

Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP)
held via Teams on Wednesday 17 April 2024 at 10:00hrs

Members received a pre-briefing: Update from the Economic Crime Unit (including Fraud and Corruption)

Present

Mr Luke Pulford (Chair), Ms Wendy Yeadon, Mr Kitesh Patel and Mr Pradeep Khuti

Also in attendance

Office of the Police and Crime Commissioner (OPCC)

Miss Kira Hughes (Chief Finance Officer)
Mrs Rani Mahal (Deputy Police and Crime Commissioner)
Mrs Claire Trewartha (Chief Executive)
Mrs Nimisha Padhiar (Policy and Compliance Officer)
Miss Abbey Dearden (Business Staff Officer)

Office of the Chief Constable (OCC)

Mr David Sandall (Deputy Chief Constable)
Mr Paul Dawkins (Assistant Chief Officer - Resources)
Mr Matthew Jones (T/Head of Safety, Sustainability and Risk)

Auditors

Ms Hayley Clark (EY)
Ms Lesley Moya (EY)
Ms Sarah Knowles (Mazars)
Mr Alexander Campbell (Mazars)
Ms Laurelin Griffiths (Grant Thornton)
Mr Keith Chaisewa (Grant Thornton)

03/24 Apologies

Apologies were noted for, Ms Janette Pallas (Panel member) and Mr Roy Mollett (Inspection Liaison and Project Officer).

04/24 Urgent Business

The Chairman invited members to raise any items of urgent business that they felt necessary.

None raised.

05/24 Declarations of Interest

The Chairman invited members to make declarations of any interests in respect of items on the agenda for the meeting, should they wish to do so.

None raised.

06/24 Minutes of the meeting held on 31 January 2024 and Rolling Action Sheet

The minutes of the meeting held on 31 January 2024 were discussed and agreed as a true accurate record.

The Chair raised a query on page 3, 4.1 workforce planning and asked if the Force has developed the key roles map which was referenced. DCC Sandall explained the force is currently reviewing the establishment due to budget requirements and reiterated that the main structures haven't changed. **Action: it was agreed that DCC Sandall's staff officer will provide a copy of the Forces organisational structure chart.**

Rolling action sheet

- Anything proposed closed, accept as closed if not discussed.
- 5/23.1: Mr Khuti queried if panel member requires an account to access documents. Ms Dearden explained that all members are required to create an account with the email addresses which they use to communicate to the Force/OPCC. This will allow the transfer of both large and sensitive files.
- 49/23: Ms Padhiar confirmed this is now complete and will be shared after the meeting.
- 9/24: The Chair explained the Panel have struggled to find manifestos from all candidates. The link [Leicestershire - Choose My Police and Crime Commissioner \(choosemypcc.org.uk\)](https://choosemypcc.org.uk) was shared with the Panel.
- 45/18 Mr Dawkins updated the Panel that this week the Force has received confirmation from Unison that the ballot has been accepted and will implement the job evaluation. 82.4% supported the scheme and it has been agreed the implementation date will be 1st September 2024. Letter will be distributed to all Police Staff on 29th April informing how this may affect them. It was agreed that this action could be closed but with a view for a pre-briefing in 12 months-time on progress. **Action: Agreed to close this action and agreed to add 'Job Evaluation' to the workplan for a pre-briefing in 12 months' time.**

07/24 Internal Audit Progress Report

The panel received a report from Ms Sarah Knowles (MAZARS) on the Internal Audit Progress Report. The report marked 'C' is filed within the minutes.

