

Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP)
held via Microsoft Teams at 10:00am on Friday 16 October 2020

Pre-briefing: 09:15 – 10:00: COVID related issues presented by DCC Rob Nixon (Leicestershire Police)

Present

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

Also in attendance

Office of the Police and Crime Commissioner (OPCC)

Mr Paul Dawkins (Chief Finance Officer)
Ms Kira Hughes (Resource Manager)
Mr Paul Hindson (Chief Executive)
Ms Abbey Dearden (Business Staff Officer)

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)

28/20 Apologies

Apologies were noted for Mr Ashif Bhayat (JARAP Member).

29/20 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.

30/20 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.

31/20 Minutes of the meeting held on 29 July 2020 and Rolling Action Sheet

The minutes of the meeting held on 29 July 2020, were discussed and confirmed as a true and correct record.

Mr Prince discussed that within 'Any Other Business' he highlighted if the allegations of Modern Slavery in Leicester which has brought a lot of political and press interest, has been considered as a potential risk to the Force or OPCC. Mr Nixon assured the Panel that the Force are alive and aware of this, and that a Task Force has been assembled to target this issue.

Updates – rolling action sheet:

- 45/18: 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 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.
- 24/19: to replace Mr Welch with Mr Lunn
- 27/19: 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 meeting.
- 33/19: no further risks have been identified relating to IICSA.
- 18/20: ensure all JARAP members receive a copy of SORB minutes
- 15/20: reminder if a document has embedded links, to send as word rather than PDF
- 17/20: OPCC Risk Register – draft version to be circulated prior to Christmas. Final version to be brought to the next meeting (January 21)

Members agreed on accepting and closing the following actions:

- 06/20
- 15/20

ACTION: To include an update on JES at the pre-briefing in January 2020 (focusing on HR, Recruitment, L&D)

ACTION: to invite JARAP members to join the next Health and Wellbeing Board.

ACTION: to share the draft OPCC Risk Register with JARAP members and to include OPCC Risk Register on January 21 agenda

32/20 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.

The Panel queried a statement within the Health and Safety Collaboration section "OHU would benefit from a Business Support Manager" and asked if this had happened. Mr Nixon discussed that some support had been provided but not a 'Support Manager' role. It was highlighted that this is up for further discussion at the next Regional Deputy Board.

Mr Lunn noted:

- Due to COVID less audits have took place
- Good plans are in place to deliver all audits within the set timeframe

33/20 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 panel considered the detailed recommendations contained in Appendix A within the report and highlighted the following points:

- **Victims Code of Practice - January 2017**
Significant – Providing Information to Victims 4.4

- Mr Dundas raised a query with regards to the design phase and suggested that they look at users. Mr Dundas explained that there is very little out there in terms of Victim Lead Organisations and wondered if Leicestershire Police would consider organising something – by having the people who would benefit from the service adds credibility and strength. Mr Nixon agreed that the Force need to accelerate this and in terms of identifying some users, seeking views on current and intended future services is an absolute.
- Mr Prince asked when JARAP members have the pre-briefing on VCOP, the words ‘written acknowledgement’ were used a lot, and asked if the Panel have sight of the pro-forma/document and before the pre-briefing can the Panel see the process for how compliance is monitored and have an up-to-date compliance rate.
- Mr Dundas raised that he had sight of some audit process reports over a year ago and there were some concerns about matters being disposed of that did not meet the threshold/victim agreement/victim involved at the time. Mr Nixon highlighted that anything that is an ‘out of court disposal’ the Force looks at victim satisfaction feedback.

ACTION: VCOP pro-forma/document to be shared with members prior to VCOP pre-briefing

ACTION: Members to receive a document outlining the process of how compliance is monitored and have an up-to-date compliance rate.

