

Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP)
held via Microsoft Teams at 10:00am on Tuesday 26 January 10:00am

Pre-briefing: 09:15 – 10:00: VCoP briefing and HR & Recruitment briefing by Insp. Dimmock & ACC Alastair Kelly (Leicestershire Police).

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)
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)

1/21 Apologies

No apologies were noted.

2/21 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.

3/21 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.

4/21 Minutes of the meeting held on 16 October 2020 and Rolling Action Sheet

The minutes of the meeting held on 16 October 2020, were discussed and confirmed as a true and correct record.

The Rolling Action Sheet had not been updated since October 2020 and it was agreed to take this offline and receive updates at the next meeting.

Action: Abbey to ensure Rolling Action Sheet is updated prior to each meeting

5/21 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 noted:

- Since the last JARAP three further final reports have been issued
- Slightly behind where they'd usually be in a 'normal' year
- All the agreed internal audits within the plan may not be completed by 31st March 2021. It is likely that some of the audits within the plan may be completed shortly after the 31st March 2021
- Collaboration audits are currently ongoing throughout January and February 2021 only two will be completed and it was agreed to carry one audit forward due to time and priorities

Mr Prince queried the Estates Management risks (page 10) which highlights "The budget for the Plan is developed based on an inaccurate plan". Mr Dawkins discussed they usually run a three year rolling programme and can look out to five years but most of the infrastructure, they run a three year rolling programme. Mr Dawkins explained there is a difference of opinions around the conclusion in the audit and how it should be managed going forward along with how it should be reflected in the report. Mr Prince raised with the budget not matching the plan, are the Force satisfied that it's manageable. Mr Dawkins confirmed he is satisfied.

Mr Prince queried the recommendation 2's response "I see no risk to the Force from continuing to monitor contractor performance the way we always have" and asked Mr Nixon if he is satisfied and how has he measured this is correct and true. Mr Nixon explained in terms of their approach to contractors, they're all vetted to a high level and they have no complaints in terms of the standard of the works that they've received. A discussion was then held re this topic and it was agreed that this recommendations risk may need reworking to relate to specific points.

Action: Mr Dawkins and Mr Lunn to discuss rewording of this recommendation – provide more details

The Chair queried the Payments and Expenses section which highlights there has been a few incidences where receipts did not support the claims. The Chair asked for statistics around this topic, how many and the percentage reoccurrence as this could be a potential risk of fraud. Mr Dawkins discussed that it's a very low percentage of claims which are submitted without a receipt. Mr Lunn highlighted that going forward he will include some figures on this matter and for reference, the non-receipt claims were from 2 people totalling less than £20. Mr. Nixon shared examples of operational situations where receipting expenses would not be expected.

Mr Dawkins reminded the Board that Leicestershire Police provide payroll services to Derbyshire Constabulary as well as Leicestershire Police and pay around 11,500 people a month and to achieve that level of assurance is reassuring. Mr Dawkins explained that it's been a very challenging year for the Finance team working remotely and they've still managed to maintain very high levels of accuracy and that this is certainly commendable.

6/21 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.

Mr Mollett noted there are currently 14 recommendations listed in total and there are 3 proposed close which is a reduction as quite a few have already been signed off.

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

- **Benefits Realisation – July 2020**
Significant – 4.1 Closure Report
 - Mr Mollett discussed that this is proposed as closed and has satisfactory assurance overall. It was noted that this was agreed closed at the December '20 SORB
- **GDPR – February 2019**
Fundamental – 4.1 Implementation of Action Plan
 - The Chair highlighted in the progress report for January there was an offer for the JARAP to see the digital information asset register and demonstration, and that members would like to take up on the opportunity

Action: A demonstration of the digital information asset register to be arrange via information management (for April targeted pre-briefing)

- **Workforce Wellbeing & Absence Management – September 2019**
Significant – 4.1 Review of Policies and Procedures
 - Mr Prince queried if the policies listed on page 24 of the report could be assessed on a priority basis for completion. Mr Nixon explained they are being prioritised, and that they're hopeful that during Q4 they will get to 100% compliance on policy.
- **Estates Management – December 2020**
 - The Chair proposed to pause the 'not agreed' and 'proposed closed' until the JARAP have had chance to go through the level of detail and seek assurance. It was agreed that Mr Dawkins and the Chair will discuss this outside of the meeting via email.
- **Fleet Management – September 2018**
Significant - 4.2 Sample Check of Service Details
 - Ms Pallas highlighted it's positive to see there is a plan in place and it's useful to see going forward.

