

**BAKER TILLY AUDIT RECOMMENDATIONS 2013-15**  
**and MAZARS 2015-16**

**Baker Tilly Audit Recommendations for 2013-15**

Stat us	Internal Audit Report	Audit Report Date	
<b>AMBER</b>	<b>SEIZED AND FOUND PROPERTY (3.14/15)</b>		<b>11 September 2014</b>
	HIGH: 0	MEDIUM: 1	LOW: 0
	<b><u>Medium Recommendation 1.1:</u></b>		
	As planned the Property Management Policy and Procedures should be reviewed and revised, taking into account any issues identified within this review. Given the issues identified in this review we would recommend that once the Policy and Procedures have been finalised and approved a training session is held with Property staff to ensure that they are fully conversant with requirements, especially any changes that have been made from original documents.		
	<b>Implementation Target Date: <del>March 2015</del> – revised Target Date <del>October 2016</del> Revised to September 2017</b>		
	<b>Person Responsible:</b> Corporate Services Directorate Jez Leavesley – Force Property Project Consultant		
	<b>Initial Management Comment:</b>		
	The review of property is now well underway and the team involved are identifying opportunities to streamline processes and increase efficiency which will be relevant to the policy and procedures. Initial work on the refresh and re-write of the policy and procedures is expected to commence in November 2014 when resources within DJD Support have the capacity.		
	<b>Update August – Baker Tilly Follow Up Audit 2015:</b>		
	The policy re-write is still ongoing. Very limited availability of staff trained to write policy and competing demands of Property managers continue.		
Sgt 4320 Simpson (CAID Support) and Julie Treen (Property Team Leader) are tasked to finalise the re-write with a timescale for completion prior to 8th June.			
<b>Update 27<sup>th</sup> August:</b>			
The policy re-write is now complete and is presented in Authorised Professional Practice format, together with an up-to-date Legislative Compliance pack. The document is going through a final checking process before being sent to COT for authorisation, published / updated on internal web-site. This will be completed imminently. Any changes in practice have been subject to internal communication both within the property department and where necessary to a wider relevant audience.			
<b>Update December 2015:</b>			
The final checking process on the rewritten policy and procedure documents has been completed. The documents were sent to D/Supt. Castle on 2nd September for his approval and submission to COT for authorisation. A progress check will be made with D/Supt Castle on his return from annual leave on the 17 <sup>th</sup> November and an update provided for the next meeting.			
<b>Update January 2016:</b>			
The rewritten policy and procedure documents have been completed, authorised and published. Work continues to maintain the relevance of the new document and keep pace with Strategic Alliance and Blueprint 2020 developments but this is outside of the scope of this recommendation. For these reasons I believe the recommendation can be considered closed.			
<b>Update March 2016:</b>			
At the JARAP meeting held on 8 March 2016 it was agreed the Deputy Chief Constable would check that the appropriate staff training had taken place after which the proposal to close would be agreed.			

**Update April 2016:**

There were no significant changes to the property processes which required formal training sessions, however, the policy and procedure was reinforced with the property staff. There remains a heavy scrutiny on property processes by the Crime and Intel SMT.

**Update June 2016:**

At the last JARAP Meeting (May 2016) it was agreed this item to remain open. In addition Mazars were asked to review this recommendation in light of their draft Seized and Found Property report and see if they can be replaced by the most current report. A new implementation target date of October 2016 is projected, however this may require revision dependent upon the current property project.

**Update September 2016:**

Brian Welch Senior Audit Manager Mazars has spoken with Det/Insp Johnny Monks to obtain an update on progress. The policies and procedures have been updated and a new property working group has been created [Brian attended the first meeting]. This group is meeting every 2 weeks and its purpose is to review the property function as a whole including the processes that are followed. Following on from this review, if further training is required then this will be delivered to staff as necessary – Brian Welch Mazars Senior Audit Manager.

**Note: The September JARAP meeting directed that this remained open and an update be provided for future meetings.**

**Update December 2016: Jez Leavesley – Force Property Project Consultant**

Significant work is on-going to update the property policy and procedures. A full re-write is underway. A new review and retention policy was launched as part of the new procedures early November. A new lost/found property procedure is to be launched end November. A full NCALT training package has been prepared as well as staff briefings. Further procedural work on disposal and property other than found is work in progress. Procedure is just one part of an extensive property review project. This includes KIM PMS review and update, transfer from KIM to NICHE PMS target date summer 2016, full review of temporary stores and main stores (location and functionality) with full business case being prepared.

**Update February 2017: Jez Leavesley Force Property Project Consultant**

Force Property procedures remain work in progress. The Review and Retention policy launched in November 2016 has had a very positive effect and been welcomed by staff as it provides clear unequivocal guidance to the Force for the first time. As a result overall property entries reduced from 84,500 entries to 66,300 (22/02/17 Operation Halo). Property entries unaccounted for have been reduced from 8,400 to 2,550 (22/02/17).

The new Lost and Found procedure was launched at the end of November 2016. A full NCALT training package was introduced force wide including specific briefings for property staff/ LSTO's etc.. Feedback so far has been positive.

- A new handling, storage and movement of cash procedure has been written and approved @ 15/2/17. This procedure will go live as soon as the staff training requirements /publicity have been put in place.
- A ceasing retention procedure (complementing the retention & review procedure) is nearing completion. This is currently out for consultation prior to submission for approval.
- A vehicle recovery procedure is nearing completion. Again, this is out for consultation.
- A Property Department audit procedure has now been completed and is in final draft stage prior to consultation.

**Update May 2017: Jez Leavesley Force Property Project Consultant**

Good progress continues to be made with Force property procedures. Since the last board meeting the Ceasing Retention (Disposal) procedure has been completed. This is currently with senior management awaiting review and policy authorisation. This procedure complements the Retention & Review procedure which was introduced in Nov 2016, completing the final element of RRD.