ACTION: Mr Nixon to look at Victim Satisfaction (OOC) and update Mr Dundas

- **Fleet Management - September 2018**

- Significant – 4.2 Sample Check of Service Details

- Concerns were raised that this has been delayed again and queried: is a mechanic entering data effective use of time; will the system need to be upgraded before it's implemented as it is 2 years after the original expected implementation date; how confident are the Force with the supplier; and was there any automated data conversions. Ms Pallas asked for a progress update to be produced for January '21 meeting. Mr Dawkins noted that hopefully by the New Year this will be actioned.
 - Mr Nixon discussed that every project that is currently taking place has touch points with IT. The Force currently has 402 Digital Programmes of work which they're managing – high demand and they have a system in place which organised jobs by their priority.
 - Mr Nixon invited Ms Pallas to join one of the Digital Futures Boards.

Action: Ms Pallas to be invited to the next Digital Futures Board

- **Recruitment - September 2019**

- Significant – 4.1 Retention of recruitment documentation

- Ms Pallas agreed to close and highlighted there was good evidence.

- **Workforce Wellbeing & Absence Management - September 2019**

- Significant – 4.1 Review of Policies and Procedures

- Mr Prince raised within the 7 outstanding procedures, some may have a greater risk than others and wonders at this stage is it worth highlighting these rather than looking at the date, going by the risk basis.
 - Mr Nixon discussed, this is how they had been picked off, but will check and update at the next meeting.

- Significant – 4.2 Wellbeing Groups Terms of Reference

- Really useful evidence, and agree propose close.

- **Leadership and Management Development – January 2020**

Housekeeping – 4.2 Performance Development Reviews

- Mr Prince agrees with closure, but queries why there is a wide range of performance across the areas and wonders if any work has been carried out on ascertaining why there is such a wide difference between the best and worst performing areas.
- Mr Nixon discussed in terms of PDR's they are looking to reconfigure these to become more of an ongoing conversation, overlaying this, once the Force can connect personal data into Power Bi system (to take place soon), they will be able to pull out performance schedule on individuals.
- Anticipate to have the new framework/dashboards in place and connected to personal data by April 2021.

Housekeeping – 4.3 Evaluation Analysis

- Agreed closure

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

34/20 Risk Register

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

STR0198 - Uncertainty regarding future COVID19 restrictions on the public and lack of notice when restrictions change

Mr Prince queried with the current news coming in relation to further restrictions, if the score would change. Mr Nixon discussed that the Force has a standing weekly Gold Group which reviews risks and will be picked up there.

STR0055 - Diminished Capacity and Lack of Accreditation within CSI

The Chair asked for clarification if when employees start working for the Force, do they automatically train or is it still appropriate accreditation on the job. Mr Nixon clarified that new employees don't come into Force trained, they go through an accredited programme in order to become trained.

STR0173 - Risk of an information security breach when staff are working from home during COVID-19

Mr Prince questioned if any integrity testing has been carried out. Mr Nixon explained the Force have not done any penetration testing, but they have a very vigorous audit regime around what people are accessing, so any suspicious behaviour would be flagged and raised. Mr Nixon also explained to the Panel that this is routine, and has not changed as a result of COVID.

35/20 Feedback from SORB

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

- Agreed to circulate the minutes of the last meeting
- Focusing on business continuity
- Asset management tracking: want to resolve this issue and bring in the IT solution which comes with this and overlay with operational equipment

Mr Prince confirmed he had received the report on archived risks and notice that two of the risks (0079 and 1329), both linked to a no deal Brexit and queried if they will come back into focus. Mr Nixon confirmed that these achieved risks have come back into focus and that the Brexit Planning Team have reconvened.

The Chair suggested if going forward, if the Panel can receive, new risks, high risks and risks that are being archived, within the new risks if anything has come out of archived can it be flagged for completeness – this will ensure things aren't forgotten.

DCC Nixon left the meeting

Action: Mr Jones to include archived risks in the report going forward

36/20 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 Chair has received some amendments from members and will update the document as per their request. Mr Dundas raised a point about whether given past experience of slow recruitment of replacement JARAP Members, that this should be on the Risk Register as a governance Risk.

The Panel NOTED the content of the report.

37/20 Annual Collaboration Update

The Panel received a report from Mr Hindson on the Annual Collaboration Update. The report marked 'G' is filed within the minutes.

