

**Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP)  
held via Microsoft Teams at 10:00am on Wednesday 21 July 2021**

*Committee members received a pre-briefing from Mr Simon Morrison on Information Asset Management which members found extremely useful.*

**Present**

Mr Luke Pulford (Chair), Ms Janette Pallas, Mr Ashif Bhayat, Ms Wendy Yeadon, Mr Kitesh Patel

**Also in attendance**

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

Mr Paul Dawkins (Chief Finance Officer)

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

Mr Rob Nixon (Deputy Chief Constable)  
Mr Paul Dawkins (Chief Finance Officer)  
Mr Peter Coogan

**Auditors**

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

**31/21 Apologies**

The Chair began the meeting introducing and welcoming the two new members of the JARAP, Wendy and Kitesh.

Apologies were received for Mr Roy Mollett, Mr Matthew Jones, Ms Kira Hughes, Ms Abbey Dearden and Mr Rupert Matthews.

**32/21 Urgent Business**

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

Mr Nixon highlighted some key points: Currently the Force has a number of Officers on leave as it's the holiday period. Operationally, there has recently been a murder but is pleased to report that process to date is going well. Mr Nixon reported that a stabbing has took place which is not related to the murder. Operationally the NHS app has had a huge impact on workforce, in terms of having to self-isolate. Covid impact on policing has not yet gone away.

**33/21 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. The Chair queried with Ms Yeadon and Mr Patel if they have completed a declaration of interest form, Ms Yeadon explained she hadn't had sight of the form.

**Action: Abbey to distribute declaration of interest form to Ms Yeadon**

No such declarations were made.

### **34/21 Minutes of the meeting held on 27 April 2021 and Rolling Action Sheet**

The minutes of the meeting held on 27 April 2021, were discussed and the following was raised:

- VCOP: Mr Bhayat explained a lot of work has been completed between Mr Nixon and Mr Dundas and now that Mr Dundas has left the JARAP, there was a need to ensure everything had now been dealt with. Mr Nixon explained everything is complete, and Mr Dundas has been invited to be part of the VCOP action plan  
The Chair explained any actions between Mr Nixon and Mr Dundas can now be removed from the rolling action sheet
- Janette explained the JARAP Terms of Reference and the Panel did look to review these before recruiting new members, but agreed they are going to look at these again and bring them back to the next meeting
- Agreed to close actions 27/19 & 33/20

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

### **35/21 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:

- 20/21 improved position since the last audit committee: 6 final reports (Mr Lunn thanked Mr Mollett for helping to push these through)
- 2 reports are outstanding (Risk and MTFP): field work has been completed, the colleague who completed these reports has now left the organisation, there has also been problems with staff sickness and annual leave – caused delays
- 21/22 audit of recruitment and fleet management, the field work has been complete and a draft report will be distributed shortly
- Collaboration audits: a detailed plan has been shared with CFOs (planned for approval on 30/7)

Mr Dawkins questioned if Mr Lunn could indicate where the opinion will be for MTFP and Risk. Mr Lunn explained they are still finalising these reports however, there are no concerns that he wishes to raise at this point. Mr Lunn highlighted that the timeline for these reports will be by the end of the week.

**ACTION: to review MAZARS Internal Audit Progress Reports which are published on OPCC (to redact document and republish if required) – Mr Nixon and Mr Dawkins to clarify**

Ms Pallas highlighted if some information is redacted from the report, it would be useful to review ToR to highlight what information would need to be redacted. Mr Lunn highlighted it may be appropriate to move this agenda item to the pre-meet with committee members rather than in the public formal meeting.

Mr Patel queried workforce planning, in particular the response to recommendation 1 and asked if they will be considering required skills and experiences as part of this. Mr Nixon agreed that they will be looking into this and are in the process of exploring what a new structure would look like. Mr Nixon also provided clarity that this will also extend to job descriptions and ensuring they are up to date.

Mr Bhayat queried within the document is refers to the VCOP ToR being completed by July and asked if this was on plan. Mr Nixon explained he had asked for all current documents, plans, performance to be shared and confirmed these were shared on Monday. Mr Nixon highlighted they have a ToR however, they need to update the ToR to reflect the MAZARS audit.

