate risk register: pleased with the work that has been completed – estates, screens in custody, screens at front enquiry desks. There have been 2 outbreaks (major crime & contact centre) where the Force worked with Public Health
- Few risks added at the meetings: CSI's and accreditation
- Information security: incident where the Force brought in a new digital evidence management system a few months ago, had a slight information breach – someone from IT deleted some digital evidence which has now been recovered and a fail-safe has now been implemented so this cannot happen again. Minor information assets had been misplaced during operational duties, five in total – debrief for learning
- GDPR compliance concerns within EMSOU

### **24/21 Fraud and Corruption**

Mr Nixon provided a verbal update on fraud and corruption:

- No significant change from the last update
- Have not shifted or reduced any capability
- Routinely get inspected by the HMIC and counter corruption capability
- From an audit perspective, the Force has picked up there will be changes to vetting: frequency of review vetting process

Mr Nixon asked members if a verbal update is sufficient to discharge from an audit perspective, or whether a written report is produced after a HMIC inspection (which is annually). The Chair noted Mr Nixon's comment, and agreed to come back to Mr Nixon with his views.

**Action: Chair to confirm if members would like a written report on fraud and corruption annually (after HMIC inspection)**

### **25/21 JARAP Terms of Reference Annual Review**

The Panel received a report from Mr Dawkins on the JARAP Terms of Reference Annual Review. The report marked 'F' is filed within the minutes.

The Chair explained he has had conversations with members over the last several months relating to the ToR, and agreed to amend the document with track changes on a few sections with comments.

**Action: Chair to amend ToR reflecting members views/comments and send to Mr Dawkins. Agreed to bring this report back to the next meeting with the amendments for sign off**

### **26/21 Force and OPCC Meetings 2021**

The Panel received a report from Mr Nixon on the Force and OPCC meetings for 2021. The report marked 'G' is filed within the minutes.

The panel NOTED the list of meetings proposed for the force and OPCC for 2021.

### **27/21 Force Management Statement and Force Planning Cycle**

The panel received a verbal update from Mr Nixon on the Force Management Statement and Force Planning Cycle. Key points:

- As part of the planning cycle, the Force Management System was developed – used for the Force and HMIC
- The document is in the process of being collated, and will be submitted in May 21
- Shows change in demand and how the Force understand the risks

Mr Nixon suggested once the document is finalised to bring back to JARAP.

**Action: include Force Management Statement on the work plan for July 21**

The panel NOTED the update on the Force Management Statement.

#### **28/21 Update on Progress against the Victims' Code of Practice**

The panel received the report from the Chief Constable on progress against the Victims' Code of Practice. A copy of the report marked 'H' is filed with the minutes.

Mr Nixon highlighted that the progress is being tracked and monitored on a regular basis. One key point which was highlighted is that the Forces compliance with updates for the victim code is 57%: Mr Nixon explained that there is an issue with crimes being record.

Mr Prince suggested that an update is provided in 6 months-time to review how it's performing (figures). Mr Nixon agreed to bring this report back in 6 months-time to allow sufficient data and will be able to provide trendlines.

**Action: To have an update on Progress against the Victims' Code of Practice at January 22 JARAP meeting – to include trend lines on figures**

#### **29/21 Work Programme**

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

Ms Pallas raised that the Statement of Accounts are on the agenda for July 21, and questions with accounts if this is likely to be met, as last year there were some challenges. Mr Dawkins suggested this should be achievable.

Mr Nixon raised that a new incoming PCC will start their term in office during May, and it would be worth arranging a meet and greet session to run through the JARAP.

**Action: Abbey to organise an introductory session for new PCC and Chair**

#### **30/21 Any other Business**

The Chair thanked Mr Dundas for his work over his several years on the JARAP, highlighting he has brought some fantastic insight and perspective and for his dedication.

Mr Nixon expressed his thanks on behalf of the Force and expressed his personal thanks for the insights he has brought to some of the forums and wished him good luck with his next chapter.

The Chair also thanked Mr Prince for his support over the last few years and explained Mr Prince has added a huge amount of value to the JARAP. Mr Nixon explained on behalf of the Force, that it has been a privilege to get to know Mr Prince and is grateful for the support he has provided in the Health and Safety. Mr Nixon stated he wished Mr Prince good luck with his next chapter.

Mr Dawkins also expressed his thanks for the support over the years.

