

Minutes of a meeting of the Joint Audit, Risk and Assurance Panel (JARAP)
held via Teams on Thursday 31st October 2024 at 14:00hrs

Members received a pre-briefing: Update on OPCC/VRN & Force Partnership Landscape

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)

Mrs Claire Trewartha (Chief Executive Office)
Mrs Kira Knott (Chief Finance Officer)
Mrs Shona Chapple (Executive Secretary)

Office of the Chief Constable (OCC)

Mr David Sandall (Deputy Chief Constable)
Mr Paul Dawkins (Assistant Chief Officer - Resources)
Mr Matthew Jones (Head of Safety, Sustainability and Risk)
Mr Roy Mollett (Inspection Liaison and Project Officer).

Auditors

Ms Sarah Knowles (Mazars)
Mr Alexander Campbell (Mazars)
Ms Laurelin Griffiths (Grant Thornton)

34/24 Apologies

Ms Janette Pallas – Panel Member
Mr Keith Chaisewa (Grant Thornton)

35/24 Urgent Business

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

None raised.

36/24 Declarations of Interest

The Chair 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.

37/24 Minutes of the meeting held on 1 August 2024 and Rolling Action Sheet

The minutes of the meeting held on 1 August 2024 were discussed and agreed as a true accurate record.

Rolling action sheet

- Anything proposed closed, accept as closed if not discussed.
- 5/23.4 – Mr Patel queried if the records for training are broken down to determine which member of staff has completed which training. Mr Mollett clarified that currently there is no way to interrogate the records to determine which member of staff has completed which training, however updates to the system are being carried out and from December 2024 onwards there will be the ability to view this information.
- 5.23/4 – Mr Pulford queried if the Counter Corruption and Whistleblowing report completed by external audit had been received. Mr Campbell confirmed that that was included in the Internal Progress Report at the last Panel meeting (August).
- 23.24.4 – DCC Sandall expressed that by taking a proactive approach to reviewing and addressing all Bad Apple reports, statistics for Wellbeing are reassuring.
- 23.24.4 – Mr Pulford questioned the final line in the narrative *'It has already been embedded in Leics, and been publicised at a local level, but not at the level profile as the national campaign'* and what this meant. DCC Sandall clarified that it reflects that the Force already had the system in place and that we were one of the first to get it.

38/24 Internal Audit Progress Report

Mr Campbell (MAZARS) provided an update on the Internal Audit Report (marked as B in the minutes). The updated format was highlighted and the Savings Plan has been issued as Final. The Savings Plan will be presented at the next Panel meeting in February.

Mr Patel questioned in relation to the Business Continuity Audit, how assured the Panel can be about the robustness and effectiveness of Business Continuity, given the lack of testing and the plans overdue for review. Mr Jones advised that new staff are undertaking a week's course on Business Continuity next week and that most plans are now up to date with a schedule of testing being created.

DCC Sandall confirmed that Business Continuity plans are being used and deployed in high-risk areas, referencing the updating of electrics and using the learning from the cyber-attack on Leicester City Council as an example of plans being deployed and testing being carried out. The risk does not come from the lack of Plans but rather the reduced capacity for testing the Plans that are in place as a result of low staffing levels.

Mr Pulford queried when the staffing levels reduced, with reference to single points of failure, and where the responsibility lies to cover the duties. Mr Jones confirmed that Departmental Leads would look into this. Mr Jones also advised that testing does occur during events and planned activities as well as reactively, along with the Team coordinating support for departments to arrange and complete testing. Losing three members of staff in under 12 months impacted their ability to do this, however the Team is now back up to five members and the intention is to be ready with a schedule for February 2025 for Cyber Resilience testing. The Team have also taken on a Sustainability Officer which will allow for testing of areas previously not included, like flooding.

ACTION: When the schedule is in place for the cyber security testing Mr Jones to invite Ms Yeadon to observe.

39/24 Internal Audit Recommendations and Tracking

DCC Sandall gave the Panel an update on the Internal Recommendations and Tracking.

Mr Pulford commented that the table with the original dates and target dates is a welcome addition to the reports and using it going forward would be appreciated.

Ms Yeadon raised questions relating to the 2018 and 2021 recommendations to ensure that any overlap from 2018 will be noted and addressed in the 2021 recommendations before closure. Ms Yeadon also drew positive attention to the appointment of a Workshop Manager and the sign off of the EV Contracts.

