POLICE AND CRIME COMMISSIONER FOR LEICESTERSHIRE JOINT AUDIT, RISK & ASSURANCE PANEL

Report of	**CHIEF CONSTABLE**
Subject	**BLUEPRINT 20/20**
Date	**TUESDAY 22ND SEPTEMBER 2015 – 9.30am**
Author	**CHIEF CONSTABLE**

Purpose of Report

1.   To update JARAP on the new transformation programme – Blueprint 2020 and its associated governance and risk management processes and procedures.

Recommendation

2.   To note the contents of the report and make any recommendations to the Head of Change regarding changes to governance and risk management.

Summary

3.   The Blueprint 2020 transformation programme will assist the Force in meeting the savings required as a result of central Government austerity measures and cuts to core grant funding. The revised Comprehensive Spending Review savings target will be finalised in November 2015 and is expected to increase significantly beyond the current known savings target of £17 million.

4.   A programme of potential projects was presented to COT and the OPCC in June 2015. The projects have been divided into a number of transformational, themed work streams as shown in Appendix 1. Each work stream will be overlaid with a layer of governance as shown in Appendix 2. The five work streams will each have a Chief Officer acting as a Senior Responsible Officer (SRO). Existing projects will also be managed through the same work stream governance to ensure transparency and themed programme management using Prince2 as an under-pinning methodology. All work streams will then be managed under a portfolio of change via the Change Board with DCC Bannister as SRO.

5.   Risks, assumptions, issues and dependencies (RAID) will be managed at three distinct levels within the overall portfolio. These levels will be project, programme and portfolio and each level will utilise Prince2 as its methodology. Each level will manage RAID within the scope, boundary and tolerances agreed – raising to the next level up any RAID factors that impact outside that particular level. Project to Programme to Portfolio. This should ensure that due

diligence is placed throughout the whole portfolio throughout the period of change.

6. A communications plan has been developed by Corporate Communications team with structured support and guidance at all levels as appropriate. The communication plan includes internal and external stakeholders throughout. See Appendix 3 for further information.

7. The governance as applied to Project Edison has been developed further and lessons learned have also been applied to the management process and procedures. An independent audit by Baker Tilly of the previous change programme was extremely favourable and additional rigor has been applied to the new, larger programme. The Baker Tilly report is included as Appendix 4 for information.

8. The Change Team will act as Programme Office for Blueprint 2020 and ensure that documentation is stored in shared folders and is maintained and updated as required with regular updates being made to both Programme Boards and the Change Board.

9. Several projects are well underway and structured plans for the 16/17 savings will be signed off at the September Change Board. Further projects will be aligned to the proposed Strategic Alliance to ensure maximum benefit is achieved across all Alliance Forces. Once in place an additional Alliance Board will need to be created to manage change across all Forces. Attendees are likely to be Chief Constables and/or Deputy Chief Constables, PCC's and/or PCC Executives, Heads of Change and any overall programme lead for the cross Force Programme.

10. The new Blueprint 2020 programme will be the largest change programme undertaken by Leicestershire Police and guidance is sought from JARAP on the future updates required by the group.

Implications

Financial:	See report.
Legal:	See report.
Equality Impact Assessment:	EIA's will be part of the overall process and procedure and will be (as appropriate) completed at all levels.
Risks and Impact:	See report.
Link to Police and Crime Plan:	The new Blueprint 2020 programme has been linked to the Police and Crime Plan and specifically the 16/17 savings have been aligned to the specific areas of focus of the PCC.

List of Attachments/Appendices
Blueprint 2020 Work Streams – Appendix 1
Blueprint 2020 Governance – Appendix 2
Blueprint 2020 Communications Plan – Appendix 3
Baker Tilly Audit of Project Edison Change Programme – Appendix 4
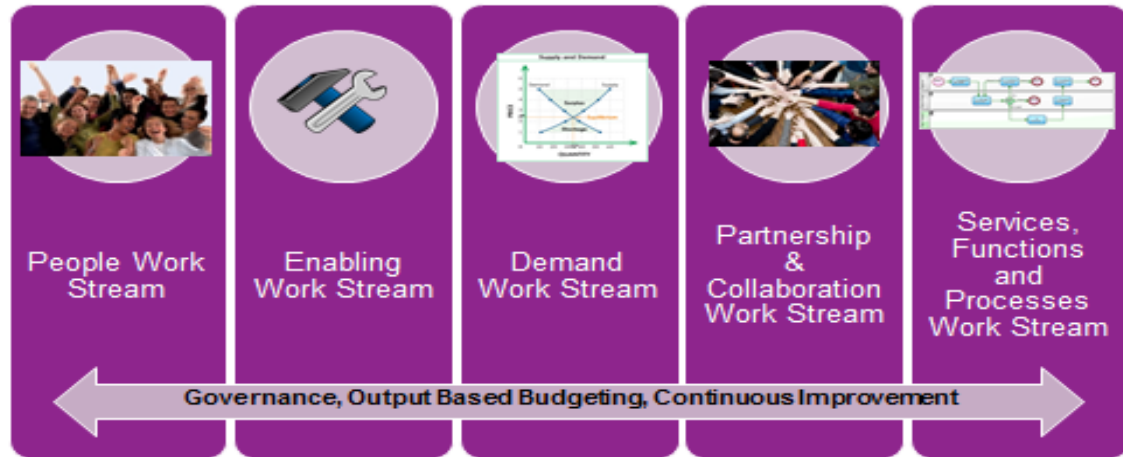
Person to Contact
Andy Elliott
Tel: 0116 248 6094
Email: Andrew.elliott@leicestershire.pnn.police.uk

The 2020 Blueprint Work Streams

Leicestershire Police — Protecting our communities

People Work Stream | Enabling Work Stream | Demand Work Stream | Partnership & Collaboration Work Stream | Services, Functions and Processes Work Stream

Governance, Output Based Budgeting, Continuous Improvement

The Proposed 2020 Blueprint Programme – outline projects and areas of focus

Leicestershire Police — Protecting our communities

People WS	Enabling WS	Demand WS	Partnership WS	SF&P WS
Agile Working	Channel Shift	GIS and information	Regional working with Police partners.	Output Based Budgeting by function and phase
Cultural Change	IVR	Making best use of existing tools	Blue Light Opportunities	Tighter Budget Control
Workforce Modernisation	Retailer Self Recording	Making best use of existing data	Local Teams	CMD Review
Vacancy Control & Resource Management	Video Appointments	Predicting demand	MASH	Corporate Services Review
Building capacity in our workforce	CRM in Partnership	Improved despatch	Shared Front Office	Regional Opportunities
Improving skills & Capacity	Customer Portal	Frequent callers		
Job Evaluation	Customer Apps	Regional Demand Opportunities		
	IT TOM			
	Niche & IT Rationalisation			
	ESN			
	Property Rationalisation			
	Asset Management			
	Social Media			

The programme will be managed in stages. After each stage (such as design and implementation) and as key decisions are required gateway decisions will be required. This will allow the Force to assess progress against the plan and the anticipated savings and make decisions.