The vehicle recovery procedure (evidential property) was approved and introduced in April 2017. This forms part of the ELVIS vehicle recovery process and in time will be incorporated directly into that stand alone procedure.

The Evidential Property Team audit procedure was introduced in March 2017. This incorporates for the first time, clear audit procedures for temporary stores, main stores, safes, firearms and ammunition, freezers and trakka key cabinets (at request of last JARAP).

All procedures introduced since Nov 2016 –Lost/found, retention & Review, Handling/movement of cash, Ceasing retention, vehicle (property) recovery need to be incorporated into the overall force property procedure main document. WIP.

The final remaining procedure for review (subject to staff availability) is evidential property packaging, bags

and storage. TBA

**Update August 2017: Jez Leavesley Force Property Project Consultant**

Ceasing retention (disposal) went live in early August. Packaging, bags and storage remains WIP although the review of packaging procedures has been completed. The Police Property Act policy/procedure is currently being reviewed. The overall procedure to incorporate all new procedures into one document is progressing well. Target date for completion of this document is end of September. The Evidential property Team audit procedure is being revised to include drugs reception, as this section now comes under the property team remit. A further revision will be required when the audit team also merges with the property team.

**MAZARS AUDITS 2015-17** Please note Mazars priority grade their recommendations into the following:

Status	Internal Audit Report	Audit Report Date
	<b>CHANGE PROGRAMME</b>	April 2016
	<b>FUNDAMENTAL: 0</b>	<b>SIGNIFICANT: 0</b> <b>HOUSEKEEPING: 1</b>

#### **Housekeeping Recommendation 4.1 Aligning Strategies, Policies and Procedures within the Strategic Alliance**

Should the Strategic Alliance secure approval, local strategies, policies and procedures should be considered against those at a SA level. Should SA strategies be approved, this may necessitate the need to reflect such changes in the local strategies/policies/procedures.

**Implementation Target Date: Timescale TBC, but is likely to be an early piece of SA work.**

**Person Responsible:– Alison Naylor - Strategic Lead for People Workstream**

#### **Initial Management Response 20 April 2016:**

It is acknowledged that different terms and conditions, processes and procedures already exist across the three SA forces. Issues relating to these factors are already apparent from existing collaboration across the East Midlands.

A workstream within the SA programme is focusing on people and is already examining opportunities for aligning terms and conditions and policies and procedures.

#### **Update June 2016:**

Plans are on track to present a three-force Strategic Alliance (SA) full business case at a meeting in June. While the induction of two new PCCs in Leicestershire and Northamptonshire is under way, the SA programme team is continuing to collate detailed information from each force, setting out the journey so far, the vision and rationale for change, the operational, financial and political perspective, the transitioning and migration model and identifying risks. Part of this work is also to examine opportunities for aligning terms and conditions for policies and procedures. The outcomes of the meeting at the end of June will determine the future direction of this work. Ongoing recommendation.

#### **Update September 2016:**

We are currently reviewing the implications of a change from Strategic Alliance to Tri-force collaboration. The intention remains to align policy and procedure wherever possible and practical. Papers covering a Tri-force HR plan, Chief Officers Terms and Conditions, Apprenticeship Levy, New Recruits starting Salaries and Public sector exit payments are in the process of being signed off by all 3 forces. A new Chief Officer meeting is scheduled to take place each month and this will significantly speed up the process of agreeing and aligning policy – Alison Naylor Regional Director of Human Resources.

#### **Update December 2016**

Tri-force Executive meeting now set up and HR policies are being progressed through that forum. Policies are being prioritised and are being aligned. A Tri-Force HR strategy (3 years) is being developed to sit above the annual HR plan and will be circulated in draft form in Q1 2017. There is now an agreement around reallocated Bank Holidays and Tri –Force standardised approaches are being developed for talent development, Leadership development and implementation of the initiatives coming from the College of Policing. ARC, PEQF, Apprenticeships, CPD etc...

#### **Update February 2017:**

Work continues as per the December update. The March the 6<sup>th</sup> Tri-Force meeting is a key decision point. Once the scale and shape of future collaboration is agreed, the Tri-Force strategy can be completed.

#### **Update May 2017:**

The Tri – Force HR project is no longer progressing. The decision has been made to develop a joint HR function with Northamptonshire that Nottinghamshire can join at a future date if they wish. As ACO HR, Ali Naylor retains strategic HR responsibility for Nottinghamshire, as well as Leicestershire and Northamptonshire. This Tri-Force Strategic responsibility is being treated as a 'pilot and is being monitored with a review planned for end of July. Proposals for a joint HR function are now being developed.

#### **Update August 2017**

Meeting planned with CC Edens to discuss review of Tri-Force ACO role, proposed delay to review to allow for annual leave commitments i.e. review to commence in September. Leicestershire/Northamptonshire HR Partnership (LNHRP) progressing well, principles for the partnership agreed by both COT teams and employment model also signed off. Work now underway to design structure and develop costs. HR staff from both forces are engaged with developing the partnership and we are working towards an implementation date by the end of 2017.

**PROPOSED CLOSED**

**ICT AUDIT**

April 2016

**FUNDAMENTAL: 0**

**SIGNIFICANT: 0**

**HOUSEKEEPING: 3**

### **Housekeeping Recommendation 4.1 IT/ICT Strategy**

The potential introduction of the Strategic Alliance IS Strategy, should it be agreed, will need to be considered against the local ICT Strategy document. If approved, this may necessitate changes in the local ICT strategy that should subsequently be reflected in an updated document.

**Implementation Target Date: March 2017**

**Person Responsible:– Philip Eaton Strategic Alliance IT Assistant Chief Officer**

**Initial Management Response 21 April 2016:**

The strategies will be aligned as the Strategic Alliance is developed.

**Update June 2016:**

ACO role appointment has been made and we await outcome of Strategic Alliance meeting at the end of June 2016.