Mr Patel discussed scope of the IT security audit in particular remote access and if there were any concerns. Mr Nixon explained that the biggest risk is from within, as you need to be connected to the network. It was highlighted that the Force were running some old laptops which were not getting updates, however all these laptops are no longer in use as they have all been replaced.

### **36/21 Draft Internal Audit Operational Plan 2021/22**

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:

- A draft version – still awaiting two final reports (both looking at no concerns)
- Very pleasing and good to see a significant level of overall adequacy and effectiveness
- 1 limited report: IT security – common failure due to complexity

**ACTION: It was agreed once the two final reports are concluded to share the final Internal Audit Operational Plan ahead of the next meeting.**

### **37/21 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.

Mr Nixon suggested to go through this report by a way of exception and the Chair thanked Mr Mollett for the new format. The Chair explained that anything which is proposed close and is not highlighted is approved.

Mr Bhayat queried point 6 (d) and that it states housekeeping is tracked by SORB however, within the minutes it states 7 housekeeping recommendations have been omitted by SORB and queried if they were omitted as they were successful relating to part (e). Mr Nixon believes this is the case but will check and get back to committee members.

**Action: Mr Nixon/Mr Mollett to clarify Mr Bhayat's point as above and email committee members.**

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

- **Wellbeing – Satisfactory Assurance – February 2021**

- 4.1 Review of Policies and Procedures

- The Chair explained when looking back at the original recommendation, part of the recommendation was around regular updates. However, within the update the Chair does not see timelines or regularity of these things going forward and queried if there is a process in place. Mr Nixon explained there is a process in place, and within SORB there is a robust process where they track all policies and when they are due to renew.

- **Housekeeping recommendations**

- 4.1 Partnership Information / 4.3 Partnership Resources

- The Chair explained partnerships are very personal to whom the PCC is and are also related to the PCP. With a change of individual and party, the Chair queried if these need to be revisited. Mr Nixon highlighted that his understanding is the new PCC is looking at the Partnership arrangements. Also, the Force has partnerships which they are keen to maintain.

### **38/21 External Audit Progress Update**

The panel received an update from Mr Harris on the External Audit Progress Update. The report marked 'E' is filed with the minutes.

Mr Harris discussed:

- Typically, this time of year E&Y would be about to undertake an audit of the PCC and CC financial statements (year ending 31 March 2021)
- E&Y distributed a national letter outlining their expectations on public sector audits: still have a number of 19/20 audits outstanding (Covid). This has impacted the way they profile and schedule audits for 2021. There is a target date that all audits will be complete by the end of September 2021. E&Y explained this target is not realistic or achievable given the current circumstances
- Constraints in local Birmingham office team (resourcing). Mr Harris stated that E&Y will not be in a position to complete the audit by the target date of September 2021. No confirmed date was provided when the audits will be complete
- Mr Dawkins requested if the PCC could have an update on the value for money opinion (informal) ahead of the Christmas period, prior to going into negotiations on the budget. Mr Harris explained this is possible

### **39/21 Force Risk Register**

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

Mr Coogan highlighted that a number of risk are managed through the Op Talla Gold Group (Covid related) and during the last meeting there was a number of risks archived.

It was agreed to take the report at read and the committee highlighted:

Mr Patel highlighted some overall observations which apply to both the Force and OPCC risk register:

- Useful to have categorisations of risk to be able to group together (IT/Finance/People). Mr Coogan agreed this would be a good idea but the way the electronic risk system works may make this difficult (numerous categories) but agreed to look into it
- Link risks together (look at the problem holistically)
- Controls: where the controls are documented and what impact these have on the risk

**Action: Mr Jones and Mr Coogan to make introductions with Mr Patel outside the meeting - shared learning / looking at the risk register (improvement)**

Ms Pallas stated she liked the traffic light system within the appendix for the overview as it allows committee members to see any changes immediately.

### **40/21 OPCC Risk Register**

The panel received a report from Mr Dawkins on the OPCC Risk Register. The report marked 'G' is filed with the minutes.

Mr Dawkins explained that the risk register was updated when the new PCC stated in post.

The Chair questioned the reasoning between the two different formats of risk registers (Force and OPCC). Mr Dawkins explained that the Force and OPCC are two separate organisations and the OPCC does use a different format, but happy to make amends where required.