COT / OPCC

**CHANGE BOARD
DCC**

Blue Print/Design Principles

Central Portfolio Office

Head of Portfolio Office
Ch Supt

Programme Manager

Change & Assurance Manager

Portfolio Project Managers

Portfolio Project Officers

Portfolio Management across all Programmes, Projects and other related activity in the organisation.

Project Progression Meeting
(chair Programme Manager)

Attendees:
- Project Managers
- Project Leads
- Project Officers

Other Force Projects

Sponsor
Alison Naylor Director of HR

Sponsor
Paul Dawkins Director of Finance

Sponsor
ACC Phil Kay Opps & Crime

Sponsor
ACC Roger Bannister Crime & OPCC

People Workstream

Enabling Workstream

Services, Functions & Processes Workstream

Supply & Demand Workstream

Partnership & Collaboration Workstream

Portfolio Office SRO

Programme SRO
Head of HR
Carol Hever

Programme SRO
Head of IT
Tim Glover

Programme SRO
Ch. Supt Steph Pandit
Corporate Services

Programme SRO
DI McBryde - Wilding

Programme SRO
Ch. Supt Jason Masters

Strategic Leadership & Establishment Board
Programme Co-ordinator
Dan Saunders

Digital Services Board
Programme Co-ordinator
Tim Young

Strategic Infrastructure Board
Programme Co-ordinator
Tim Young

Supply & Demand Programme Board
Programme Co-ordinator
Dan Saunders

Programme Board
Programme Manager
Andy Elliott

TOM Development Group

Task & Finish Group

Task & Finish Group

Task & Finish Group

Task & Finish Group

Task & Finish Groups
1. Strategic Alliance
2. Local Integrated Services
3. Statutory/Non-Statutory

| HR | IT | Finance | Estates | Fleet | L&D | Corporate Comms |

Governance, Output Based Budgeting, Continuous Improvement

Regional Activity

Blueprint 2020 –
The future of policing for Leicester, Leicestershire and Rutland

COMMUNICATIONS STRATEGY

V2 May 2015

TABLE OF CONTENTS

INTRODUCTION

Leicestershire Police is developing a blueprint that describes how its police services will look and feel by 2020. Blueprint 2020, a theme for the work, will deliver a vision for the service and plan out what needs to change over the next few years.

It seeks to understand how its police services can be delivered more effectively and look at how the force will need to become smaller, faster and smarter in how it operates. It will consider the use of new technologies for improved intelligence and digital engagement with the public to achieve better identification of threat, harm and risk.

Keeping prevention at the heart of policing, Blueprint 2020 will look closely at all aspects of the organisation and identify potential transformations. It comes at a time when the organisation is facing unprecedented financial challenges with reduced funding and millions of pounds worth of savings that need to be delivered. Although the work for Blueprint 2020 is accelerated by the austerity cuts, its main purpose is to design and deliver police services that are fit for a new era of policing.

Working together with colleagues, partners and the public, the Force Change Team will identify better use of resources, more intelligent- and technologically-led real time uses of data, understand new ways to access police services with options for the public to self-serve, plus look at options to build better partnerships which can deliver joined up services and combine resources.

Blueprint 2020 seeks to achieve:

- Prevention at the heart of policing
- The right people with the right skills
- An intelligence-led position
- Residents who are knowledgeable about how to access and influence policy priorities
- The use of technology and social media to reach out to the public and help address issues
- Better engagement with private partners / NGOs / public organisations
- Improved targeting with attention on specific areas and crime hotspots.

This communications strategy will:
- Help inform audiences about the implementation of changes and explain about a new era of services
- Support the delivery of the wider organisational and behavioural changes needed for-long term success
- Define the timing and the messages for each stage of the process.

We need to determine:
- When Blueprint 2020 should be launched?
- Who are the key audiences?
- Will there be a tiered approach to message delivery?
- What are those messages?

Then we need to:
- Further understand the details behind the work streams as they develop
- Develop tactical communications plans for each work stream to engage the various audiences in the development process.

COMMUNICATIONS STRATEGY

SITUATION NOW

To successfully deliver any organisational changes, those involved must first understand the vision. They must understand the vision set out by the Chief Constable, the importance of continuing 'Our Duty', what changes are ahead, why they are needed, how they can support and be involved in the process, and how the changes may affect them. It starts with understanding what success looks like.

By developing a consultative approach, Blueprint 2020 is able to identify key influencers - those people who are well-connected and widely-respected and who can positively support key changes and messages. Key influencers can also offer invaluable perspectives on the current situation, regardless of their connection to the organisation.

Internally, Leicestershire Police has a deeply-embedded culture which is task focused, results driven, hierarchical in structure, historically family-orientated and structured around delivering tasks and objectives defined by the Police and Crime Plan.

This culture will need to continue to change to ensure it is suitable for a new era of policing. Building on its strengths, it will need to be clearly defined to evolve correctly and be underpinned by training and infrastructure.

The force has undergone ten years of organisational changes, the most recent of which was Project Edison. Since this phase ended, there is evidence of 'change fatigue' among areas of the workforce. On the positive side there are examples of successes that can be used to underpin further changes and there is also evidence of high motivation.

The external audiences are very diverse and each will have a unique level of expectations and desire to be involved in the changes. Victims, witnesses, offenders, service providers, politicians and unions, to name a few, will be involved in the journey. They too will need to feel informed, understand their involvement and be invited to offer feedback on what they feel makes a good and accessible police service.

Good, quality information and targeted communication are essential. To ensure continued confidence in the service individuals need to know that the support, infrastructure and feedback processes are in place. These will also help to embed change in the long-term.

RESEARCH AND INSIGHT

Every solid audience profile starts with a fundamental understanding of who the audience is. Demographic profiles look to understand people's motivations and these can help to uncover information which in turn can establish a common ground. This makes it easier to communicate the correct messages at the right time.

Due to the population's diverse ethnicity, age range, living and cultural differences, the difference in types of crime within a community and the acceptance of change, it is important to have deep insight into all the audiences that are involved.

An individual's intention to perform a desired behaviour is determined by their behavioural attitudes - an individual's attitude towards a behavior and whether they think that it is important enough to act in that way. This is influenced by two things: their subjective norms – their own estimate of the social pressure that will be put on them to perform in that behaviour; and their perceived behavioural controls – the extent to which a person feels that

they can control the behaviour and have the confidence levels to perform it well. (*Government Service Communication, 2014 Edition*)

To deliver change, it is important to identify where individual and cultural resistance lies and why it exists. Discussions with thoughtful people inside and outside of the organisation will help inform the types of behaviours that are most common - both positive and negative – and how to overcome them.

At present there is fragmented information about the audiences, internally and externally. Each audience is unique and each has different views on the same subject. For each of the work streams that Blueprint 2020 is developing, it will be important to identify:

- Audience profiling / mapping
- Message identification
- Channel selection and targeting

To achieve effective communications it is important to work closely with audiences, to consult and gain feedback, to carefully harness the opportunities available. The focus should be on removing any fears associated with change and to understand where those behaviours stem from. This includes staff, officers, partners and stakeholder groups.

Developing insights using geo-mapping tools to overlay insights about demographics, media consumption onto geographical locations, will help to truly understand the types or people that are in our communities.

THE VISION

Leicestershire Police is an intelligence-led, effective and efficient organisation which delivers timely, accessible and targeted police services. It has the right people with the right skills and gives the community a chance to engage with the police in the way that they want.