**Update September 2016:**

Since the appointment of the Interim ACO IT in June he has started the process of developing a Tri-Force ICT Enterprise Strategy, the current draft covers the Tactical / Strategic and Aspirational objectives of the three forces.

The ICT Enterprise Strategy will use as it's point of reference the following information:

- **Individual Forces Business Strategy's;**
- **Individual PCC's Crime & Policing Plans;**
- **Strategic Threat Assessments;**
- **National Vision of Policing 2020;**
- **National ICT Strategy / Initiatives / Police ICT Co.**

There is still currently further analysis, high level definition and socialising of the ICT Strategy with Key Tri-Force stakeholders to be performed, however the intention is to deliver an interim Business Case to the December PCC Meeting identifying likely funding requirements to 2020, benefits realisation and high level work streams and timings.

**Update December 2016:**

Specialist resources have been engaged to assist in the development of the Enterprise Architecture design, which will be defined by the requirements described in the September Update. Additional elements have been agreed by the tri-Force Executive Board, these include the establishment of a Portfolio Management Office to manage the bigger picture of Tri Force change over the next 4 years. The tri-Force Executive Board reviewed the first draft of the Tri-Force Portfolio of change. Business leads and technical leads to be identified in the November Design Authority Board.

**Update February 2017:**

**Mazars ICT Follow Up Review published February 2017** Ongoing - Now Tri Force planning which has replaced the Strategic Alliance and is led by ACO Phil Eaton.

**Update May 2017:**

Since the last update the tri-Force Collaboration has changed in scope with only TFC IT, TFC Finance and HR in Leicester and Northants. As a consequence the governance structure and meetings are being redeveloped from those implemented in 2016.

Progress on the TFC strategy continues to progress from the TFC Vision document published in march 2017. It is anticipated that the TFC IT Strategy will be released for consultation on 5th June 2017.

TFC Enabling IT Work Streams continue to progress and some are in the process of implementation within May 2017. Specialist resources continue to be engaged to support both TFC IT Strategy and IT Enabling Services.

Enterprise change management remains a risk without the disciplines of a directive Programme Management Office (PMO).

**Update August 2017:**

ICT strategy remains as stated in last update. Next draft of TFC ICT Strategy due 1st October 2017 – ACO Phil Eaton.

#### **Housekeeping Recommendation 4.4 Information Asset Owners**

The organisation's project to establish more robust information asset management and appropriate governance is acknowledged and we recommend that potentially this could also look at the information management structure and resources available.

**Implementation Target Date: ~~December 2016~~ Revised Target Date ~~July 2017~~ 2<sup>nd</sup> Revised Target Date December 2017**

**Person Responsible:– Paul Hooseman – Information Manager**

**Initial Management Response 21 April 2016:**

The purpose of the Protective Security Strategy work is to re-examine the provision of information assurance to the organisation. A key part of that strategy is the development of Information Asset Owners (IAOs) and Champions to better identify risk and alert the SIRO.

The outcome of informed Information Asset Owners will allow the current information assurance resources to re-position into strategic and tactical advisers.

The Information Management Section is undergoing Outcome Based Budgeting during April and May 2016 and an opportunity to re-examine work activity will be available.

**Update June 2016:**

The project support officer was re-assigned to support the HMIC inspection PEEL work. OBB - Delays have been experienced primarily due to annual leave; sickness; operational commitments by the delivery lead in PSD; and reduced support from Corporate Services Projects. Governance has been put in place to address any risks. Highlight Reports are included within the Blueprint 2020 reports which are submitted to the Change Board. The revised implementation target date is end August 2016.

**Update September 2016:**

The Project Lead for this work has now tendered her resignation. The Information Manager will have to pick up this work. Work around capacity in the Information Management business area is being focussed within Leicestershire via the OBB process (now November), and sub-regionally via a Tri-Force Collaboration work-stream (next Gateway meeting in October).

A pilot is being designed to mentor identified Information Asset Owners prior to a wider roll-out.

**Update December 2016:**

IAOs have been identified, an introductory letter has been agreed by the DCC, and all IAOs will be appointed by December 2016.

Following appointment a briefing (being devised) will be held with each IAO or nominated deputy and an initial status position will be established for the main information assets.

This information will be referred to and collated via an organisational Information Asset Register which has been drafted.

Resource capacity within Information management continues to pose a challenge – the OBB process has been postponed further until December, and Tri-Force Collaboration work is pending an appointed lead.

**Update February 2017:**

IAOS have been identified and written to by the SIRO. Next stage is for IAOs to be briefed on expectations by members of the Information Management team. Target is Easter 2017 to brief IAOs and assemble a draft organisational Information Asset Register (IAR).

Further need for a project resource has been agreed by the OBB Panel.

Paul Hooseman – Force Information Manager is the contact person for further updates.

**Mazars ICT Follow Up Review published February 2017** "Ongoing - Progress has been made with IAO been identified and informed of their responsibilities through an IAO Handbook. One of the responsible officers has left the organisation which has meant progress is slower than expected but we were provided with evidence of progress.

**Update May 2017:**

IAOs have been identified, have been individually briefed, and an initial Information asset register has been produced for the organisation. This programme of work will now continue as part of Business as Usual with the Information Management Section; next steps will be further expansion of the Asset register and initial risk assessment of the information assets. Can I suggest the RAG be changed to Green completed?

### **Update August 2017:**

- **Information Asset Owner roles have been identified.**
- **Information Asset Owner personnel have been identified.**
- **Information Asset owners have received one to one briefings.**
- **Information Asset Owners have been walked through and have access to a handbook that describes responsibilities**
- **A help and reference page for Information Asset Owners has been created on the internal Information Management website**
- **Information Asset Owners have been involved in the compilation of an initial organisational Information Asset Register**
- **Governance for this work is provided by the 6 weekly Information Management Group, chaired by the DCC.**
- **Consideration is underway to identify potential for 2yr FTC role of Information Asset Co-ordination Manager. A role description has been created and is undergoing Role Evaluation.**

Work, although on-going, can be classed as business as usual, and has appropriate Force governance.