Mr Dawkins further supported the appointment of a Workshop Manager as a positive outcome, working on balancing the safety of the fleet alongside cost savings.

Ms Pallas forwarded comments that throughout the Audit Recommendation trackers there is a theme around IT Systems and Suppliers and would like to understand what is being done proactively to manage this and identify risks, and what can be done to mitigate or improve the risks. Mr Dawkins updated that there has been an IT Departmental review and there will be a Contract Manager appointed to help mitigate Contract risks who expected to be in post around Easter 2025.

ACTION: Mr Pulford requested an update / briefing for the Panel from the Contract Manager after 6 months in post (Dec 2025)

Partnerships Domestic Violence – proposed closed, Mr Pulford advised the Panel would like further information on this before closing.

ACTION: Check documents for public information that should be removed before publishing.

40/24 External Audit Progress Update

Ms Griffiths presented an update to the Panel regarding the External Audit, highlighting delays in concluding the vetting processes and that they are working with the Finance Team to see what can be done to remedy this. The updated timeline for completion is now mid-January 2025. In terms of the main points of focus set out within the plan, the significant risks for the Audit were Property Valuations - with an initial sample of this being sent out shortly and potential for a second sample depending on vetting clearances. A good start has also been made on the Pension Liability balance sheet. However, it is worth noting that there are national issues this year with accounting standard IFRIC 14, which requires the consideration of additional liabilities that may need to be recognised, and that this is being worked on across Leicestershire.

DCC Sandall updated the panel on the impact that the delays in vetting via Warwickshire Police is having on multiple areas, not only in relation to the Audit but also to Estates work, limiting the ability to recruit contractors to install defences around buildings like fencing etc, to work towards limiting risks to access.

41/24 Force Risk Register

DCC Sandall advised that the risk level for Vetting has increased because of the delays mentioned above and there has also been an increase with regard to Power and Electrics and the refurbishment works going on in that area. Proposed Closures are for works that have all been completed. DCC Sandall also advised the Panel that CD Performance is in the top quarter for the Country for 999 and 101 calls.

STR411 - Mr Patel asked for confirmation that risks have been mitigated to be able to archive and DCC Sandall and Mr Dawkins explained that yes, all risks have been mitigated and they are happy it will have a formal sign off.

STR0184 - Mr Pulford questioned if the timeline of 18 months for delivery is accurate and Mr Dawkins confirmed that this is a reasonable estimation. The aim is to replace kit before it reaches end of life however this is not always achievable. Mr Jones raised that they would pull in wider risk workshops to check for updates with mechanics and electrics for both H&S risks and non-H&S risk registers. The Archives hold a lot of data that can be looked back over and recalled where needed to assist with this.

STR1679 – CD1 – Ms Yeadon questioned the trajectory for compliance with the Home Office Accounting rules and the investment in call management. DCC Sandall explained that there is a back office system that checks all reports, however the reality is that as a shrinking organisation there will be the need to automate some services. They are looking to invest in automation to allow people to respond to the jobs and catch the criminals rather than be checking the paperwork. It is an informed choice to look into automation.

STR0482 – Ms Pallas forwarded comments around Red Fox to question if the risk was known why would the contract expire, has the cost increased and what is the plan for replacement? Mr Dawkins advised that this has been flagged and will be looked at in advance of the next meeting.

42/24 OPCC Risk register

Mrs Knott provided an update on the OPCC Risk Register with no proposed closures. The Home Office Grants are due to come to an end of 31st March. At present we have no indication of what will happen post March as this will impact a number of services that may require an exit strategy if funding doesn't continue beyond March.

The Panel commented on how well delivered the pre briefing was and that the reassurance it provided ahead of the meeting was helpful.

Mr Pulford asked for clarity on how SMT review the risks and Mrs Knott explained that the things of note are discussed in a monthly SMT Meeting that focuses on Finance and Risk and it was agreed that a narrative of these discussions where relevant will be included.

ACTION: Mr Pulford and Mrs Knott and Mrs Trewartha to review the OPCC Risk Action Plan.