It deeply connects the desired organisational culture and its values, with the objectives of the Police and Crime Plan and looks at every aspect of an employee's working life, including:

- recruitment
- retention
- development,
- rewards and recognition
- corporate cultures.

It has strong partnerships and works in close collaborations to deliver its services. Data sharing and improved technology are enablers of a single view of the customer and this means faster identification of threat, risk and harm. There are options for multi-agency working and volunteers, which create a workforce that is able to quickly meet the demands of a changing society, and one that is able to quickly identify and coordinate support for those that need it most.

There is a strong and cohesive leadership team, empowered managers and staff, with a defined mission. There are good working relationships with all parties, positive attitudes and culture, optimised technology and a workforce with greater mobility and flexibility.

Leicestershire Police continues to evolve it services and is able to intelligently predict future demands.

MESSAGE IDENTIFICATION

Leicestershire Police is a trusted organisation with a reputation for providing a high quality service. There are high levels of confidence in the police service.

A review of Edison has highlighted that there is an opportunity to work better with partners and to involve them earlier in the ideas for delivering change. This process will also help to inform the content of the messages that will be most effective, from young people to the elderly.

In looking forward, Blueprint 2020 must gain the confidence and support of colleagues, partners and the public now. It must identify opportunities and understand gaps in service delivery areas, and look at the potential changes to move the service where it needs to be in the future.

The communications for Blueprint 2020 should look at sharing problems and overcoming them together through consultation and feedback. This will help to promote close working relationships and increase confidence as it says "we're in this together".

Being reflective and celebrating the successes from the past are great ways of building support and the foundations for future. To communicate how technological, organisational and cultural changes have already been achieved and how these have positively affected where the organisation is today.

Communications messages should be framed "positively" and describe what is wanted and what audiences can expect. This shifts the framing to supportive and achievable. Positive messaging helps to decrease defensiveness and promotes motivation. (*Psychlopedia- Gain and loss framing*)

The perception of 'change' needs to alter and be associated with positive messages, moving more towards an 'evolution' of services and achieving 'a new era of policing'. All audiences must understand that change is constant and is part of everyday life, for the service to meet the changing demands.

Blueprint 2020 will focus on **five areas of work**:

1) **Investing in people** – getting the right people with the right skills
   - Agile working
   - Job evaluation
   - Building capacity in our workforce
   - Vacancy control and resource management
   - Workforce Modernisation (the mix of people: What is success?)
   - Improving skills
   - Building capacity.

2) **Enabling the workforce** – having a infrastructure that supports future delivery
   - Emergency services network
   - Asset management
   - Property rationalisation
   - IT rationalisation.

3) **Demand** – intelligence led policing and improving accessibility to police services
   - Single view of customer
   - Channel shift and demand reduction

- o Criminal justice regional options

4) **Partnerships and collaborations** – delivering shared services and better use of data
   - o Shared front office
   - o Blue light collaboration
   - o Partnership safeguarding
   - o Local integrated teams
   - o Regional collaborations.

5) **Services, functions and processes** – redesign how we work to be faster, more informed, more efficient and use technology to reduce costs
   - o Budget control
   - o Continuous improvement
   - o Outcome based budgeting.

MESSAGE SCHEDULING

Detailed communications tactics will be developed for each of the work streams. However, it will be important to schedule the timings and interdependencies of these communications and to think about them holistically.

A launch is needed first to explain the "Who? What? When, Where? and Why?" of Blueprint 2020. This can then be followed by more involved explanations of each project and how audiences can be involved and have their voices heard.

Communications will be drip fed and include honest and transparent information about the successes, learnings and further opportunities.

THEMING

A theme will give the delivery of a project an identity. Its design should be friendly, supportive, and innovative, deliver a feeling of continuous improvement, represent a new era for policing and be part of everyday working practices.

It is about designing a service that meets the needs of the community today and in the future, and about doing things differently

It allows all audiences to recognise that the communication is associated with messages from Blueprint 2020. The identity will run across all internal and external communications and at all times be used in conjunction with the Leicestershire Police corporate identity, to provide credibility.

INTERNAL COMMUNICATIONS:

Audiences:
- Police officers
- Police staff
- Volunteers

Internal audiences need to:
- Understand what part can they can play in the changes
- Know what success looks like
- Feel involved and that they can make a difference

Success: Change embedded (recruitment to retirement):
- Values are embedded and at the heart of everything
- Recruitment and induction processes support the strategic direction
- Training and development embeds values, skill and creates the foundations
- Reward and recognition supports motivation and service delivery
- Everything is underpinned by targeted communications.

Opportunities	Threats
• Keep everyone informed, remove the fear and unknown • Everyone can support delivery of transformation, explain what success is. • Everyone can be personally accountable for building the public service of the future. • Create feedback opportunities and a learning organisation to support continuous change process • Create a flexible workforce and culture that can support and deliver changes needed. • Identify motivational influencers that will support messages • Develop engaging communication opportunities and events which create curiosity and positive feeling • Different way of working that offers a better work life balance • Utilise policies that exist now to implement things quickly	• The work force is suffering from "change fatigue" • Increased concerns over officer safety due to less staff • Increased perception among criminals that there are less police on patrol and increased confidence to commit • Resistance to change is different at different levels in the organisation • Using technological developments as a reason not to change • Negative perception that police officers portray about being line managed by police staff • Perception of volunteers being undervalued • Need for increased leadership skills • Management perceptions and adoption rates • Increased work pressures due to reduced numbers and reverting to old practices.

Channels:
- Intranet (fundamental to communicating change within the organisations)
  - Community board
  - Digital banners/pods /short links
- Consultation
  - staff internal roadshows
  - staff surveys;
  - events with partners;
  - internal workshops

- Emails (targeted)/personal letters
- Reporting structures/team briefings/1-2-1s
- Induction/PDR
- Training and leadership skills
- Behaviour modelling by senior leaders
- Motivational leaders/Influencers
- Peer to peer interactions/story telling
- Reward and recognition
- Business processes and policies
- Newsletter/Duty Calls
- Message boards, posters and leaflets
- Screen savers/desk drops
- Committees/organisational networks
- Ad hoc gatherings/events/communities of interest
- Changes to physical plant, resources and aesthetics

EXTERNAL COMMUNICATIONS

Audiences
- **Public** – service users and those with the potential to use the service, all demographics.
- **Service providers** – businesses that offer support police services
- **Collaborations** (joint working) – shared locations and services located locally, regionally and nationally
- **Political influencers / stakeholders** – MPs, city and county council, etc.
- **Unions** – Federation and Unison
- **Media** – local and national media and specialist interest titles

External audiences need to:
- Continue to feel safe and know that they can access services as needed
- See evidence that changes are having a positive effect
- Feel fully informed of the process
- Be able to give and receive feedback.

Success: Positive support for change
- Local, regional and national support
- Key influencers promoting the messages
- Positive media coverage
- Effective collaborations and multi agency working
- Shared databases and resources
- Underpinned by targeted communications
- Reduced costs, less duplication, more efficient ways of working and can respond more quickly.