I believe we should revert to amber, and the bullet points provided can be my latest update. I can provide further detail or assurance when I attend the September JARAP meeting – Paul Hooseman.



FUNDAMENTAL: 2

SIGNIFICANT: 4

HOUSEKEEPING: 2

**Summary Update:**

In June 2016 the Property team was been moved under the management of Corporate Services. A Property Project and working group has since been established, led by Consultant – Jez Leavesley and Support Manager - Anita Panchal who are working closely with the Property Officers and a small team of restricted duty police officers. Prioritising the issues highlighted by the force's auditor, the team are reviewing current policy and procedures and assessing good practice within the police service and across the private sector.

Engaging with key stakeholders, a project plan has been produced to coordinate activity and ensure a timely and cost effective implementation. Current service provision is being managed centrally by Corporate Services.

The initial aims and objectives set by the project Senior Responsible Officer (SRO) are as below:

- **Prevent deterioration of the current structure and processes.**
- **Keep staff engaged.**
- **Cost and finalise proposal by the autumn of 2016.**
- **Reduce items stored.**
- **Merge policies and procedures – being cognisant of a regional approach where practicable**
- **Implementation by the summer of 2017.**

The Project Plan aims to:

- 1) **Prevent deterioration of the current property structure and processes currently in place.**
- 2) **Identify and implement any 'quick wins'**
- 3) **Keep the current force property staff engaged in the daily management of property and in the rationalisation processes outlined.**
- 4) **Cost and finalise proposals outlined within the rationalisation processes of this plan.**
- 5) **Reduce the number of items stored in the KIM property system to an acceptable and manageable level.**
- 6) **Merge current force policies/procedures including improvement of supervision.**
- 7) **Implement the project plan including transfer of KIM to NICHE**

It is envisaged that in future the force will have single site where all forms of property is kept. This may be expanded to include storage of officer pocket notebooks, exhibits and other retained items.

Summary Update

**Fundamental Recommendation 4.1 Safe Key Storage**

Access to the keys to the safes that are holding cash and valuables should be appropriately restricted and keys to the safes should be securely stored at all times.

**Implementation Target Date: Completed Target Date subject scoped options – Implementation date TBA**

**Person Responsible:** Corporate Services Directorate Jez Leavesley – Force Property Project Consultant

**Initial Management Response 20 June 2016:**

This recommendation is accepted. This action was dealt with immediately following the audit. Two Safes were purchased at a cost £13,500 in the last financial year (to end of March 2016) from Traka (part of ASSA asset management group). Since the audit the Traka cabinets have been ordered and are awaiting delivery and installation. Since the audit the Property Manager has had discussions and meetings with personnel within Traka. Traka are a reputable company supplying safes to the military, Ministry of Justice (mainly UK prisons) and the police service. The two safes purchased are the latest technology. All property keys at the two sites will be stored in these safes. They are fully audited by use of the warrant card. Access to keys will be limited to user and movement of keys will be monitored and recorded. This purchase provides assurance and confidence that the safe keys, cash and valuables in safes are fully protected into the future.

**Implementation Target Date: September 2016**

**Person Responsible:** Jez Leavesley – Force Property Project Consultant

**Initial Management Response 20 June 2016:**

In addition it is envisaged as part of the Force Property Project to create an integrated department with clear lines of management accountability and effective, secure and auditable business processes for all aspects of property reception, handling and disposal. Formal project commencing June 2016.

**Update December 2016:** Jez Leavesley

Both trakka cabinets have now been installed and are in use at both property main stores. Consideration is being given to extending the use of trakka cabinets for the temporary property stores force wide which are currently accessed using the standard fob access process. This forms part of the wider project work which also includes a review of temp store safes, access, processes and security.

**February 2017: Jez Leavesley**

The new Trakka key cabinets at the two main stores are working well, the issue has highlighted to the Property project the issue of the temporary overnight stores. Security for these stores needs significantly improving. A full review of the stores has been completed, highlighting the need for CCTV and key cabinets for each store. A review of how many stores the force has and how many it needs is underway. Once this is complete the project will make proposals for finance to make the appropriate improvements.

**Note: This was previously PROPOSED CLOSED – however at the September 2016 JARAP meeting decision to retain for future meetings**

**Action from the June 2017 meeting to revise to Amber:**

20/6/17	23/17	B	Mrs Saunders to revise the RAG rating on D8 to Amber.	<b>SEIZED AND FOUND PROPERTY SAFE MANAGEMENT AUDIT June 2016</b> <b>Fundamental Recommendation 4.1 Safe Key Storage -</b> Now revised back to 'Amber' Update requested from Mr Leavesley
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**August 2017: Jez Leavesley**

The original recommendations raised by the auditors related to the two main stores keys at Keyham Lane and Beaumont Leys. Trakka cabinets were introduced in Dec 2016 to respond to this risk per the recommendation, however, the property project raised additional concerns about key access to the temporary stores safes. Project team research into temporary store security and safes has now be completed. Access to the temporary stores is via security ID X pass. The cash safes keys in the temp stores are retained by the evidential property couriers in the Keyham Lane trakka cabinet and so are auditable. Only the couriers have access to these keys. Concern still exists around the process for key access to the firearms safes. An option could be to introduce trakka cabinets for all temporary store keys across the force which could be used for all keys e.g. car keys/station keys etc... at all police stations where a temporary store exists, but this would cost approx. £100k for the (currently) 18 temp stores. Key issues do not simply relate to the temporary stores and are a corporate issue for key access generally. This remains a risk and further work is needed. The property project team are seeking to identify other auditable cheaper options for the firearms safes at this time.