43/24 Work Programme

Mr Pulford requested the update / briefing for the Panel from the Contract Manager after 6 months in post to be included on the workplan for Dec 2025

44/24 Annual Report of JARAP (Chairman)

The panel discussed the impact that vetting delays may have with the replacement JARAP members and that the proposed timeline of middle of next year may need to be brought forward.

ACTION: Mr Pulford, Mrs Knott and Mrs Trewartha to meet early next year to discuss this.

45/24 Any Other Business

Additional meeting scheduled for 9th December 2024 - 11:00 – 11:30
1 Agenda item to discuss the 2021/2022 and 2022/2023 Annual Audit report.

ACTION: Send Teams invitation to Panel.

Date of next meeting

13 February 2025

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Last updated: 23/10/2024

Meeting Date	Minute No.	Action No.	Action	Person Responsible	Target Date	Update
17.01.23	5/23.4	3	<p><u>Counter Fraud – 4.3 Lack of Fraud Training</u> Dip sampling of evidence to be provided to show that the work is being carried out and is working</p>	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. 17/07/24 - This has now been superseded as it has been recognised that refreshed training in relation to fraud is now required and this is</p>

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					<p>being taken forward and developed in conjunction with the Team Leicestershire Academy TLA and the Training Commissioning Board TCB.</p> <p>Please see the recent Mazars revisit audit - Counter Fraud and Whistleblowing June 2024. This is now proposed closed and taken forward under recommendation 1 of the more recent audit report to avoid duplication, whilst not losing sight of the recommendation.</p> <p>1/8/2024 – Action was agreed to be left open as per JARAP meeting 1/8/2024</p> <p>03/10/24 – Update – OPCC is revising the counter fraud joint policy which is awaiting approval. It is completed. Furthermore, as per the update 17/07/24, DI Scott from the CCU has reviewed the training and whilst considered fit for purpose, it will be refreshed.</p> <p>The existing training located on Sharepoint does not have the capability to track the specific individual who has accessed it. The options being considered is to utilise a QR code at the end of the training which will then show who has completed the training, or when refreshing the material, consider creating a video package (similar to PVP training).</p> <p>Additional but longer-term IT solutions is viable SharePoint and PowerBi, which could capture and register completion.</p> <p>22/01/2025</p> <p>The overarching requirement has been raised and placed on the Risk Register to be monitored to track compliance.</p> <p>The Joint Anti-Fraud, Bribery and Corruption Policy with the OPCC is still awaiting approval. Kira Knott (CFO – OPCC) Kira stated that it has been on the agenda for the last few Corporate Governance Boards but unfortunately the meeting has been dominated by budget discussions.</p>
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Kira has asked for it to be put on the agenda for the meeting in March 2025 so hopefully it can be signed off then.

The Anti-Fraud and Corruption Training was sent out to all Head of Departments on 13/11/24 with a request that this is cascaded down to all their officers and staff (attached). To date there have been 779 respond in the positive that they have completed the training.

The intent to identify which policies are in place that reflect mitigation around theft and fraud has had a response from Supt. Rob Arthur

Within SSD in response to this we had initially looked at changing all force policies to include a section on anti-fraud/corruption, but the reality is this isn't achievable. There are so many of them in total and business owners always struggle to keep them updated, let alone review them ahead of time and insert a new section.

I think the most sensible approach once those relevant policies are identified by Matt, the owners are provided with a set approach/template to insert regarding anti-fraud/ corruption, so we have consistency, otherwise we'll never discharge the recommendation

The approach suggested by Supt. Arthur is in the process of being addressed.



ANTI FRAUD AND
CORRUPTION STRA




Risk review -





Joint Anti-Fraud
Bribery and Corrupti



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31.01.24	05/24	11	<p>Wellbeing – Satisfactory Assurance February 2021 4.1 Review of Policies and Procedures 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>17/07/24 – The ‘Procedures’ are listed here: HR – Redeployment as a Reasonable Adjustment; Police Staff - Further consultation with Unison concluded. Stakeholder engagement is now taking place.</p> <p>Honoraria; Police Staff - No update. For information, the lead here is embedded within the JE Project delivery. Her manager has been through workload and deliverables to try and dedicate time to complete; however, the Hay review is taking priority at this time. I am hoping that by the next update we are in a position whereby things have progressed forward but due to competing demands we have not been able to progress as hoped - Kat Eaton Head of HR 03/04/24 - Update position required from Kat Eaton – may have to follow on as understood JNCC does not convene until 11th April</p> <p>16/09/24 - Please also refer to Action 30 for update</p> <p>Please see update report from Supt Arthur – internal audit Recommendations1.</p>  <p>Internal Audit Recommendations T</p> <p>Proposed Closed</p>
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	1/8/2024 - Mr Jones to contact Ms Yeadon with dates of the business continuity exercises.
01.08.24	5/23.4	23	<u>Counter Fraud – 4.3 Lack of Fraud Training</u>	Mr Sandall	Oct 2024	The Counter Corruption and Whistleblowing report was completed by the external auditors in June 2024 and identified 4 areas that required