Opportunities	Threats
• To keep everyone informed and remove the fear and unknown	• Groups and individuals have their own agenda and do not support the vision.

• Deliver positively framed messages and increase transparency • Audiences can support the delivery of the transformation process and help to develop the vision. • It is possible to have their voices heard and help develop a police service fit for the future. • Build strong and effective working relationships, locally, regionally and nationally. • Be seen as pioneers for change and effective working practices • Be leaders in innovation and technological advancement • Be proactive in how the messages are delivered, when, where and how to gain support early. • More informed decision making and better identification of threat, risk and harm • Improved identification of trends to inform demand and focus on issues • Increased police presence on the frontline and improved ability to meet demand • Raise public awareness of protection issues earlier to improve understanding and prevention. • Manage the expectations of stakeholders about what the police will and will not deliver. • Create positive corporate social responsibility and green messages	• Barriers to sharing data and its management. • Develop IT solution in partnership that do not meet the requirements of our service • Satisfaction and confidence levels drop as changes are implemented • Reduced services in the short term leading to negative media coverage. • Small adoption of online services • Criticism over cost of investment during a time of austerity • Some changes being seen as unnecessary or not critical. • Increased public awareness from real time data and heightened fear of crime. • Outsourcing services may be seen as expensive with reduced accountability • Not being able to deliver the savings on the things that have been implemented. • Changes have negative effects on the workforce and unions intervene. • Become too dependent on electronic services and high risk of power down/hacking etc • Further expenditure cuts • Government changes to police services • Reinforcing a 'us and them' culture (managers vs. frontline and officers vs staff)

Channels:
- Website
- Consultation
    - external workshops / focus groups
    - public social media campaign to gain feedback.
    - face to face / presentations
- Letters/Face to face communications
- Presentations
- Press releases/Media events
- Social media

COMMUNICATION BRIEFS

These briefs will form the basis for individual communications plans that will include details about audience, messages and tactics.

1) INVESTING IN PEOPLE

a) Agile working: *Mobilisation of office staff*

Mobilising office staff means giving them the ability to work from a convenient location, which may include home. This will help to reduce costs and retain those people who would like a more flexible approach to working for Leicestershire Police.

The scheme will be voluntary and each individual will be assessed for their suitability for agile working, based on a number of elements including the service areas requirements.

The IT infrastructure, HR policies, performance management, leadership skills and IT training to support delivery will all need to be in place for it to be successful.

- **Showcase office** – a location purpose built to showcase agile working. It will be trialled for a specific time and include open plan offices, Haven pods as break out areas for meetings, formal meeting rooms, etc.

- **Identify resistance** –overcome and understand resistance by testing the concept. Include sound bites from different people trialling agile working and what it means to them.

- **Support managers** - to understand what performance looks like in this model and how to run an effective team from remote places (eg leadership training)

Benefits	Fears
- Better work life balance and individual well-being - Cut waste not people - Work is what you do, not where you are - Decreased travelling costs - More efficient use of working hours - Different use of buildings to optimise space and reduce costs – the space becomes "activity based" not personal space - Make work an enjoyable environment and productive place to be - Equipment & infrastructure is in place for people to work more flexibly - Pioneering managers that share success across the organisation and develop good working practices. - Be given new equipment - Create positive corporate social responsibility and green messages	- Closing buildings (not losing people) and losing physical assets - Removal of personal space and increased feeling of isolation - Technology and policies not in place across everything leads to frustration - Lack of trust and empowerment in people - Managers approach agile working negatively and don't support the positive outcomes. - Abuse of the scheme - Some people may want to change existing part-time contracts to full time

b) Modernisation of the workforce:

This looks at the mix of people in the workforce and what roles they undertake. The areas of focus may include replacing warranted officers with police staff to manage teams, evaluating job roles to identify duplication and to look at different ways of staffing, like using volunteers.

The communications need to reduce uncertainty by informing teams early how the future service will look and how it will be staffed. This may not mean that people will be made redundant, it's simply involves a different way of working.

- **Job evaluation process** - to look at role profiles and understand overlaps and whether pay gradings are fair. Also to change the dynamic between serving officers being line managed by unwarranted line manager.

- **Volunteers** - how volunteer officers can be utilised to deliver a flexible workforce and how perceptions of their role in the organisation can be improved.

Benefits	Fears
• Roles are aligned and a fair pay structure is in place • Reduced duplication within roles and more efficient ways of working • Volunteer workforce trained to offer flexibility and meet changing demands • Increase performance and effectively deploy resources • Joint management structures • More people on the front line • Reduced numbers of people working in silos or being protective of work • Increased team working • Having the right people with the right skills	• Reduced pay and job losses • Increased scope of an individual's roles as people leave or are reassigned elsewhere • People feel that they are being pushed out • Volunteers are not as qualified or as confident to undertake the roles. • Internal perceptions of the unwarranted managers and volunteers • Senior management support for changes • External perceptions • Motivation and productivity levels fall

2) ENABLING WORK

a) Self-service – shifting demand

This wants to offer audiences that use policing services access to those services in different ways - to move telephone calls towards online services and to have option for the public to self-serve; for the public to receive relevant updates in real time, track crime reports and receive data about crime in their area.

The purpose is to provide accurate and relevant data and customer history. It is important to make services more accessible and convenient for users, and in a way that the public want to engage with it. The information will be intelligence-based and highly targeted.

It will need scope out the demand and take up of online services. Ease of use and simple messaging is a "must" for early adoption of services.

The expectations of audiences using services needs to be managed carefully to ensure appropriate customer satisfaction levels. Service level agreements should be developed and response times identified.

- **Self-recording** (CRM)
  - Receive real time updates
  - Improve customer satisfaction
  - Schedule own appointments/makes payments
  - Supported by tools to screen out fraud
  - Digital evidence capture - provide evidence and upload online
- **New technology**
  - Mobile/tablet
  - App
  - Online portal
  - Video conferencing
  - Social media sentiment to identify trends
- **Multiple channels**
  - Inbound
  - Outbound (push notifications inc mktg)
- **Strong partnerships - collaboration**
  - Common data
  - More informed decisions
  - Escalate situations more quickly
  - Joint working solutions on front line

Benefits	Fears
• Reduce costs	• Minimise staff/Services
• Improve service delivery times and customer satisfaction	• Increase in training needs/need improvements to IT infrastructure
• More informed decisions, more quickly. Better inform threat, risk and harm	• Must ensure accountability - who responds and by when
• Collating evidence and uploading it online	• Security and trust breaches
• Transparency improves as people receive push notifications	• Increase in public safety concerns
• Targeted communications	• Reduced attendance at certain jobs due to skill set.
• Collaboration to increase effectiveness of response/reduce costs/one-stop-shop	• Adoption of technology limited
• All services are well tested before being implemented	• Technology is not rolled across entire organisation creating disjointed services.
• CRM system is user tested	• Limits of technology
	• Operational risk if process fails

3) DEMAND

a) Predictive policing – intelligence led

Here the focus is to harness the power of information, geo-spatial technologies and evidence-based interventions that will further reduce crime and improve public safety.

It also looks to intelligently use data to inform tasking and despatch, and use new technologies to reduce paperwork and increase efficiencies.