Paul provided the Panel with some background of the paper and invited members to ask questions.

Mr Dundas questioned as this is a public document, in terms of readability it may be beneficial to see the local partnership work from the most strategic regional collaboration.

Mr Dundas also highlighted in relation to item 17 (EMCJB), that he would like more specificity on the impact: timeframes to come up with solutions. Mr Hindson agreed to share the plan but he cannot provide timescales as it is out of his control.

The Chair asked if some of the stats included in the report could be graphically represented to bring the report to life. Mr Hindson agreed to share graphics previously shown to the Police and Crime Panel in October.

ACTION: Mr Hindson to share graphic relating to collaboration

The Chair proposed that it may be beneficial for an annual meeting to take place for all the Chairs of the collaborations to make sure everyone is assured about the work.

ACTION: Chair and Mr Dawkins to discuss annual collaboration meeting of JARAP Chairs.

The Panel agreed to NOTE the content of the report.

38/20 19-20 Audit Planning Report & External Audit progress update

The panel received a report Mr Harris on the External Audit Planning Report. The report marked 'D' is filed with the minutes.

Mr Harris provided an update:

- Making good progress on the conclusion of the external audit
- Despite the impacts of COVID, the team have worked well
- In a good position to complete the audit before the end of November 2020
- Fees: PSA are still to determine last year's fee

39/20 Work Programme

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

It was agreed that the ideas section is for members use only, and not to be shared via OPCC website.

The Chair also highlighted that members have a meeting scheduled at the end of October 2020 to meet with the Auditors (without officers present).

40/20 Any other Business

Nothing raised.

Date of next meeting

Tuesday 26 January 2021
10:00am – 12:00pm
Microsoft Teams

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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>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>23.10.19 -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>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> <p>16.10.20 - 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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				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.
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>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> <p>05.10.20 - 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>
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>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> <p>23.01.20 – Questionnaire is complete. Abbey to distribute the link to JARAP members.</p> <p>29.07.20 – Mr Dawkins confirmed the questionnaire was distributed and the panel will receive one this year for the financial year 21/22.</p> <p>16.10.20 – Actioned</p>

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25.04.19	05/19	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	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 29.07.2020 – Leave open until October 05.10.20 - 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.
24.07.19	24/19	Summarise the direction of travel on audits that have taken place over the last four years using the Audit Annual Report	Mr Lunn	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. 16.10.20 – name changed from Mr Welch to Mr Lunn
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	05.10.20 - 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.    Financial Wellbeing and Resilience Plan or Wellbeing on a slide.pptx Physical wellbeing on a page.pptx 16:10.20: after reviewing the PowerPoints it was discussed that there are numerous benefits but no explanation is provided as to

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				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.
24.07.19	33/19	Mr Dakwins to send round the IICSA public inquiry website link.	Mr Dawkins	<p>23.01.20 – Decision to be made end of February 2020.</p> <p>29.07.20 - IICSA due to recommence in October (exact date TBC). Once confirmed with be shared with members.</p> <p>16.10.20 – Inquiry recommenced. https://www.iicsa.org.uk/ No further risks have been identified.</p>
23.10.19	41/19	<p><u>Recommendation 4.3 Communication with Victims</u> Mr Nixon to share the VCOP audit methodology to the JARAP panel.</p> <p><u>Recommendation 4.4 Spot checks of accidents /incidents</u></p> <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. <p><u>Recommendations to be closed</u></p>	DCC Nixon	<p>05.10.20 - Caroline Barker emailed. Job specifications were sent last year (2019)</p> <p>06.10.20 - Currently, the team audits compliance to the Victims Code twice a year. The audit looks at a sample of 100 crimes that have been open for 28 days or longer, and 50 crimes that have been open for less than 28 days. The audit looks at whether the victim has been given written details of their crime number, whether the VPS/IBS has been explained to the victim and also whether the victim has been updated every 28 days (or within the time period the victim has requested). This part of the audit can only be completed by manually reading through each OEL within the crime report, currently there is not a way in which this information can be extracted from Niche.</p> <p><u>Future plans</u> This work will now be undertaken by performance analysts who are working on getting the information into a monthly report via Power BI. The information they can get includes:</p> <ul style="list-style-type: none"> Was a VCOP report created