**Date of next meeting**

Wednesday 21 July 2021  
10:00am – 12:00pm  
Microsoft Teams

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Last updated: 09/07/21

Meeting Date	Minute No.	Action	Person Responsible	Update
19/09/18	45/18	Mr Dawkins to provide information on the job evaluation process when the exercise has been finalised.	Mr Dawkins	<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> <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>23.01.20</b> – 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> <p><b>16.10.20</b> - HAY job evaluation process still ongoing. Alistair Kelly joined as new ACO who is leading on this work. An offer was sent to Unison last year, which they subsequently responded with a</p>

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				<p>number of request. Some of which are easy to meet and achieve and others are complex. Mr Nixon highlighted that he is unable to provide a target date for completion as some further work still needs to take place.</p> <p><b>26.1.21</b> – no change, currently in process of doing some further work for further evaluation so this will run down for at least another 12 months is the current thinking.</p> <p><b>27.4.21</b> – dedicated HR team to progress new pay assimilation modelling during 2021/22. Outcome and implementation time scales are currently unknown.</p> <p>21.7.21 – No change to 27.4.21</p>
11.12.18	54/18a	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> <p><b>05.10.20</b> - SOH is a national project and therefore any updates are national rather than local. The SoH team are running a pilot for DA reporting, which they hope to have a go live date early in 2021. We are linking in with one of the pilot forces in order to see if it is suitable for Leicestershire and provide feedback.</p> <p>The “contact us” section within SoH is being reviewed by the NPCC leads and will be sent out for feedback. This part of SoH will be included within the Contact Strategy as to how we can better communicate with victims of crime.</p> <p><b>26.1.21</b> – Action outstanding, it was agreed to have a conversation after the meeting (26/1).</p>



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				<b>07.07.21</b> – Focus group with Mr Dundas is in process of being established
25.04.19	04/19	Mr Dawkins 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> <p><b>23.01.20</b> – Questionnaire is complete. Abbey to distribute the link to JARAP members.</p> <p><b>29.07.20</b> – Mr Dawkins confirmed the questionnaire was distributed and the panel will receive one this year for the financial year 21/22.</p> <p><b>16.10.20</b> – Actioned</p> <p><b>26.1.21</b> – Different approach this year rather than sending out the standard questionnaire, the OPCC have engaged with a third party who took some focus group work and telephone survey work. The report came into the OPCC on 25.1 and it was agreed to share with the JARAP once it has been discussed with the Police and Crime Panel. Paul Dawkins to circulate the survey results.</p> <p><b>27.4.21</b> – results of survey shared with Members.</p> <p>21.7.21 - Closed</p>
25.04.19	17/19	Mr Nixon to liaise with Mr Dundas in order for him to be involved in the victim user workshops.	DCC Nixon	<p><b>23.01.20</b> – outstanding</p> <p><b>29.07.2020</b> – Leave open until October</p>


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				<p><b>05.10.20</b> - The VRN have been contacted. They do not run any victim workshops. Victim First have been contacted to see if Mr Dundas can assist in this area – awaiting reply.</p> <p><b>27.4.21</b> – Mr Nixon confirmed he would like to see this through and will get liaise with Mr Dundas. Mr Nixon confirmed this will be actioned before the next meeting in July 21.</p> <p><b>07.07.21</b> – Focus group with Mr Dundas is in process of being established</p>
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	<p><b>05.10.20</b> - Each strand of Wellbeing has a Superintendent lead. Three meetings have taken place this year with the next one at the End of October. During COVID-19 HR have been in contact with every officer and staff who are self-isolating, completed surveys as well as having webinars to answer questions, concerns and share good practice. Risk assessments for staff who are shielding have been completed prior to any return to work. Meetings have taken place with plans to amalgamate all the gym across the NPA's into one membership allowing staff to use any gym they choose.</p> <div style="display: flex; justify-content: space-around; align-items: flex-end;"> <div style="text-align: center;">               Financial Wellbeing and Resilience Plan or         </div> <div style="text-align: center;">               Wellbeing on a slide.pptx         </div> <div style="text-align: center;">               Physical wellbeing on a page.pptx         </div> </div> <p><b>16:10.20:</b> after reviewing the PowerPoints it was discussed that there are numerous benefits but no explanation is provided as to how they will be achieved (resourced and delivered). Mr Nixon provided clarity that in terms of how it is being resourced is through a theme lead who have sub-groups that are pulled together, Mr Nixon then provides updates. It was agreed to invite JARAP members to join a Health and Wellbeing Board meeting.</p>