- **Remote briefings** – meetings and tasking via MsLync and video conferencing. Remove the need for base stations.
- **Smart phone app** – tasking delivered via digital intelligence

- **Better tasking** - better tasking, officers deployed to greatest risk, threat and harm and can predict areas of crime, with cross boarder working
- **Intelligent dispatch** – Most appropriate resources sent to each incident, locally and regionally based on geography and skill set, integrated with partners, location relevant data
- **Digital evidence capture** – speech text for statements/signature capture, workflow technology to route information efficiently and minimise paperwork eg auto build prosecution files.

Benefits	Fears
- Remote briefing allows for a flexible work force and helps to improve communications with people working remotely. - Helps to reduce overheads eg fuel, buildings - Smart phone app allows access to data in real time - Better tasking is achieved as resources are placed where they are needed, faster and more intelligently - Demand is better informed and can identify emerging crime trends/hot spots - Digital evidence capture reduces time spent on paperwork, increases productivity and keeps officers on front line - Increased use of digital technologies will help to remove human error - Regional and national intelligence sharing for improved evidence coordination - Improved customer satisfaction as results are achieved more quickly	- Change fatigue, change of hours, start locations etc - Size of patrol area increases and increased concerns over personal safety – Health and Safety - Station closure means officers don't have a base to start from, get changed, keep belongings - Increased feeling of being remote from the organisation and reduced motivation - Training requirements increase and this limits the number of people than can be trained - Lack of trust, security and confidence in digital evidence capture - Investment in IT infrastructure - Poor data quality - Concern that poor connectivity will prevent receiving data. - Contingency for when it goes wrong - Concerns over data security and tampering - Reduced numbers of staff and officers - Reliance on digital technology can increase risk

4) PARTNERSHIPS

a) Partnership and collaboration

This is about working together with partners more closely and getting them involved in services to create better information sharing, reduce costs, minimise waste and duplication, plus create a flexible workforce that can meet future service demands.

- **Co-location** – shared buildings, joint despatch
- **Data sharing** – single view of the customer
- **Joint funding** – cost reductions across the board by working together
- **Volunteers** – creating a flexible workforce to accommodate peaks in demand
- **Private contractors** – for transportation and custody services

Benefits	Fears
• Rationalise technology and improve IT solutions • Co-location and reduced expenditure on buildings • Stronger working relationships • Coordinated interventions • Data sharing to reduce duplication and administration • Single view of the customer quicker and more informed decision making • Joint funding, joint management teams and common objectives • Outsourcing services for new skills and create flexible workforce • Regional steering groups/Independently monitor outcomes • More understanding of risk for vulnerable people • IT infrastructure more agile allowing the workforce to be more flexible in meeting the demand • More people on the front line and delivering support services • Regional and national delivery of services	• Redesign of services fear of job losses • Loss of skills in house • Less people doing more work • Investment needed in training and development • Investment required in IT infrastructure • Making compromises on IT systems that lead to further inefficiencies and services not being delivered as expected. • Difficult to coordinate and share data • Data quality poor • Loss of physical assets eg buildings may create reduced confidence in the police • Make significant investments in new buildings, IT systems and training which are seen as unnecessary. • Reduced accountability of partners and therefore more risk of failing to attend. • Lose the local delivery touch and feel • Take longer to get to emergency calls • Data protection concerns with data sharing • Increased risk of loss or tampering of data. • Skills of partners/outsourced staff are not appropriate and/or inflexible • Information security issues

5) SERVICES FUNCTIONS AND PROCESSES

a) Delivery of the services

Having the infrastructure and tools needed to deliver effective change is critical. Therefore we need to ensure that the policies and processes are there to deliver them in long-term and to embed change across the organisation.

- **CRM database tool** – for delivery of inbound and outbound real time information
- **Outsourcing** - for specialist skill needs SLAs, service standards

Benefits	Fears
• Intelligence led policing, increase access to information • Earlier identification of trends • Real time information available • Single view of customer and shared data • Shift in demand and more cost effective service delivery • Easy to use and services accessible • More transparent services • Relevant content and better targeting of messages • Regular communication and feeling more	• Services not accessible by everyone • More pressure to deliver more quickly • Increased information among the public could mean heightened concerns • New processes and policies • Not informed of how changes affect them • Increased training needs • Problems with system down time • Loss of skills internally and reduced staff needs • Loss of control over data and delivery of services as third parties are used.

informed • Increase awareness of public safety • Outsourcing for specialist skills • Develop partnership working • Flexible workforce able to meet demand • Reduce demand on frontline services • Users tested functionality in systems before it is delivered	• Using IT system is difficult and adoption of services is low. • Lack of clarity around response times, who responds and completes the follow up if needed. • Major incident where services fail.

GOVERNANCE:
This communications strategy will be owned by Deputy Chief Constable Simon Edens.

It will be managed by Chief Superintendent Rob Nixon and Raynor Risbridger, Head of Behaviour Change, Communications and Public Engagement Directorate.

The communications plan will be reviewed monthly and will include amendments from the Force Change Board Meetings.

RESOURCES:
Chief Superintendent Rob Nixon and Raynor Risbridger, Head of Behaviour Change, along with members of their respective teams will implement the tactics for the communications strategy.

Raynor Risbridger will be Gold Comms Officer and members of the Behaviour Change Team will each take responsibility for the individual work streams for Blueprint 2020

COSTS:
Over and above staff time and lost opportunity costs, there will be as yet unknown financial costs with the implementation of the communications strategy. For example marketing materials, venue hire, research, etc.

TIMEFRAME:
The lifespan of this document is up until 2020, with further revisions between now and then.

REFERENCES:
Brad Harrington, *Creating effective workplace cultures. The work-life evolution study. Workspan*,The Magazine or World at Work, Boston College Centre for Work & Family

Toby Hopwood and Dr Rowena Merritt, *Big Pocket Guide to using social marketing for behaviour change*, NSMC leading behaviour change, August 2011

The behavioural Insights Team,*EAST:Four simple ways to apply behavioural insights.*: Owain Service, Michael Hallsworth, David Halpern, Felicity Algate, Rory Gallagher, Sam Nguyen, Simon Ruda, Michael Sanders, *with* Marcos Pelenur, Alex Gyani, Hugo Harper, Joanne Reinhard & Elspeth Kirkman in partnership with Cabinet office and NESTA

Government Service Communication, *Guide to communications and behaviour change*, 2014 Edition

Psychlopedia, *Gain and loss framing*, Key concepts -- Cognitive concepts - (http://www.psych-it.com.au/Psychlopedia/article.asp?id=335)

Office of the Leicestershire Police and Crime Commissioner and Leicestershire Police

Internal Audit Report (7.14/15)

FINAL

Change Programme

14 May 2015

Contents

Debrief meeting	5 March 2015	Auditors	Dan Harris - Head of Internal Audit
Draft report issued	7 April 2015		Suzanne Lane - Senior Manager
Responses received	14/05/15		Alan Grisley - Assistant Manager
			Rich Davis - Senior Auditor
Final report issued	14 May 2015	Client sponsor	Helen King - Chief Finance Officer (CFO) (OPCC)
			Paul Dawkins - Finance Director (Force)
		Distribution	Helen King - Chief Finance Officer (OPCC)
			Paul Dawkins - Finance Director (Force)

1   Executive Summary

1.1   Introduction

An audit of the development and monitoring of the Change Programme was undertaken as part of the approved internal audit periodic plan for 2014/15.