The Chair queried the format of the report, and asked if this will be the style going forward. **Action: To organise a meeting between MAZARS and JARAP to go through the format/terminology of the new report format.**

It was agreed to take the report as read and for the Panel to ask any questions which they may have:

- Ms Knowles explained on page 4 of the report, within the overview there is an error. The audit complete is not the IT report which is listed and should read as Identity Access Management.
- Mr Patel provided a general observation if there has been push back on actions arising from the audit itself. Ms Knowles updated the panel that there was only one recommendation that that wasn't accepted out of the five, which was to do with the restructure of the process.
- Mr Patel also asked for clarity on data input onto the system KETO. Mr Jones explained that the software KETO is only available to certain people within the organisation. Anyone with access is required to complete a tailored training programme on how to use the software correctly. Mr Jones further explained that monthly reviews are carried out on the system and any issues would be picked up on.
- Mr Patel asked if the variation errors within the payroll audit had been rectified. Mr Dawkins confirmed this has been rectified and did not affect the audit opinion.
- The Chair enquired if the Force track staff training, Mr Dawkins confirmed the Force tracks training and there is ongoing CPD arrangements for staff to develop their training/learning.
- The Chair notes that Core Financials received a substantial audit opinion and congratulated the team and explained this provides reassurance for the Panel.
- The Chair recommended that within the new format of the report, that the name and job title of the person providing the update could be input. **Action: MAZARS to ensure the name / job title of the person providing the update could be included within the new report format.**

08/24 Internal Audit Plan

The panel received a report from Ms Sarah Knowles (MAZARS) on the Internal Audit Plan. The report marked 'C' is filed within the minutes.

It was agreed to take the report as read and to go straight into questions:

- A query was made as to whether 5 days to plan the savings audit would be long enough. Ms Knowles confirmed that the plan has sufficient time.
- Mr Patel sought clarity on whether the Business Continuity audit will also incorporate disaster recover/IT/Cyber security. Clarity was provided that these are not included.
- Ms Yeadon queried what the Force are doing with regards to disaster recovery and raised an interest in shadowing the process to gain assurances. DCC Sandall explained 'Op Oak' occurred last year which was a national task and the Force are currently learning from the City cyber-attack. DCC Sandall explained there is a Gold group in place within the Force who are looking at cyber resilience. Mr Jones explained there is a plan to do a Force-wide business continuity exercise around cyber-attacks over security and agreed to link Ms Yeadon into the process **Action: Mr Jones to link in with Ms Yeadon regarding being a part of the continuity exercise.** Mr Jones also queried if Panel members wanted to observe planned fire drills.
- Mr Patel queried if a new PCC is elected, is there the potential for there to be an impact on the partnership audit. Ms Knowles explained they have purposely planned the partnership august for late next year (February 2025).

Ms Knowles highlighted that towards the back of the report, there is a copy of the Internal Audit Charter which sets out internal audit scope, purpose and authority - the Charter has been reviewed and is updated annually. Ms Knowles confirmed the Charter has been reviewed and there are no changes from last years version.

09/24 External Audit Progress Update

The panel received a report from Ms Hayley Clark (EY) on the External Audit Progress update. The report marked 'D' is filed within the minutes.

It was agreed to take the report as read and to go straight into questions:

- Ms Yeadon queried if the Force will not receive closure of the two previously incomplete audits and if EY don't complete the previous years work, will the new firm GT charge for the additional work they now have to complete. Ms Clark confirmed the Force will get closure on the audits and for 21/22 some work has been completed so EY will be required to provide a report to management and the JARAP that sets out the work complete, even though the likelihood is, if the government guidance goes ahead as intended, the opinion on that would be disclaimed. However, EY still have the responsibility to report to the Force/JARAP on the findings that were coming out of the audit. Ms Clark advised that 22/23 have not started. It was noted that EY are in the process of completing an interim report on the value for money arrangements for 21/22 and 22/23.

10/24 External Audit Plan 23-24

The panel received a report from Ms Griffiths (GT) on the External Audit Plan 23-24. The report marked 'E' is filed within the minutes.

It was agreed to take the report as read and to go straight into questions:

- Ms Yeadon highlighted under the national policing contracts, it states that forces are aiming to reduce the amount of time spent on non-crime demands such as responding to mental health incidents and questions what LLR are doing and if this is a partnership issue. DCC Sandall explained there are strong links with partners as they have the triage car and a lot of work has been done with agencies regarding the right care, right

agencies – this is a national push supported by the Home Office. DCC Sandall explained that ACC Streets is leading this workstream on the right care, right agency to try and reduce the demand into policing.