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				<b>07.07.21</b> – Wellbeing Strategy & updates from the wellbeing & Leadership board circulated. Janette Pallas invited to attend the Wellbeing & Leadership Board meeting.
29.07.20	22/20	<u>Internal Audit Progress Report</u> To confirm figures on page 7 (significant & housekeeping priorities)	Mr Lunn	<b>27.4.21</b> - Final Report of Leadership & Management Development had one Priority 2 and two Priority 3 recommendations.
16.10.20	33/20	<u>Internal Audit Recommendations &amp; Tracking</u> <b>Victims Code of Practice - January 2017</b> VCOP pro-forma/document to be shared with members prior to VCOP pre-briefing & Members to receive a document outlining the process of how compliance is monitored and have an up-to-date compliance rate & Mr Nixon to look at Victim Satisfaction (OOC) and update Mr Dundas.	DCC Nixon	<b>07.07.21</b> – Members were updated at the April meeting a further VCOP position statement to be circulated to members prior to the meeting.
16.10.20	37/20	<u>Annual Collaboration Update</u> Mr Dawkins and Chair to meet to discuss annual collaboration meeting of JARAP Chairs	Mr Dawkins / Mr Pulford	<b>27.4.21</b> – Confirm this meeting still required ?  27.4.21 – Mr Pulford expressed it would be good to formalise and to link in with Mr Dawkins to discuss what the meeting would be required to achieve: meet audit panel chairs once a year to discuss ongoing issues, shadow learning and best practice.  <b>21.7.21</b> – meeting being arranged
26.01.21	6/21	<u>Internal Audit Recommendations &amp; Tracking</u> A demonstration of the digital information asset register to be	Ms Dearden & Mr Mollett	<b>27.4.21</b> – scheduled for this meeting, but due to staffing issues this will be deferred.  <b>9.7.21</b> – This is now scheduled for July 21 pre-briefing. Propose close.

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		arrange via information management (for April targeted pre-briefing)		
26.01.21	6/21	<u>Internal Audit Recommendations &amp; Tracking</u> Mr Nixon to brief Ms Pallas on the next Digital Futures Board	Mr Nixon	<p><b>4.2.21:</b> Ms Pallas has confirmed she will be attending the Digital Futures meeting taking place on 14/4/21.</p> <p><b>27.4.21:</b> April Digital Futures meeting cancelled, Ms Pallas invited to the next meeting taking place in June 21.</p> <p><b>07.07.21</b> – Ms Pallas invited and attended meeting; action complete.</p>
26.01.21	6/21	<u>Internal Audit Recommendations &amp; Tracking</u> Mr Mollett to provide an example of the proposed new report format	Mr Mollett	<p><b>27.4.21</b> – shared with panel members.</p> <p> Action260121 6_21 - Proposed new report</p> <p><b>27.4.21</b> – members agreed to look at this paper outside of the meeting and report back (to be included in meeting minutes).</p> <p><b>30.6.21</b> – Roy Mollett contacted the Chair on the 22<sup>nd</sup> June seeking a position on the proposed new progress tracking report relating to the Mazars audit recommendations. The panel have initially agreed to the draft suggested format and kindly suggested some additional points for development, these include:</p> <ul style="list-style-type: none"> <li>• <i>We like the fact that that key milestones going forward are reported.</i></li> <li>• <i>It would be good to ensure that evidence is kept, i.e. dip sampling, improvements.</i></li> <li>• <i>It would be good to get the initial/first milestones and dates are kept so we can see when there have been delays etc.</i></li> </ul> <p><i>It looks good, I am sure there will be more comments and suggestions as we move forward and start using it practically.</i></p>

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				The above feedback will most certainly be actioned going forward and look forward to further suggested development.  <b>Propose Closed</b>
26.01.21	12/21	<u>Work Programme</u> Organise a L&D pre-briefing for October 2021	Ms Dearden	<b>7.7.21</b> – included on work plan, propose close.
27.04.21	18/21	<u>Internal Audit Progress Report</u> To link in with Elaine (collaboration manager) to provide clarity on the two final reports	Mr Lunn	<b>27.4.21</b> – Email from Elaine shared with Chair of JARAP to outline how recommendations are tracked.
27.04.21	22/21	<u>Risk Register</u> To bring back the OPCC risk register to the July 21 meeting	Ms Dearden	<b>7.7.21</b> – complete, propose close
27.04.21	24/21	<u>Fraud and Corruption</u> Chair to confirm if members would like a written report on fraud and corruption (annually – after a HMIC inspection)	Chair / Panel	
27.04.21	25/21	<u>JARAP Terms of Reference</u> Chair to amend ToR reflecting members views/comments and send to Mr Dawkins. Agreed to bring this report back to the next meeting with the amendments for sign off	Chair / Panel	
27.04.21	27/21	<u>Force Management Statement and Force Planning Cycle</u> To include FMS on the workplan for July 21	Ms Dearden	<b>7.7.21</b> – complete, propose close.
27.04.21	28/21	<u>Update on progress against Victims Code of Practice</u>	Ms Dearden / Mr Nixon	<b>07.07.21</b> – to be added to Jan 22 agenda; for completeness action 33/20 the force has shared the current ongoing work on VCOP

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		To have an update on progress at January 22 – to include trend lines on figures		
27.04.21	29/21	<u>Work programme</u> Abbey to organise an introductory meeting between new PCC and Chair	Ms Dearden	<b>9.7.21</b> – September meeting dates sent to Luke Pulford, awaiting a response.