A Change Plan 2013-17 was produced in June 2013 to provide delivery options to set out how Leicestershire Police intended to deliver the strategic priorities declared within the Police and Crime Commissioner's Police and Crime Plan; and achieve the main objective in the Force Strategy for change; *'with our staff and partners, transform the way we protect our communities and deliver over £20m in revenue savings by 2016'.* Many of the savings achieved following the inception of the plan were transactional in nature, with the main thrust of the extant Change Programme now being the delivery of savings through transformation.

The Force's Change Programme should therefore be understood to have progressed from simple adaptation, which is change that can be accommodated within current culture and occurs incrementally; to evolutionary change, which involves a major change in strategy underpinned by cultural change and the development of the 'learning organisation' where an organisation continually adjusts its strategy as the environment changes.

Within change management programmes there are a number of key factors, the presence of which greatly increases the likelihood of success. We have been mindful of these factors when assessing the control environment and the design and implementation of the Force's control framework to manage risks in this area, as follows;

- Milestones for reviewing progress. Change programmes should be formally reviewed by senior management at least bi-monthly against key tasks that need to be completed. The criteria against which such reviews will take place also need to be explicit and widely known. During this review, we examined the controls regarding the Force's governance of the Change Programme, which we found to be effective.

- A high-'integrity' change team, which is a team that has the skills, checked through regular reviews, to execute the change programme. The selection of such a team, with the required mix of skills, is a key responsibility of senior management. We noted that capacity and capability had been addressed following our previous audit of this area; in particular we noted the Outline Business Case for PR128 (Change Management Support) addressed this.

- Visible commitment to change by top management and consistency in how the change is explained. This needs to be accompanied by 'straight talking' about change with those who will be affected. Management commitment is an integral part of any robust control environment. To this end we interviewed a number of senior management staff during our review, including the Deputy Chief Constable to understand their knowledge and commitment.

- Time and effort required for managing change. It is the responsibility of top management to make sure they have sufficient time and resources to carry out their tasks. The time and effort expended on the Force's Change Programme can be clearly ascertained from review of the minutes of the Change Board (and other governance structures such as the Strategic Assurance Board, Strategic Operational Risk Board and Joint Audit, Risk and Assurance Panel).

The audit was designed to assess the controls in place to manage the following objectives and risks:

Objective	To ensure that the Change Programme has been developed in line with the Strategic Priority to develop and produce a comprehensive suite of change options. Implementation of such options will be in accord with agreed parameters and processes as deemed appropriate to the change option.
Risk	Transforming Services – Fit for 2017

1.2   Conclusion
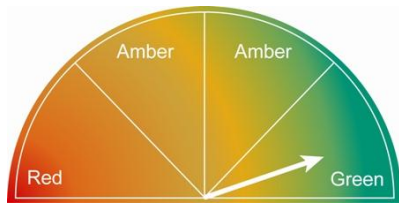
Taking account of the issues identified, the Office of the Police and Crime Commissioner and Force can take substantial assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied and effective.

The above conclusions feeding into the overall assurance level are based on the evidence obtained during the review. The key findings from this review are as follows:

Design of control framework

- An overarching Change Strategy had been developed and was subject to the approval of the Change Board and Office of the Police and Crime Commissioner. The overall change plan is subject to annual updates, which retrospectively analyses the achievements of the previous year and prospectively forecasts the savings targets to be worked towards including plans and options for delivery.

- The aims of the overall change programme are commensurate with the Police and Crime Commissioner's strategic priorities, which are articulated and 'marketed' to the general public via the Police and Crime Plan as posted to the Commissioner's website.

- The Change Programme is subject to governance by the Change Board, whose remit is defined within formal Terms of Reference. Members of the Change Board represent a diverse spectrum of internal stakeholders, who meet once per month and receive formal and ad hoc reports regarding all aspects of the Change Programme.

- The Police and Crime Commissioner receives regular updates and holds the Chief Constable to account regarding the progress of the Change Programme. Formal Change Programme reports are received by the Strategic Assurance Board (SAB), whose remit is specified within a Terms of Reference.

- The independent Joint Audit, Risk and Assurance Panel receives and scrutinises reports and management assurance regarding governance, risk management and control activities aimed at supporting the objectives of the Police and Crime Plan, which includes receiving information regarding the Change Programme.

- The Strategic Organisational Risk Board (SORB) scrutinises reports to ensure that controls are identified and applied to strategic risks facing the Force. The risk of the Change Programme failing to deliver savings / benefits has been appropriately identified as a strategic risk and is reported to the SORB as such.

- Projects which could be included within the wider Change Programme are identified as a result of the momentum gathered by the Change Programme and reported within the annual review; the Change Plan Update 2015-2017.

- A formal mechanism for the initial evaluation of suggested projects has been established, which involves either the submission of an Outline Business Case to the Change Board for approval; or the submission of a Minor Changes Report to the Change Board for their endorsement, following the approval of individual projects within the report by the Chief Superintendent Head of Change. The Outline Business Case template has been designed to ensure that the Change Board received sufficient and appropriate detail of a prospective project to be able to support their decision-making.

- Business cases contain cost / benefit analyses and project documentation includes financial implications tables, which list revenue costs and savings, capital expenditure, changes to officer and staff posts; and budgets allocated to the project. Members of the finance department validate that cost savings are actually achieved prior to incorporating them into budgets.

- The Force operates a clearly defined project management methodology based on PRINCE2 principles. Guidance is available for departmental project managers on the intranet and includes a slide presentation which guides staff through the project management methodology in use; and Project Management Process Structure flow diagrams.

- Project documentation has been consolidated into a Project Governance Pack, which includes a project plan, task summary, project log, risk register, benefits realisation plan, communication plan, and templates for highlight and exception reports.

- Project progress is monitored by the Change Board, who receives separate Project Edison, Change Programme and Business Development Ongoing Projects progress reports each month. Projects are categorised by stage and use a RAG-rating to identify whether the project is on track. Progress reports include updates surrounding milestones, risks and exceptions.

- End Project Reports are submitted to and endorsed by the Change Board. Each end project report includes a review of the benefits and objectives of the project; a review of team performance; project product handover; and summaries of lessons learned and follow-on actions (if required).

- There is a structured process in place to ensure that savings and costs of the Change Programme are captured and fed through into budget monitoring and the Medium Term Financial Plan when they have been finalised and agreed. Establishment attrition rates have been forecast for the next three years to 2017/18. Future resourcing costs associated with the Change Programme have been modelled by the Finance Team.

Application of and compliance with control framework

The following controls were adequately applied and consistently complied with;

- We confirmed that a Change Plan Closure Report was published in March 2014 and illustrated the savings made in 2014/15, both as an overview and in more detail by category. An appendix to the report articulated a breakdown of actual against anticipated savings for a list of 85 individual projects / elements of the plan. From a sample of 10 elements, we confirmed that they could be accurately mapped to planned savings within the Change Programme June 2013, which detailed recommendations for meeting the funding gap expected in 2014/15

- From a review of the 'Change Plan Update 2015-2017 and Beyond' document, we confirmed that progress reported included emphasis on the design and development of a new operational policing model, Project Edison. The update also identified the funding gap as growing to nearly £17m by 2019/20 and set out options for bridging the gap in line with the transformational change strategy.