**Fundamental Recommendation 4.2 Safes Audit Regime**

A segregation of duties should occur in the completion of the monthly safe audits at the various property locations so that more than one Officer is included in the safe audit process.

**Implementation Target Date: September 2016**

**Person Responsible:** Corporate Services Directorate Jez Leavesley – Force Property Project Consultant

**Initial Management Response 20 June 2016:**

This recommendation is accepted. An appendix has been created to the existing draft Safe Procedure. In addition to the recommendation made by audit, further safeguards have been added to include quarterly reconciliation between finalised Property records relating to cash items and the Force bank account. This will provide assurance around the appropriate disposal of each item; it will also provide a secondary layer of independent scrutiny as the reconciliation will be completed by the Finance department.

The draft procedure will be resubmitted to the project SRO. Once the draft document is ratified it will be disseminated accordingly.

**Update September 2016:**

Safes Audit Regime – The procedural audit regime is currently being reviewed by the Property Project Team.

**Update December 2016:** Jez Leavesley

An additional property officer has been identified to complete the safe audit process. This is in addition to the property admin officer who conducts the audits at present. A full property audit procedure remains work in progress. A review of temp store safes has just been completed (mid Nov) and its recommendations need to be analysed. The new audit procedure will include the safe procedure audit regime (above) as well as audit procedures in the main and temporary stores. This specific work is awaiting project officer allocation.

**Update February 2017:** Jez Leavesley

A Property Department audit procedure has now been completed and is in final draft stage prior to consultation. This includes the auditing of safes. Once the consultation process has been completed, the procedure will be submitted for approval and introduction.

**Note: This was previously PROPOSED CLOSED – however at the September 2016 JARAP meeting decision to retain for future meetings**

### **Significant Recommendation 4.3 Procedure Amendments**

The procedure documents for property management should be updated to include sufficient detail for the following areas:

- Packaging and Storage;
- Disposal; and
- Transportation.

The new procedure documents should be communicated to all relevant staff. The review dates for the property management documents should be brought in line with each other and these should be reviewed on at least an annual basis.

**Implementation Target Date: ~~September 2016~~ Revised to September 2017**

**Person Responsible:** Corporate Services Directorate Jez Leavesley – Force Property Project Consultant

**Initial Management Response 20 June 2016:**

This recommendation is accepted.

The Cash & Valuables flowchart and accompanying Standard Operating Procedure drafts provide detailed guidance on seizure and packaging of cash exhibits. Once these documents are approved by senior officers, they can be hyper-linked to the existing Property Procedure document to provide the necessary guidance.

The draft cash & valuables flowchart has already been amended to include the requirement to endorse the cash value of the exhibit bag.

An additional section will be added to the Force Property Procedure highlighting the limitations / requirements of the Force insurance policy in respect of cash transportation.

The disposal section of the Force Property Procedure has been amended to provide clarity with respect to authorities. This amendment will be highlighted for approval to senior officers along with the other draft documents.

The review dates for the three relevant procedures will be aligned to provide consistency of approach.

Once the draft document is approved by senior officers it will be disseminated accordingly.

The property project will also include a specific element focused on organisational culture relating to officer and staff attitudes to property handling.

**Update September 2016:**

Procedure Amendments – Packaging and Storage, Disposal and Transportation is currently being reviewed by the Property Project Team.

**Update December 2016:** Jez Leavesley

A new review and retention procedure was added to the force property procedure early November. Work on the disposal procedure is on-going. Packaging and storage is part of a full review of the force property procedure and is work on-going. A new lost/found property procedure is due for launch end of November. Significant changes are being made to the property procedures. The draft cash & valuables flowchart and the SOP's for cash will be incorporated into the new procedures. Work on-going.

**Update February 2017: Jez Leavesley**

A review of Packaging and guidance has commenced. Work in Progress WIP.

Disposal – A ceasing retention procedure (complementing the retention & review procedure) is nearing completion. This is currently out for consultation prior to submission for approval.

Transportation – Not reviewed at this stage. Remaining as a work package for allocation when a member of staff has been identified. Remains Area for Improvement AFI.

**Update May 2017: Jez Leavesley**

The Ceasing Retention (Disposal) procedure has been completed. This is currently with senior management awaiting review and policy authorisation. This procedure complements the Retention & Review procedure which was introduced in Nov 2016, completing the final element of RRD.

All procedures introduced since Nov 2016 –Lost/found, retention & Review, Handling/movement of cash, Ceasing retention, vehicle (property) recovery need to be incorporated into the overall force property procedure main document. WIP.

The final remaining procedure for review (subject to staff availability) is evidential property packaging, bags and storage which was commenced in February but needs re-allocating when a project member becomes available. TBA

Transportation of cash procedure introduced per previous comments. New transportation (evidential property) processes to be introduced when two new evidential couriers have been recruited. Work package prepared. WIP. Remains AFI.

#### **Update August 2017: Jez Leavesley**

Ceasing retention (disposal) went live in early August. There are significant property handling amendments from the previous process with extensive and extremely clear guidance to property officers on how to dispose of property and when/how this process should be witnessed. Packaging, bags and storage remains WIP although the review of packaging procedures has been completed. A new Evidential property Manager has now been recruited and is in post and is reviewing the storage/logistics of packaging. The Police Property Act policy/procedure is currently being reviewed -WIP.

The overall force property procedure to incorporate all new procedures outlined in this paper into one document is progressing well. Target date for completion of this document is end of September. The Evidential Property Team audit procedure is being revised to include drugs reception, as this section now comes under the property team remit. A further revision will be required when the audit team also merges with the property team.

Two couriers are in the process of being recruited and a new van purchased. Couriers should commence in October.

#### **Significant Recommendation 4.4 Insurance for Transportation of Cash**

The insurance policy for the Force regarding the transportation of cash and valuables should be reviewed and updated as necessary. Cash and valuables should be transported in line with the relevant insurance policy.