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		<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 		<ul style="list-style-type: none"> Has the victim been signposted to support services and explained the expectations around criminal justice services Has a needs assessment been completed? <p>This information is fed back through the VCOP Delivery Group.</p>
23.10.19	43/19	<p><u>Ineffective Tracking of Force Assets (STR0078)</u></p> <ul style="list-style-type: none"> Mr Nixon to check the progress of recording captor on the asset tracking system and update JARAP. <p><u>Back-up Generators (STR0083)</u></p> <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	<p>05.10.20 - There is now a new policy and procedure in place.</p> <ul style="list-style-type: none"> Working Group identified a loophole in processes whereby canisters retained evidentially were eventually being disposed of without INCA being updated. Solution put into place to address this. Working Group identified security concerns in disposal processes. Solution identified – the company who supply us the canisters now have the contract to dispose of the old ones. Working Group identified issues around creation of users on INCA. IT processes now being scrutinised to ensure JML process is fit for purpose. Concerns raised in Working Group about security arrangements in Supplies. Funding obtained from SSD, meaning that both new and old canisters at FHQ will be housed under appropriate security Progress still needs to be made regarding replacement asset tracking (multi asset?) in the medium/long term. Equitrax has been ruled out as the supplier will not support it.
23.01.20	04/20	Power Bi demonstration towards the end of 2020	Ms Dearden	
23.01.20	05/20	Circulate the Governance framework to JARAP members for comments	Mr Dawkins / Ms Hughes	29.07.20: Actioned

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				16.10.20: EMPLS and PCC reviewing legal aspects.
23.01.20	06/20	Update on Civicas resource at the next meeting	Mr Dawkins	29.07.20: no update to provide, has been affected by COVID. Paul Dawkins to chase an update and provide feedback. 07.10.20: Civica the external supplier have appointed Paddy Chadderton as account Manager. Project Management is being handled by Lucy Bowie and now Siôn White as the previous contact left Civica's employ.
23.01.20	08/20	Use of mean/average numbers to be included in the next report	Mr Jones	
29.07.20	16/20	<u>Internal Audit Recommendations & Tracking</u> To distributed a copy of the individual risk assessment form which has been developed by HR (WFH)	Mr Jones	31.07.20: Actioned and distributed to members
29.07.20	17/20	<u>Risk Register</u> To share the OPCC risk register once finalised	Mr Dawkins	16.10.20: workshop took place last month which prompted further work. It was agreed that a draft risk register will be produced before Christmas and the final version will be shared at the next meeting (January 2021).
29.07.20	17/20	Mr Jones to produce a summary document of risks which have been archived	Mr Jones	09.09.20: Actioned and distributed to members
29.07.20	18/20	SORB meeting papers to be shared with JARAP after the meetings take place	Ms Dearden	21.10.20: Actioned
29.07.20	21/20	<u>Corporate Governance Framework</u> To update the document accordingly to reflect that the ToR were reviewed in 2019	Mr Dawkins/Ms Hughes	24.09.20: Actioned

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29.07.20	22/20	<u>Internal Audit Progress Report</u> To confirm figures on page 7 (significant & housekeeping priorities)	Mr Lunn	
16.10.20	31/20	<u>Rolling Action Sheet</u> 45/18: to include an update on the JES during the pre-briefing in January 2021	Ms Dearden	16/10/20: to include in the briefing which covers HR, Recruitment, L&D
16.10.20	33/20	<u>Internal Audit Recommendations & Tracking</u> Victims Code of Practice - January 2017 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	
16.10.20	33/20	<u>Internal Audit Recommendations & Tracking</u> Fleet Management - September 2018 Ms Pallas to be invited to the next Digital Futures Board	DCC Nixon	
16.10.20	35/20	<u>Feedback from SORB</u> Mr Jones to include archived risk in the report going forward (flag)	Mr Jones	
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	