- The current iteration of the Police and Crime Commissioner's (PCC's) Police and Crime Plan identifies as part of its mission statement, the duty "To protect our communities by focussing on ensuring effective and efficient use of resources", which is underpinned by the PCC's strategic priority to "transform the way we protect our communities and deliver over £20m in revenue savings by 2016/17". This is to be measured by developing a vision, evidence-based business cases for change and implementation of options for change approved through the Change Board. We confirmed that Appendix E to the Police and Crime Plan expands on the financial challenge and offers stakeholders an extensive narrative on the background, strategy and delivery of transformational change.

- We examined the minutes and papers submitted to the Change Board from November 2013 (the date of our previous audit) to December 2014 and confirmed that the Board discussed and scrutinised governance and strategy; project updates; programme risk; new project proposals within the areas of business development and the Change Programme; and collaboration and communications.

- We confirmed that further options for inclusion in the Change Programme have been detailed within the latest annual review, the Change Plan Update 2015-2017, which included;

  o Output Based Budgeting (OBB), the development of which has been postponed to 2015/16 in order to allow alignment with the outcomes of Project Edison. OBB should allow the Force to structure resources so that they match demand and service levels.

  o Increased regional collaboration. We confirmed that this avenue is currently being investigated by the Programme Manager within a report to the Deputy Chief Constable dated February 2015 and entitled "East Midlands Police – Collaboration Opportunities". The report focuses on Corporate Services and Target Operating Model collaboration opportunities and states that "from these options the five Forces could consider a range of opportunities for shared savings, collaboration and efficiencies that extend beyond the current context of collaborative working undertaken across the region to date".

- o Further development of the Project Edison policing model, following the anticipated approval of the Target Operating Model design principles by Chief Officers in March 2015.

- o Other projects designed to deliver local efficiency savings and short-term savings options through an accelerated reduction in posts combined with staff management methods such as part-time or flexible working and a temporary moratorium on recruiting for vacant posts.

- From a sample of five projects, we confirmed that in all cases an Outline Business Case was presented to and approved by the Change Board; and that they all articulated the requisite information to support the Board's decision-making, including costs, savings, benefits, risks and assumptions.

- From a review of the Police and Crime Plan we confirmed that the PCC's Strategic Priority Number 18 requires the delivery of £20m of revenue savings by 2016/17. Within this strategic priority, related priorities have been articulated which includes specific reference to implementation of options approved through the Change Board. We confirmed that the Change Plan 2013-17 contains explicit references to the Police and Crime Plan. We confirmed during our sample testing of project documentation, that projects are explicitly linked to the objectives of the Police and Crime Plan (for example the Outline Business Case for PR128 Change Programme Support).

- During our sample testing of five projects, we confirmed that business cases included cost / benefit analyses and that project documentation included financial implications tables, which listed revenue costs and savings, capital expenditure, changes to Officer and staff posts; and budgets allocated to the project.

- We confirmed that for a sample of five minor projects commencing in early 2014, a Minor Change Report was submitted to and endorsed by the Change Board following the submission of an Outline Business Case to the Chief Superintendent Head of Change.

- We noted from our review of the Change Board meeting minutes that an "On-going Projects Update Report" is consistently presented at each meeting, which shows projects at the Pre-Projects stage, Initiation stage, Implementation stage and Close and Review stage. The report gives details of the Senior Responsible Officer, Project Manager, Project Officer, and an update since the previous Change Board meeting; which includes milestones, risks and exceptions. The report allows the Change Board to monitor progress against the project timeline. Change Board minutes also evidenced that review of projects included challenge where they were off track or failing to produce planned benefits.

- We confirmed that an Edison Implementation and Change Programme Risk Register was submitted to all of the Change Board's meetings in 2014 and that they appropriately included risk descriptions, inherent and residual risk scores, risk mitigation and risk owners. We further noted the consolidation of the Edison Implementation Risk Register and the Change Programme Risk Register in November 2014; and that the Change Programme Risk Register contained specific definitions of the levels of probability and impact to be used when assessing risks, demonstrating an objective approach. We confirmed that the Risk Register was noted by the Change Board and discussed where appropriate during its meetings in 2014.

- We confirmed that two of our sample projects had been completed and that an End Project Report had been submitted to and endorsed by the Change Board. Each End Project Report included a review of the benefits and objectives of the project; a review of team performance; project product handover; and summaries of lessons learned and follow-on actions. During discussion with the Programme Manager, we were informed that a formal End Project Report has not yet been drafted for Project Edison due to the very recent 'Go Live' date, although one will be presented to the Change Board during March 2015. We did note, however, during attendance at a Project Edison debrief, that lessons learned have been captured and key internal stakeholders (estates, fleet, information technology and uniformed representatives) given the opportunity to provide feedback

- We confirmed that establishment costing as a result of the Change Programme was initially conducted based on average salary figures for 2014/15, but has since been re-calculated based on actuals from the 2014/15 year following approval of the business case for Project Edison, to enable more accurate budgeting for the next few years.

We did identify one weakness with the application of the control framework, resulting in one medium priority recommendation detailed further in the Action Plan in Section 2;

- Our testing of project risk registers revealed that they do not adequately capture the effectiveness of risk mitigation measures as defined by a residual risk rating. We also noted some idiosyncrasies in risk scoring, which did not appear to be commensurate with assessed risk levels (e.g. a low risk rating derived from a score which was higher than that of a medium risk rating). Without an accurate assessment and analysis of project risks, any mitigation measures put in place may not be sufficient to reduce the risks to a level within the Force's risk appetite **(Medium).**

In addition, we identified one further area of minor weakness, which has resulted in **one low** priority recommendation being made. Full details of this can be found in the 'Findings and Recommendations' in Section 3 of this report.

1.3   Scope of the review

To evaluate the adequacy of risk management and control within the system and the extent to which controls have been applied, with a view to providing an opinion. Control activities are put in place to ensure that risks to the achievement of the organisation's objectives are managed effectively. When planning the audit, the following controls for review and limitations were agreed:

Control activities relied upon:

- Police and Crime Plan.
- Change Programme Strategy.
- Programme Management.
- Risk Registers.

Limitations to the scope of the audit:

- We have not provided an opinion on the 'actual / specific' details within project plans, but have focused our review on the basis of the application of good practice, project management arrangements and governance within the context of the Change Programme.
- Our work does not provide any guarantee over the eventual outcome of the project or anticipated savings.
- Our work was completed on a sample basis only and projects to be reviewed were agreed with management.
- Our work does not provide any guarantee against material errors, loss or fraud or provide an absolute assurance that material error, loss or fraud does not exist.

The approach taken for this audit was a Risk-Based Audit.

1.4 Recommendations Summary

The following tables highlight the number and categories of recommendations made. The Action Plan at Section 2 details the specific recommendations made as well as agreed management actions to implement them.