##### **Implementation Target Date: Completed**

**Person Responsible:** Corporate Services Directorate Jez Leavesley – Force Property Project Consultant / Ruth Gilbert - Head of Finance

##### **Initial Management Response 20 June 2016:**

This recommendation is accepted.

The Head of Finance has liaised with the insurers and has reviewed and amended the Force policy to meet the criteria/recommendation. This is completed.

The procedural issues observed are also accepted and will be included in the fundamental review of this area of service provision included in the Force Property Project. This is now being led by the Head of Corporate Services Directorate.

#### **Update December 2016: Jez Leavesley**

This is work in progress and forms part of the procedural updates referred to above. The proposal below forms part of the new procedure.

##### **Movement of cash**

In the event there is a requirement to move physical cash the following resources MUST be employed to do so:

- **£0 to £10,000 – 1 or more ECU/Other Leicestershire Police staff member**
- **£10,001 to £100,000 - 2 x ECU/Leicestershire Police staff members one of which MUST be a police officer**
- **£100,000+ - 2 x ECU/Leicestershire Police staff members and a double crewed marked police car escort.**

#### **February 2017: Jez Leavesley**

A new handling, storage and movement of cash procedure has been written and approved @ 15/2/17. This procedure will go live force wide as soon as the broader staff training requirements /publicity have been put in place.

The new procedure has specific requirements for Property officers, Finance department and Economic Crime Unit, and these Departments are already familiar and practiced in the daily handling & movement of cash. This process will go live with these specialists by mid-March 2017.

**Note: This was previously PROPOSED CLOSED – however at the September 2016 JARAP meeting decision to retain for future meetings.**

GREEN

**Significant Recommendation 4.5 Courier Collection**

The couriers should produce a report from the property system detailing the cash items retained in the safes/stores prior to collection. Any discrepancies between the property system report and the cash items collected should be identified and investigated as appropriate.

**Implementation Target Date: October 2016**

**Person Responsible:** Corporate Services Directorate Jez Leavesley – Force Property Project Consultant

**Initial Management Response 20 June 2016:**

This recommendation is accepted.

It is agreed this additional control would be beneficial and will ensure practice is in line with the insurance policy requirements.

The procedural amendment proposed under recommendation 4.3 will address this issue. Once the draft document is approved by senior officers it will be disseminated accordingly.

This will form part of the review of business processes and wider reform included in the Force Property Project. This is now being led by the Head of Corporate Services Directorate.

**Update September 2016:**

Courier Collection – Insurance is in place and yearly cash audit review in Force safes is currently being completed to be presented to Finance.

**Update December 2016:** Jez Leavesley

Process now amended and introduced. The couriers print a cash print pick list from KIM PMS prior to collection and note any discrepancies on the picklist. Any discrepancies are scanned and forwarded to the Force Property manager for action. The manager has the responsibility to investigate appropriately.

**Update February 2017: Jez Leavesley**

Update as above. The amended procedure is already in place but has now been incorporated into the new Movement, Handling and Storage of Cash procedure.

**Note: This was previously PROPOSED CLOSED – however at the September 2016 JARAP meeting decision to retain for future meetings.**

GREEN

#### **Significant Recommendation 4.6 Safe Specifications Insurance**

The insurance policy should be reviewed to include adequate detail of the specifications of each safe required for the contents of the safe to be appropriately covered by the policy. The Force should ensure that the individual safe specifications are appropriate for the insurance policy in place.

#### **Implementation Target Date: October 2016**

**Person Responsible:** Ruth Gilbert - Head of Finance/ Corporate Services Directorate Jez Leavesley – Force Property Project Consultant

#### **Initial Management Response 20 June 2016:**

The Head of Finance has confirmed the detail currently noted in the safe schedule is satisfactory for the insurers. However with the introduction of the Insurance Act in August this year which requires the insured to provide enough information to Insurers to enable them to ask further questions (we believe that the safe schedule currently does this) we feel it would be a good opportunity to carry out further research and update the safe schedule with as much detail as possible in relation to the make and model at least. If for example POCA money happens to be placed in a safe where force money is kept and the safe limit is exceeded, this is accepted as the POCA limit will apply in addition to the safe limit.

This work will take place in line with the insurance policy renewal which is October 2016.

#### **Update September 2016:**

Safe Specifications Insurance - Insurance is in place and yearly safe specification audit review is currently being completed by the property project team within Corporate Services, this will be presented to Finance.

#### **Update December 2016: Jez Leavesley**

A full safe audit was completed by Corporate Services in September 2016 and a database updated and maintained. The Force Property manager now has responsibility for all force safes and maintenance of the database. The database including photographs was provided to the insurers as part of provision of the safe specification.

#### **Update February 2017: Jez Leavesley**

No further update. Updates at September and December provide the completed recommendation. Insurance policy renewal/review completed in October 2016.

**Note: This was previously PROPOSED CLOSED – however at the September 2016 JARAP meeting decision to retain for future meetings.**

### **Housekeeping Recommendation 4.7 Assessment of Safes/Retention Policy**

An assessment of the safes required by the Force should be conducted to ensure that sufficient safes are available for the storage of seized and found property. The Force should consider the introduction of a policy for the timeliness of banking cash that is not required to be stored in the safes.

**Implementation Target Date: ~~October 2016~~ Revised to September 2017**

**Person Responsible:** Corporate Services Directorate Jez Leavesley – Force Property Project Consultant

**Initial Management Response 20 June 2016:**

This recommendation is partly accepted.

The cash & valuables flowchart has been amended to reflect that all seized cash exhibits will be banked after 28 days unless retention is specifically authorised by an officer of at least Inspector rank as an investigative necessity.

Once the draft document is approved by the Project SRO and ratified it will be disseminated accordingly.

The recommendation to increase safe capacity has been considered and it is the management view that an unnecessary increase in storage capacity may inadvertently decrease the instances of banked cash. Adherence to the 28 day banking policy will seek to reduce retained cash, increasing available capacity where it is justifiably necessary.