Action: Mr Nixon to brief Ms Pallas on the next Digital Futures Board

Mr Mollett queried the format of the report with members and asked if they would like historical updates summarising to condense the report. The Chair asked if it was possible to see an example of what the report will look like before they adopt the new format.

Action: Mr Mollett to provide an example of the proposed new report format

7/21 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:

- Unable to get the opinion issued by the target date of November 2020 due awaiting assurances from Grant Thornton. Prior to the Christmas break, Mr Harris was able to issue the audit opinion on the 19/20 accounts for both the CC and PCC.
- There were no significant changes to the audit results report which came to the last committee and confirmed they issued an unqualified opinion on both sets of financial statements and unqualified value for money conclusion.

- The position across the public sector is difficult at the moment around the conclusion of 19/20 audits are still approximately 50% of organisations that haven't yet had their 1920 opinions issued
- EY's target date to close down the 20/21 accounts is the end of September 2021
- At the next meeting or prior to the next meeting EY will issue their final annual audit letter

Mr Dawkins raised during the last meeting he disputed both the 18/19 and 19/20 audit fees. It was highlighted that the fee variation for 18/19 has been agreed and they have paid the additional £17,000. Regarding the 19/20 audit, there is another fee variation which will go to PSA for consideration but will mean that the external audit fee will increase from approx. £35,000 to £65-70,000.

8/21 **Risk Register**

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

The Chair asked if going forward the report included in appendix B could include the date the risk was first identified for ease of reading.

Action: Appendix B to include the date the risk was identified

STR0185 – Risk of staff being exposed to COVID 19 virus due to work activities

Mr Dundas asked for some information regarding giving the JARAP assurance about how the Force is managing the risk to Police teams in terms of PPE now and the planning of the impact COVID has had on individuals such as burnout. Mr Nixon discussed internally the Force run an internal Gold meeting which is held twice a week and within this there's a work stream around protecting staff. All staff have the appropriate PPE and guidance has been issued as to when and how to wear it. Mr Nixon also highlighted there are discussions taking place around wearing PPE within the workplace and an antibody testing regime has just begun. Certain teams within the Force have been issues with FP3 masks, these are issued through a screening process. Regarding wellbeing and psychological impact, the Force has brought in an initiative with 150 'wellbeing champions' who are going to make contact with every single Leicestershire Police employee to see how they are feeling and if they have any issues.

STR0078 - Ineffective Tracking of Force Assets

The Chair asked what the next steps are for this as it is clear there is a risk here are there's a desire to improve. Mr Nixon discussed that this is something which is being scrutinised in SORB and it has been handed to a Chief Inspector to look at. They are in a position where they need to move to an IT solution that can put all assets in one place. Mr Nixon summarised and explained they understand what the challenge is and they now need to link it together with an IT solution.

The Chair highlighted the value of this document and its usefulness and thanked Matt and risk owners for the work.

9/21 **Feedback from SORB**

Mr Nixon provided an update on the recently held SORB meeting (December 2020). Updating the panel verbally on the following points:

- No new emerging risks raised
- Reviewed the Op Fox (individual cases) and there was nothing raised which was flagged as a significant reputational risk
- Steven Morris provided an update on the increasing trend which is linked to inadvertent information breaches (some are linked more to remote working; wrong email addresses typed in)
- Update on GDPR

- All business continuity plans are up to date
- Policy and procedure review. 2 years ago 53% compliance, present 90% compliance

10/21 Annual Effectiveness Review

The Panel received a report from Mr Dawkins on the Annual Effectiveness Review. The report marked 'E' is filed within the minutes.

Mr Dawkins first of all thanks Ms Hughes for pulling this report together and explained the report is really positive. The overall conclusion was that the JARAP is effective and efficient.

The Panel agreed to NOTE the content of the report.

11/21 OPCC Risk Register

The Panel received a report from Mr Dawkins on the OPCC Risk Register. The report marked 'F' is filed within the minutes.

Mr Dawkins explained that this hadn't been refreshed for two years. This was first picked up in Summer 2020 and Mr Lunn facilitated a workshop to overcome some key risks. A second workshop then took place with the PCC, Chief Executive and the Senior Leadership team attended to work through key risks. Mr Dawkins noted that review dates need to be added to the register and archiving arrangements need to be agreed. The next review date is scheduled for February 2021 with a plan to go through this on a 2-3 monthly rolling cycle.

The Chair asked for some time to review the document with a view to go through members views with the OPCC to discuss.