Recommendations made during this audit:

Our recommendations address the design and application of the control framework as follows:

	Priority		
	High	**Medium**	**Low**
Design of control framework	0	0	0
Application of control framework	0	1	1
Total	**0**	**1**	**1**

The recommendations address the risks within the scope of the audit as set out below:

	Priority		
Risk	**High**	**Medium**	**Low**
Transforming Services – Fit for 2017 (Change Programme)	0	0	1
Transforming Services – Fit for 2017 (Implementation, monitoring and reporting of projects)	0	1	0
Total	**0**	**1**	**1**

Recommendations implemented since the previous audit in this area:

Date of previous audit: 23 November 2013			
Assurance: Amber Green	**High**	**Medium**	**Low**
Number of recommendations made during previous audit	0	1	5
Number of recommendations implemented	0	1	3
Recommendations not yet fully implemented:	**0**	**0**	**2**

During our review we noted that two low category recommendations raised during the previous internal audit had not been fully implemented. These pertained to the Change Board's Terms of Reference and the compilation of project risk registers, both of which are areas that have resulted in revised recommendations being made within Section Two of this report.

2   Action Plan

The priority of the recommendations made is as follows:

Priority	Description
High	
Medium	Recommendations are prioritised to reflect our assessment of risk associated with the control weaknesses.
Low	

Ref	Recommendation	Categorisation	Accepted (Y/N)	Management Comment	Implementation Date	Manager Responsible
1.1	The Change Board should include within its Terms of Reference; • Date of revision and date of next review; • List of permanent members; • Details of decision-making authority and voting powers; • Periodicity of meetings; • How the Board will monitor its own effectiveness; • Quorum details; • Standing agenda items; and • Deadlines for the inclusion of agenda items.	Low	Yes	The terms of reference of the Change Board are subject of periodic review and the points made in this report will be considered as part of that process	By Sept 15	Ch Supt Nixon

Ref	Recommendation	Categorisation	Accepted (Y/N)	Management Comment	Implementation Date	Manager Responsible
2.1	All project risk registers should be completed to demonstrate consideration of project risks and should include an assessment of any risks originally identified in the business case(s). Project risks should be assessed in accordance with a defined methodology, which details how to measure probability and impact and should be presented in terms of both inherent and residual risk.	Medium	Yes	The Programme Risk Management process was reviewed in Autumn 2014. The comments here will be acted on in updating our project Risk Management process	By Sept 15	Mr A. Elliott

3   Findings and Recommendations

This report has been prepared by exception. Therefore, we have included in this section, only those areas of weakness in control or examples of lapses in control identified from our testing and not the outcome of all audit testing undertaken.

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
	Risk 1: Transforming Services – Fit for 2017 (Change Programme)				
1.1	The Force has in place a Change Board (CB) responsible for the governance of the Change Programme. The CB is chaired by the Deputy Chief Constable (DCC) and includes; • Assistant Chief Constables (ACCs); • Basic Command Units (BCUs); • Directorates; • Senior Business Leaders (SBLs); • HR Director; and • Finance Director. The Police & Crime Commissioner (PCC) is also invited to attend. The CB has in place a Terms of Reference that sets out its remit, meeting frequency, membership, reporting lines and quorum	Yes	We examined the minutes and papers submitted to the Change Board from January to December 2014 and confirmed that the Board discussed and scrutinised; • Governance and strategy; • Project updates; • Programme risk; • New project proposals within the areas of business development and the Change Programme; and • Collaboration and communications. Regular updates in the form of papers were presented in the following areas; • Programme Updates; • Ongoing Projects Update Reports, detailing business development and Change Programme projects against the stage of completion; • Specific Project Update Reports; • Change Implementation Cost Updates; • Savings Plan Updates; • Minor Change Reports; • Edison implementation and Change Programme Risk Register;	The Change Board should include within its Terms of Reference; • Date of revision and date of next review; • List of permanent members; • Details of decision-making authority and voting powers; • Periodicity of meetings; • How the Board will monitor its own effectiveness; • Quorum details; • Standing agenda items; and • Deadlines for the inclusion of agenda items.	Low

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
	requirements. The CB meets each month and the agenda is broken down into the follow key areas: • Project Edison updates; • Other Change Programme updates; and • Updates regarding IT, collaboration, business development and communications.		• Outline Business Cases for agreement; and • Project Closure Reports. We were satisfied that the regularity of reporting on key matters was adequate to allow the Board to discuss and deal with key risks and emerging issues. From a review of the Change Board's Terms of Reference, we confirmed that the Board's responsibilities with regard to the Change Programme had been articulated, but a number of terms were not included, without which the Board's decision-making and accountability may not be perceived to be transparent. For example they did not include any review dates, meeting frequency or decision making powers. Without all key criteria being documented within the terms of reference, there is a risk that the Board will not discharge its duties appropriately, potentially impacting on operational efficiency.		
	Risk 2: Transforming Services – Fit for 2017 (Implementation, monitoring and reporting of projects)				
2.1	An overarching Edison Implementation and Change Programme Risk Register is submitted to each Change Board meeting. The risk register records; • Risk theme (i.e. Operational, Governance, IT etc.); • Risk description;	Yes	We confirmed that an Edison Implementation and Change Programme Risk Register was submitted to all of the Change Board's meetings during 2014 and that they appropriately included risk descriptions, inherent and residual risk scores, risk mitigation and risk owners. We further noted the consolidation of the Edison Implementation Risk Register and the Change Programme Risk Register in November 2014; and that the Change Programme Risk Register	All project risk registers should be completed to demonstrate consideration of project risks and should include an assessment of any risks originally identified in the business case(s). Project risks should be assessed in accordance	Medium

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
	• Inherent risk score; • Mitigation; • Residual risk score; • Risk owner; and • Date closed. Each project has in place a project risk register that identifies risks relevant to the project. Risk registers are reviewed and updated on a regular basis.		contained specific definitions of the levels of probability and impact to be used when assessing risks. From review of all of the Change Board's minutes for meetings in 2014, we confirmed that the risk register was noted by the Board and discussed where appropriate. We confirmed that a project risk register was in place for each of our sampled projects except PR075 – Restructure of RPU / TSG. During discussion with the Project Officer, we were advised that a risk register was not required in this case as the relevant Ongoing Projects Update Reports to the Change Board demonstrated no issues with the project's progress. We did note however, that risks had been identified within the Detailed Business Case's Executive Summary but not mentioned anywhere else in the report. We would recommend that a risk register is included within every project's documentation, to demonstrate that project risk has been considered, and to reduce the risk of issues identified as potentially impacting project delivery not being actioned and routinely monitored. Further, the new project risk registers do not measure the residual risk, impact or overall risk score; and we also noted some idiosyncrasies in the	with a defined methodology, which details how to measure probability and impact and should be presented in terms of both inherent and residual risk.	

	Controls (actual and/or missing)	Adequate Design (yes/no)	Test Result / Implications	Recommendation	Categorisation
			assessment of risk within the Risk Register for PR156 – Cyber Capabilities Development, insofar as there was no logical link between a risk score and the commensurate risk category (Risk Value 6 assigned Low, Risk Value 3 assigned Medium etc.). Without an accurate assessment and analysis of project risks, any mitigation measures put in place may not be sufficient to reduce the risks to a level within the Force's risk appetite.		