Ms Pallas raised concerns over the number of red risks on the register. Mr Pallas requested a briefing from the PCC on the levels of risk and direction of travel for the OPCC.

**Action: to organise a briefing from the PCC regarding risks and the direction of travel for the OPCC (April 2022)**

The Chair concluded by querying when the new PCP will be published, Mr Nixon discussed that the PCC is working on the first draft which will be going out to consultation soon. Timescale to be complete: October 2021.

**Action: include PCP in the agenda for October**

**41/21 Feedback from SORB**

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

- New emerging risk identified and has now been dealt with – gap developing in contact management centre
- Number of new risks: safeguarding repeat domestic abuse victims, not conducting health surveillance (medicals and new recruits), issue in digital hub (management storage of data), firewall
- 4 additional risks: risks linked to historical investigations (IICSA), financial challenges MTFP, high-profile complaints, regional collaborations

**42/21 Force Management Statement**

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

Mr Nixon explained this now is complete and HMIC have reviewed. Mr Nixon agreed to share a link which Mr Nixon has used to market it and within this there is a shortcut which will link to the FMS; this is not yet in the public domain.

**Action: Mr Nixon to share link to FMS with committee members**

**43/21 Work Programme**

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

Ms Pallas suggested:

- To include JARAP ToR in October 2021
- Moving Power Bi to April 2022 - the Chair suggested to take Power Bi as a special item and carry this out as a non-agenda item

**44/21 Any other Business**

Nothing raised.

**Date of next meeting**

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

**OFFICE OF POLICE AND CRIME COMMISSIONER & OFFICE OF THE CHIEF CONSTABLE**  
**JARAP – ROLLING ACTION SHEET**

Last updated: 17/08/21

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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**JARAP – ROLLING ACTION SHEET**

				<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><b>21.7.21</b> – No change to 27.4.21</p> <p><b>26.10.21</b> – Remodelling of pay assimilation has begun. Estimated 6 month completion time before consultation resumes.</p>
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	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	<p><b>27.4.21</b> – Confirm this meeting still required ?</p> <p>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.</p> <p><b>21.7.21</b> – meeting being arranged</p> <p><b>26.10.21</b> – date to be confirmed</p>
27.04.21	18/21	<u>Internal Audit Progress Report</u>	Mr Lunn	<b>27.4.21</b> – Email from Elaine shared with Chair of JARAP to outline how recommendations are tracked.

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		To link in with Elaine (collaboration manager) to provide clarity on the two final reports		
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	<b>21.07.21</b> – agreed to include JARAP ToR back to the October 2021 meeting.
27.04.21	28/21	<u>Update on progress against Victims Code of Practice</u> To have an update on progress at January 22 – to include trend lines on figures	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
21.07.21	33/21	<u>Declarations of Interest</u> Declaration of Interest form to be sent to Ms Yeadon to complete	Ms Dearden	<b>17.08.21</b> – Abbey emailed Kira/Nish to get the document distributed
21.07.21	35/21	<u>Internal Audit Progress Report</u> To review MAZARS Internal Audit Reports on OPCC website (redact document and republish if required)	Mr Dawkins / Mr Nixon	<b>26.10.21</b> – Report temporarily removed. In the process of being redacted and re-uploaded.
21.07.21	36/21	<u>Draft Internal Audit Operational Plan 21/22</u> Once 2 o/s 'final reports' are complete, to share the final Internal Audit Operational Plan ahead of the next meeting	Mr Lunn	



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21.07.21	37/21	<u>Internal Audit Recommendations &amp; Tracking</u> “housekeeping recommendations have been omitted by SORB” – to investigate why these were omitted. Once clarified, to email Committee members	Mr Nixon / Mr Mollett	
21.07.21	39/12	<u>Force Risk Register</u> Mr Jones and Mr Coogan to meet with Mr Patel to discuss shared learning / looking at improving the risk register	Mr Jones	
21.07.21	42/21	<u>Force Management Statement</u> To share link to FMS with committee members	Mr Nixon	
27.07.21	43/21	<u>Work Programme</u> To arrange the new members induction	Ms Hughes	<b>14/10/2021</b> New members induction took place 27 <sup>th</sup> & 29 <sup>th</sup> September. <b>Propose Close</b>