This process will be formalised as a part of the new organisational structure arising from the Force Property Project.

**Update September 2016:**

Assessment of Safes/Retention Policy – currently being reviewed by the Property Project Team.

**Update December 2016:** Jez Leavesley

Property Other Than Found POTF and found cash on a weekly basis is removed from the safes. Two property officers then count and verify the cash and complete a transit sheet. The Force Property manager then takes the transit sheet & cash to FHQ central finance. This is signed for and handed over for central finance to bank. A new found cash procedure for cash found under £50 has been introduced. This will reduce the amount of cash handed to police to recover.

**Update February 2017: Jez Leavesley**

Update as above concerning timeliness. This has been incorporated into the new Movement, Handling and Storage of Cash procedure. Force temporary store safes have now been reviewed as part of the Temporary overnight store review and a number of recommendations have been made concerning safes. A decision will not be taken concerning replacing/purchasing new safes until the work to identify how many temporary stores the force needs, has been concluded. Security of the temp stores has also been reviewed, per my previous comments in this paper.

**Update May 2017: Jez Leavesley**

The work to identify temporary stores has now been completed. This has identified the need for additional temporary stores at FHQ and Leicester Crown & Magistrates Courts. Other temporary store safes will remain, although this number will reduce as sites close. WIP

Safes have been reviewed as stated above. A number of the safes need replacing. The number of safes across the force is adequate;

- Ammunitions safes. Ammunition should be stored separately from firearms. Separate ammunition safes should be purchased to hold ammunition.
- Cash and valuable safes. Safes at some locations are too small and not fit for purpose.

The cost to replace the safes above is approx. £12k. This will form part of a business case to a future Change Board to incorporate all temporary store review requirements (racking/security etc.). WIP

**Update August 2017: Jez Leavesley**

A paper was submitted to the Change Board in July seeking funding of £42k to update and improve the temporary stores across the force. This would include the purchase of a number of new safes where required, Locations/safe types have been identified per may update above.

The funding was approved. The project team is awaiting access to the finance in order to progress this. The delay is the funding is tied in with the new build Evidential Property & Archive Centre (APAC) funding which is still being progressed by OPCC/Finance Dept. This will be resolved imminently.



### **Housekeeping Recommendation 4.8 Recording Movements and Location**

Movements and location of cash and valuables should be accurately recorded on the property management system and log books in a timely manner.

**Implementation Target Date: October 2016**

**Person Responsible:** Corporate Services Directorate Jez Leavesley – Force Property Project Consultant

**Initial Management Response 20 June 2016:**

Recommendation partly accepted.

Leicestershire have a fully automated Property management system that records the location and movement of all seized property.

Property removed from a temporary store to a main store location is recorded on a transit sheet to provide further auditable record of Property movement.

As information is logged on the KIM property system it is no longer necessary to keep a cash safe log-book for the Beaumont Leys property store and this practice will be discontinued

A current wider review of the property portfolio will address the recommendation regarding the movement and location of cash and valuables. This will include the broader issue of 'high risk' property types – including cash, weapons and drugs.

**Update September 2016:**

Recording Movements and Location – This is currently being reviewed by the Property Project Team within Corporate Services.

**Update December 2016:** Jez Leavesley

This is work on-going. The specific property vehicle specification is being reviewed. This will include a review of the layout, storage and receptacles of the vehicle for high risk items. A reviewed risk assessment was completed on the current property vehicle. This has highlighted a number of potential areas for improvement, including the size of the vehicle itself to carry these high risk items.

**Update February 2017: Jez Leavesley**

The new handling, storage and movement of cash procedure has been written and approved @ 15/2/17. The procedure incorporates the recording issues outlined above.

This procedure will go live a soon as the staff training requirements /publicity have been put in place. The new procedure has specific requirements for Property officers, Finance department and Economic Crime Unit, and these Departments are already familiar and practiced in the daily handling & movement of cash. This process will go live with these specialists by mid-March 2017.

**Note: This was previously PROPOSED CLOSED – however at the September 2016 JARAP meeting decision to retain for future meetings.**

GREEN

	<b>VETTING</b>	September 2016	
	<b>FUNDAMENTAL: 0</b>	<b>SIGNIFICANT: 2</b>	<b>HOUSEKEEPING: 0</b>
<b>AMBER</b>	<p><b><u>Significant - Security &amp; Vetting Team: Internal Appeals 4.6</u></b></p> <p>The process for dealing with an internal appeal following a vetting fail should be formally documented to ensure a consistent and fair process is followed.</p> <p><b>Implementation Target Date: <del>November 2016</del> Revised target date July 2017</b></p> <p><b>Person Responsible: Amanda Bogle-Reilly - Vetting &amp; Disclosure Manager &amp; Supt Simon Hurst - Head of Vetting</b></p> <p><b>Initial Management Response:</b></p> <p>Agreed. Management are aware that this process needs to be formally documented. They have brainstormed the process and know what it is but it is yet to be formally documented due to other priorities in the department. The Vetting Manager and Head of Vetting will work together to formally documented the process.</p> <p><b>Update December 2016:</b> Amanda Bogle-Reilly</p> <p>Currently work in progress. To be documented and confirmed.</p> <p><b>Update February 2017:</b> The generic Appeal process for internal vetting clearance failures is documented within the ACPO / ACPOS Vetting Policy for the Police Community, which will be revised by the forthcoming Vetting Code of Practice. The Senior Vetting Manager will be documenting this appeal process with reference to the Vetting Code / Unsatisfactory Performance Process and in conjunction with the Human Resources Department.</p> <p><b>Update May 2017:</b></p> <p>The generic Appeal process for internal vetting clearance failures is documented within the ACPO / ACPOS Vetting Policy for the Police Community, which will be revised by the forthcoming Vetting Code of Practice. Mandy Bogle-Reilly has documented the appeal process, with reference to the Vetting Code / Unsatisfactory Performance Process and this is awaiting sign off with the Human Resources Department.</p> <p><b>Update August 2017:</b></p> <p>DCI Hurst has met with the Home Office on 15 August 17 and was informed that the Code Of Vetting / APP will be released imminently (September). This will be an important document to influence / direct the final specification of the appeals process that the Force are agreeing upon. DCI Hurst has requested an advance copy of the draft APP as soon as it is available.</p> <p>Certain aspects of the appeal process have been contested by Unison (the use of Staff Unsatisfactory Performance Procedure) and further negotiation is to take place to resolve this matter. A meeting with the Force HR department is scheduled for the 7<sup>th</sup> September and a summary progress report will be scheduled for the next JNCC.</p> <p>I suggest this remains as AMBER.</p>		