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			Mr Sandall agreed to merging the risks with the new audit.			focus. This will be progressed with a deadline to be addressed by March 2025. Proposed Closed – As this is a duplicate of Action 3
01.08.24	23/24.1	24	<u>Portfolio Management Audit</u> Mr Sandall to provide the panel with a copy of the slides presented to the Executive Team on “How to strengthen benefit realisation measures”	Mr Sandall	Oct 2024	 20240515 Benefits Realisation Exec v1.0 Please note that this is a snapshot for the month of June, it captures a moment in time. Proposed Closed
01.08.24	23/24.2	25	<u>Portfolio Management Audit</u> Mr Sandall to confirm whether the change team have previously conducted gap analysis.	Mr Sandall	Oct 2024	The Skills gap analysis does indeed relate to a recommendation from the Mazars Audit of the Portfolio Management Office - The PMO should conduct gap analysis of the available PMO skills and resources and create a skills matrix which identifies gaps.  Change Team and PMO Skills Matrix.xls In terms of progress, a skills matrix has been created covering key activities and knowledge areas for the Change Team. The matrix provides an overview of skills across the team and their method of training to bridge any gaps. From September this will be populated by Line Managers and ratified with staff during their regular 121 meetings to form an initial gap analysis and will then be tracked and updated through annual PDR meetings with the staff. The full audit report is attached and has a total of 6 recommendations which is being progressed. Please refer to Mr Molletts progress update report with lead updates and evidence to support progress. Proposed Closed
01.08.24	23.24.3	26	<u>Counter Fraud</u>	Mr Jones	Oct 2024	16.09.24 - Update

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			Mr Jones to check whether there are any additional risks at the next risk meeting.		<p>There are risks related to fraud on KETO (internal risk tracking system) already and M.Jones is not aware of any additional ones. He has met with Head of PSD, and have a Health, Safety and Risk Committee that tracks PSD risks, so there is a clear mechanism for the force to raise future fraud risks if it needs to.</p> <p>In addition to this, each department head will be asked to update their policy and procedures with regards to this area of risk. It will be their responsibility to identify fraud risk and to mitigate this whilst ensuring it is reported to Professional Standards Department.</p> <p align="center">  Risk report Oct 24.docx </p> <p>Re-allocate action to Mr Matt Jones Proposed Close</p> <p align="center">  Risk review - anti-fraud and theft </p>												
01.08.24	23.24.4	27	<p><u>Wellbeing – Satisfactory Assurance February 2021</u></p> <p>Mr Sandall to provide statistics to show the use of Bad Apple in relation to the size and number of employees. Whether there has been a percentage % increase/decrease or stayed even, compared to other forces.</p>	Mr Sandall	<p>Oct 2024</p> <p>Of note, there was an increase in reporting for the dates 19/02/24 - 18/05/24. This is when the Crimestoppers Integrity Line was launched (March 2024) as a national initiative and publicised across the country on the back of the work the MET undertook. It had already been embedded in Leics, and been publicised at a local level, but not at the level profile as the national campaign.</p> <p>Leics Police</p> <table border="1"> <thead> <tr> <th>Date From & To</th> <th>Bad Apple</th> <th>Crimestoppers</th> <th>Totals</th> </tr> </thead> <tbody> <tr> <td>19/05/24 – 18/08/24</td> <td>34</td> <td>5</td> <td>39</td> </tr> <tr> <td>19/02/24 - 18/05/24</td> <td>37</td> <td>10</td> <td>47</td> </tr> </tbody> </table>	Date From & To	Bad Apple	Crimestoppers	Totals	19/05/24 – 18/08/24	34	5	39	19/02/24 - 18/05/24	37	10	47
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19/11/23 - 18/02/24	29	5	34
19/08/23 - 18/11/23	30	4	34

Notts Police

Date From & To	Notts version of Bad Apple - Integrity	Crimestoppers	Totals
19/05/24 – 18/08/24	49	8	57
19/02/24 -18/05/24	54	9	63
19/11/23 -18/02/24	42	3	45
19/08/23-18/11/23	47	10	57

Northants Police

The data gap with Crimestoppers (19/08/2023-18/04/2024) is due to them not subscribing/paying in to Crimestoppers during that period.