- The Chair highlighted there are a number of issues with previous years audits and queried if there if these are being tracked/logged to ensure there is understanding of implications (risks). Ms Griffiths provided reassurance that as new auditors they are fitting in reasonably well and then planning work is going well. It was agreed to include an update on implications of previous external issues to the next meeting.
- Mr Dawkins highlighted the fee rates for 23/24 are still not confirmed but as an estimate there is an increase in over £100k. Ms Griffiths explained auditors are now required to carry out more complex work and the PSA sets out some of the fees.

11/24 Force Risk Register

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

It was agreed to take the report as read and to go straight into questions:

- Mr Patel highlighted formatting issues on page 2, relating to the risk matrix grid chart and queried if a supplement could be provided to include titles of the individual risk rather than just the reference number (for ease)

STR448: Risk to public confidence due to a year on year increase of complaints from members of the public

- Mr Patel highlighted there appears to be a significant number of staff and officer which are suspended or on restrictive duties, and queried what percentage of the workforce this relates to and how it compares with other forces. DCC Sandall clarified the overall percentage of the amount of people who got suspended is reasonably small.
- Mr Patel queried if those individuals who are suspended/on restrictive duties, is there anything else that could be done to speed up those investigations to reduce the time they're unavailable. DCC Sandall explained the process and noted that two of the biggest impacts on timeframe are: 1. court cases, if not remanded it can take around 2 years before reaching Crown Court and 2. Gross misconduct hearings require a legally qualified chair, of which there is a lack of and those available have high demands and limited availability.

STR0411: Loss of all IT functionality due to overheating at Euston Street

- The Chair highlighted that he has recently started working with a firm which has a new innovative idea around cooling and IT. The Chair offered to share details of the company with the Force. Mr Dawkins thanked the Chair and explained that contracted works are ongoing in that area of business but will share the details with the Environmental Officer

STR0278: The Financial Challenge – 2022/23 – 2025/26

- The Chair asked DCC Sandall for a summary of the risk
 - A full change transformation plan is underway, Operation Forefront which includes the budget deficit
 - Looking at 4 key areas: non-cashable efficiencies, non-pay but cashable efficiencies, ways of working efficiencies, income generation and what the Force can do

The Chair agreed anything proposed close that is not discussed is to be closed.

12/24 OPCC Risk register

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

The Chair thanked Miss Hughes for the report and the following questions were raised:

- Mr Patel suggested it would be useful to have a risk matrix similar to the Forces register. **Action: to produce a risk matrix similar to the Forces**

OPCC032 – Risk of Cyber Attack

- Mr Patel highlighted given the recent attack in the City, are there any learnings, considerations or reassessment of this risk. Ms Hughes highlighted this is a mirrored risk from the Force as we share the same IT systems. DCC Sandall explained the Force has a gold group looking at this and are looking into best practice.

OPCC070 – Single Source of Failure – Chief Finance Officer

- Mr Patel queried if there are any other single sources of failure that need to be considered. Ms Trewartha explained there are no other individuals/job roles which require the same level as this role as it relates to the Section 151 Officer and CFO which is a statutory role.

The Chair thanked the OPCC for sending the redacted risks separately and asked if it would be possible to know the process of deciding what risks get redacted. Ms Trewartha explained this decision is done on a case-by-case basis and the only way the OPCC would redact anything is if there could be potential business impacts on another organisation (reputational damage/business impact to another organisation).

The Chair agreed anything proposed close that is not discussed is to be closed.

13/24 Update of Progress against the Victims Code of Practice (VCoP)

The panel received a report from DCC Sandall on progress against the victims Code of Practice. The report marked 'H' is filed with the minutes.

DCC Sandall explained there is a report which is going to the Corporate Governance Board in relation to this and the Forces VCoP performance has improved significantly over the last 18 months.