Action: JARAP members to send feedback on OPCC Risk Register to Mr Dawkins

12/21 Work Programme

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

Ms Pallas sent her thanks to the Force for the pre-briefings and suggested going forward to minimise the formal presentations and maximise the discussion. Ms Pallas raised in October it would be good to concentrate on Learning and Development in October 2021 linked to Colleagues; how they've developed, wellbeing, people's attitudes (after 18 months of becoming digital) etc.

Action: Organise a L&D pre-briefing for October 2021

13/21 Any other Business

Mr Nixon commended the active involvement of JARAP members in force related committees rather than simply being passive observers; raised that Mr Dundas has recently attended the RRB (Race Religion and Beliefs) Board.

Date of next meeting

Tuesday 27th April 2021
10:00am – 12:00pm
Microsoft Teams

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JARAP – ROLLING ACTION SHEET

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>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 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>

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				<p>26.1.21 – 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>
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>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> <p>26.1.21 – Action outstanding, it was agreed to have a conversation after the meeting (26/1).</p> <p>27.4.21 – dedicated HR team to progress new pay assimilation modelling during 2021/22. Outcome and implementation time scales are currently unknown.</p>

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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>26.1.21 – 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>27.4.21 – results of survey shared with Members.</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>23.01.20 – outstanding</p> <p>29.07.2020 – Leave open until October</p> <p>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.</p>
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	<p>10.10.19 – Update to be provided at the meeting on 23.10.19</p> <p>23.01.20 – To provide a trend line at the end of each year.</p>

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				<p>16.10.20 – name changed from Mr Welch to Mr Lunn</p> <p>09.04.21 – Complete – included in Annual Report Year End 2020</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>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.</p> <p align="center">    </p> <p align="center"> Financial Wellbeing and Resilience Plan or Wellbeing on a slide.pptx Physical wellbeing on a page.pptx </p> <p>16:10.20: 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>
23.10.19	41/19	<u>Recommendation 4.3 Communication with Victims</u> Mr Nixon to share the VCOP audit methodology to the JARAP panel.	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</p>

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		<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>that have been open for 28 days or longer, and 50 crimes that have been open for less than 28 days.</p> <p>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></p> <p>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 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>
23.01.20	05/20	Circulate the Governance framework to JARAP members for comments	Mr Dawkins / Ms Hughes	<p>16.10.20: EMPLS and PCC reviewing legal aspects.</p> <p>27.4.21 – Circulated and considered by Members. Propose remove action.</p>
23.01.20	06/20	Update on Civicas resource at the next meeting	Mr Dawkins	<p>29.07.20: no update to provide, has been affected by COVID. Paul Dawkins to chase an update and provide feedback.</p> <p>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.</p>

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				27.4.21 – NFA. Propose remove action.
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). 27.4.21 – Updated register tabled at 26.1.21 JARAP meeting. Propose remove action.
29.07.20	22/20	<u>Internal Audit Progress Report</u> To confirm figures on page 7 (significant & housekeeping priorities)	Mr Lunn	09.04.21: Actioned - Final Report of Leadership & Management Development had one Priority 2 and two Priority 3 recommendations.
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	35/20	<u>Feedback from SORB</u> Mr Jones to include archived risk in the report going forward (flag)	Mr Jones	08.04.21: Actioned and included in reports
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	27.4.21 – Confirm this meeting still required ?

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26.01.21	5/21	<u>Internal Audit Progress Report</u> Mr Dawkins and Mr Lunn to discuss rewording of recommendations – provide more details	Mr Dawkins / Mr Lunn	27.4.21 – Completed. Propose remove action.
26.01.21	6/21	<u>Internal Audit Recommendations & Tracking</u> A demonstration of the digital information asset register to be arrange via information management (for April targeted pre-briefing)	Ms Dearden & Mr Mollett	14.04.21 - Scheduled for April 21
26.01.21	6/21	<u>Internal Audit Recommendations & Tracking</u> Mr Nixon to brief Ms Pallas on the next Digital Futures Board	Mr Nixon	4.2.21: Ms Pallas has confirmed she will be attending the Digital Futures meeting taking place on 14/4/21.
26.01.21	6/21	<u>Internal Audit Recommendations & Tracking</u> Mr Mollett to provide an example of the proposed new report format	Mr Mollett	
26.01.21	08/21	<u>Risk Register</u> Appendix B to include the date the risk was identified	Mr Jones	08.04.21: Actioned and included within the report
26.01.21	11/21	<u>OPCC Risk Register</u> JARAP members to send feedback on OPCC Risk Register to Mr Dawkins	JARAP members	
26.01.21	12/21	<u>Work Programme</u> Organise a L&D pre-briefing for October 2021	Ms Dearden	