Date From & To	Bad Apple	Crimestoppers	Totals
19/05/24–18/08/24	52	7	59
19/02/24 -18/05/24	38	7	45
19/11/23 -18/02/24	31	-	31
19/08/23-18/11/23	38	-	38

Derbyshire Police

Date From & To	Bad Apple	Crimestoppers	Totals
19/05/24-18/08/24	27	6	33
19/02/24 -18/05/24	24	6	40
19/11/23 -18/02/24	29	1	30

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						19/08/23-18/11/23	18	4	22
						Lincs Police			
						Date From & To	Bad Apple	Crimestoppers	Totals
						19/05/24 – 18/08/24	24	7	31
						19/02/24 - 18/05/24	20	5	25
						19/11/23 - 18/02/24	10	6	16
						19/08/23 - 18/11/23	9	1	10
						Proposed Closed			
01.08.24	23.24.5	28	<u>Counter Fraud</u> Ms Hughes to bring the Joint Counter Fraud Policy to JARAP when completed	Ms Hughes	Feb 2025	04/02/2025 - Joint Counter Fraud Policy to be tabled at CGB in March 2025.			
01.08.24	25/24.2	30	<u>Internal Audit Recommendations and Tracking Wellbeing – Satisfactory Assurance February 2021</u> Mr Sandall to confirm whether the Honorarium policy has been reviewed.	Mr Sandall	Oct 2024	The HRBP leading this is heavily involved in the delivery of Hay so over the past few months it has been challenging to progress as hoped. However, the procedure is drafted, and informal consultation has taken place. The intention is to have the procedure to the unions for formal and final consultation in the next 2 weeks (13.09.24) Please also refer to Action 11, and this is similar to the update provided by Mr Mollett in the progress report.			
						Proposed Closed			

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01.08.24	32/24	34	<u>Pre-briefing - Update on HR Tool Kit to be re-arranged in May 2025</u> Ms Hughes to speak to the Force to see if the HR toolkit would be implemented for the May meeting.	Ms Hughes/ Mrs Padhiar	Oct 2024	17/9/2024, /23/10/2024 -Awaiting confirmation. 13/1/2025 – Scheduled to be presented at the 14 May 2025 JARAP pre-briefing. Proposed Close
31.10.2024	39/24	35	<u>Internal Audit Recommendations and Tracking</u>	Mr Dawkins	Dec 2024	31/10/2024 - Mr Pulford requested an update / briefing for the Panel from the Contract Manager after 6 months in post (Dec 2025)
31.10.2024	39/24	36	<u>Internal Audit Recommendations and Tracking</u>	OPCC	Feb 25	31/10/2024 - ACTION: Check documents for public information that should be removed before publishing.
31.10.2024	42/24	37	<u>OPCC Risk Register</u>	Mrs Hughes, Mrs Trewartha, Mr Pulford	Feb 25	31/10/2024 - ACTION: Mr Pulford and Mrs Knott and Mrs Trewartha to review the OPCC Risk register. 28/1/2025 Meeting to be rearranged.
31.10.2024	45/24	38	<u>Annual Report of JARAP</u>	Mrs Hughes, Mrs Trewartha, Mr Pulford	Jan 2025	31/10/2024 - ACTION: Mr Pulford, Mrs Knott and Mrs Trewartha to meet early next year to discuss this.

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31.10.2024	46/24	39	<u>Any Other Business</u> Additional meeting – 9 th December 11:00 – 13:00 to discuss 2021/2022 and 2022/2023 Annual Audit Report	Mrs Hughes	Nov 2024	31/10/2024 - ACTION: Send Teams invitation to Panel. Completed – Proposed Close
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