The Chair asked a question on behalf of Ms Pallas who had sent apologies to the meeting: asking whether staff suspensions and restricted duties outlined in risk STR0448 had any impact on this with staff being unavailable. DCC Sandall explained there is a very small impact but nothing significant.

14/24 JARAP Terms of Reference

The panel received a report from Miss Hughes on the JARAP Terms of Reference. The report marked 'I' is filed with the minutes.

The Panel confirmed they had reviewed the document and were happy to approve the contents.

15/24 Annual Collaboration Update

The panel received a report from the Force and OPCC on the Annual Collaboration Update. The report marked 'J' is filed with the minutes.

DCC Sandall provided a summary of the report noting there has been some scrutiny over EMSOU in particular, from the transformation perspective to reduce the cost of the collaborations due to needing to make efficiencies.

16/24 Annual Effectiveness Review

The panel received a report from Miss Hughes on the Annual Effectiveness Review. The report marked 'K' is filed with the minutes.

The Chair explained a number of the JARAP panel met a couple of weeks ago to run through the questionnaire (copy within the appendices) which highlighted a few improvements.

Ms Yeadon discussed the JARAP were looking at how they can address the areas they don't fully comply with the effectiveness review, such as something simple like training and development. Ms Yeadon explained the JARAP requested a copy of the Forces meeting structure to include who is responsible and the meetings purpose, Ms Yeadon confirmed the JARAP did receive a copy of this, however, ACC Smith informed the process was changing and requested a copy of the Force meetings again to include what it covers, which will allow the JARAP to plug some of those meeting with their interest/expertise. This will also provide the JARAP with continuous professional development and help satisfy the effectiveness review of the JARAP.

Action: Force meetings to be shared with the JARAP, to include the purpose of the meeting and who is responsible (Force governance structure with ACC Leads for each of the layers).

Action: Ms Hughes to share any relevant CIPFA training modules to JARAP members

17/24 Work Programme

The Panel received a report from Ms Hughes on the Work Programme. The report marked 'H' is filed within the minutes.

The Panel confirmed they are happy with the contents and agreed to take the report as read and accepted.

It was agreed that February 2025 pre-briefing will cover the transport strategy (electric vehicles/fleet) **Action: add transport strategy pre-briefing to Feb 2025.**

18/24 Any Other Business

Nothing raised.

Date of next meeting

1 August 2024
Main Conference Room, FHQ

MEETING CLOSED: 11:47am

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

Last updated: 22/7/2024

| Meeting Date | Minute No. | Action No. | Action | Person Responsible | Target Date | Update |
|---------------------|-------------------|-------------------|---|---------------------------|--------------------|--|
| 17.01.23 | 5/23.4 | 3 | Counter Fraud – 4.3 Lack of Fraud Training Dip sampling of evidence to be provided to show that the work is being carried out and is working | DCC Sandall | August 2023 | <p>16.03.23 - The force's comprehensive prevention campaign which centred on training/development inputs in relation to the 'Ten Standards of Professional Behaviour for Police Officers and Staff' [including Fraud] concluded recently. Dip-sampling is planned to take place within the 2nd quarter of 2023 and reported mid-July 2023.</p> <p>03.07.23 - Dip-sampling results delayed due to other competing workstream demands – results of dip-sampling anticipated end September 2023. To be reported at the next JARAP meeting.</p> <p>04.07.23 – This report is due mid-late July, it should be ready for the next meeting.</p> <p>06/10/23 – Due to a short notice HMIC Inspection notification in September dip-sampling has regrettably been delayed and will take place in October for reporting at the next JARAP panel meeting.</p> <p>22/01/24 – Further delay due to inspection/Audit commitments. This work has now been prioritised. Sample spreadsheet now received from the Force HR Analyst; from this a random sample of officers and staff will be selected. Question set being finalised in conjunction with the head of department and the force survey specialist. Dip-sampling of officers and staff to commence shortly. Reported results anticipated March/April 2024. Barriers to completion – None anticipated.</p> <p>03/04/24 – dip-sampling due to commence shortly and findings to be reported to the next JARAP panel meeting.</p> |

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

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| 17.01.23 | 8/23.3 | 4 | <p><u>OPCC020 Delayed recruitment of OPCC staff impairing service delivery</u> Going forward the report is to include statistics to see where the OPCC are at in terms of headcount, void rate, turnaround, vacancies etc</p> | Mrs Padhiar | April 2023 | <p>28.12.22 – Service improvement currently working on upgrading reporting model. Force dashboard should be complete end of Jan/beginning of Feb then OPCC version to be created.</p> <p>18/10/23 OPCC Templates have been created for Shortlisting and Interviews deadline for completion of guidance Nov 23.</p> <p>24/1/24 – Statistical breakdown requested will update at next meeting.</p> <p>8/4/24 – Chased HR for response, waiting for information to be shared.</p> <p>22/7/24 – HR are unable to automate the OPCC statistics. OPCC Performance Team to produce OPCC recruitment statistics by Nov 2024.</p> |
| 31.01.24 | 05/24 | 11 | <p>Wellbeing – Satisfactory Assurance February 2021 <u>4.1 Review of Policies and Procedures</u> The Chair queried the 2 legacy policies which are still awaiting review as they are over 3.5 years overdue, and no target date is listed. Action: DCC Sandall agreed to provide an update to the panel outside of the meeting to include an estimated completion date. [DCC agreed raise during Friday’s internal meeting with Mr Mollett]</p> | DCC Sandall / Mr Mollett | February 2024 | <p>17/2/24 – Update from HR Kat Eaton “Consultation on both has taken place with unison and remains ongoing. The aspiration is that this is concluded and ready for submission for discussion and ultimate sign off at the JNCC on 11th April.”</p> <p>03/04/24 - Update position required from Kat Eaton – may have to follow on as understood JNCC does not convene until 11th April</p> |
| 31.01.24 | 10/24 | 15 | Decision making policy/procedure to be shared with the Panel | Ms Padhiar | April 2024 | <p>24/2/24 – Nish has forwarded to Kira for review and direction on whether it needs to go to SMT and CGB</p> <p>9/4/2024 – Few amendments made to CGF in line with advice from legal and signed off at CGB in March 24. Decision making policy will need to incorporate any changes as a result of the</p> |

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

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| | | | | | | revised CGF. Policy will be shared with panel when it has been through the OPCC/Force Internal Governance structure. 22/7/2024 Decision Making Policy sent to JARAP Panel Members. Propose Close |
| 17.04.24 | 06/24 | 16 | It was agreed that DCC Sandall Staff Officer will provide a copy of the Forces organisation structure chart | DCC Sandall | August 2024 | |
| 17.04.24 | 07/24 | 17 | To organise a meeting between MAZARS and JARAP to go through the format/terminology of the new report format | Ms Knowles | June 2024 | |
| 17.04.24 | 07/24 | 18 | <u>Internal Audit Progress Report</u> MAZARS to ensure the name / job title of the person providing the update could be included within the new report format. | Ms Knowles | August 2024 | |
| 17.04.24 | 08/24 | 19 | Mr Jones to link in with Ms Yeadon for business continuity exercises (cyber attacks / fire drills) | Mr Jones | May 2024 | |
| 17.04.24 | 12/24 | 20 | <u>OPCC Risk Register</u> To produce a risk matrix to go alongside the risk register similar to the Forces | Ms Padhiar | August 2024 | 22/7/2024 -Risk Matrix and Risk Criteria are incorporated in the OPCC Risk Report. Propose Close |
| 17.04.24 | 12/24 | 21 | <u>Annual effectiveness review</u> Force meetings to be shared with the JARAP, to include the purpose of the meeting and who is responsible (Force governance structure with ACC Leads for each of the layers). | DCC Sandall | June 2024 | |
| 17.04.24 | 12/24 | 22 | <u>Annual effectiveness review</u> Ms Hughes to share any relevant CIPFA training modules to JARAP members | Ms Hughes | August 2024 | 23/07/2024 – Latest CIPFA courses have been sent to the Chair. Propose Close |