### **Significant - Performance Monitoring 4.7**

A robust performance monitoring process should be put in place to allow for the effective evaluation of the departments performance. This should include, but not be limited to, the following:

- appropriate key performance indicators that are based on sound logic, such as resources available, benchmarking data and other key factors that affect performance levels;
- a review of performance against previous months/periods;
- a review of levels of vetting outstanding to ensure back logs are quickly addressed.

**Implementation Target Date: ~~November 2016~~ Revised target date July 2017**

**Person Responsible Amanda Bogle-Reilly - Vetting & Disclosure Manager & Supt Simon Hurst - Head of Vetting**

#### **Initial Management Response:**

Agreed. The project lead for the new performance framework within PSD has been off which has slowed the implementation of the new framework, which vetting will be part of. The current version is being proof tested and is due for review by department heads. Once in place, it should allow statistical analysis of performance to review trends and one off issues which allow a more effective evaluation of departmental performance.

#### **Update December 2016:**

An Initial performance monitoring framework is in place and is reported to the Senior Management Team SMT on a monthly basis. The development of the framework is ongoing and includes baseline data obtained by Tracey Wragg Corporate Services as part of Output Based Budgeting OBB.

#### **Update February 2017:**

Hazel Lawrenson, Performance Analyst of the Threat Assessment Unit continues to produce monthly performance reports for the Professional Standards Department which covers complaints and discipline, conduct, information management and vetting. This document is to be further refined to include counter corruption performance data. Further performance data (public complaints) is provided by the IPCC on a quarterly basis which examines Leicestershire performance alongside the remainder of the UK.

#### **Update May 2017:**

The initial performance monitoring framework is continuing to be reported monthly to Hazel Lawrenson for update to SMT. The final framework is awaiting sign off with Tracey Wragg, Mandy Bogle-Reilly and DCI Hurst which will allow resumption of the Vetting Project and benchmarking of team performance standards.

#### **Update August 2017:**

A performance monitoring regime is now in place to address business as usual and backlog demand within the Force Vetting Department. A monthly reporting regime is in place.

I suggest this can be moved to GREEN.- DCI Simon Hurst

**PROPOSED CLOSED**

GREEN

**Significant – Supplier Set Up and Amendments Procedure 4.1**

A formally documented procedure for the setting up of new suppliers and the processing of amendments to supplier standing data should be produced and communicated to staff. This procedure should include, but not be limited to, the following information:

- Roles and responsibilities of departments;
- Process to follow in handling requests;
- Documentation to be completed and retained; and
- Fraud checks to be completed and recorded.

**Implementation Target Date: February 2017 Revised target date July 2017 Revised Target Date 8<sup>th</sup> September 2017**

**Person Responsible:** Ruth Gilbert - Head of Finance & Head of Procurement and Support Services

**Initial Management Response: December 2016**

The purchase ledger is used to facilitate the following payments:

- Trade Suppliers
- Specials
- Doctors
- Payroll – Statutory and voluntary deductions
- Legal payments - damages

The procedures for a setting up a 'payee' is therefore different depending upon the category. Purchasing are only involved in the process for Trade Suppliers and Doctors.

Payee's in respect of legal payments (damages, 3rd party Solicitor payments, legal fees) are set up from the East Midlands Legal Payment Request forms, which contain all of the relevant information and are completed by the Legal Team managing the case.

Following the introduction of Agresso the 'New Supplier Request Form' was made part of the system and controlled through workflow.

For new Trade Suppliers where the value of the order / contract is over £5k the Procurement Team will have been involved in the procurement process and engaged with the Supplier through either a national contract, regional contract, competitive tender or a single source dispensation, prior to the Supplier being set up on the system.

Whilst the fraud checks could not be evidenced the Team are aware of the importance of completing these particularly in relation to 'change of bank details'.

Prior to the weekly BACS run being processed a member of the Accountancy and Budgeting Team also check that all the bank accounts have been correctly entered on the system to the supporting documentation. This is another opportunity which would potentially identify any unusual transactions.

The new supplier / payee set up notes will be expanded to cover the steps to be followed for each category of payee including the fraud checks to be undertaken.

**Update February 2017:**

Discussions have been held with the Procurement Department and revised procedures agreed and implemented. The procedures manual is in the process of being updated to reflect the changes.

**Update May 2017:**

The Procedures Manual is planned to be updated by the revised target date of July 2017, following the completion of the 2016/17 Statutory Accounts.

**Update August 2017:**

The Procedures Manual has been updated and will be reviewed and distributed to the appropriate staff imminently.

### **Housekeeping – Leaver’s System Access Removal 4.3**

The Force should continue to reconcile Agresso users against HR and Payroll reports to identify leavers to be removed.

Upon gaining access to implement the system functionality to remove batches of leavers from the Agresso system, the leavers currently identified should be removed. This functionality should be used on a regular basis to remove leavers from the Agresso system.

The removal of leavers from the system was raised in the previous internal audit report.

**Implementation Target Date:** Timescale will be dependent on when Derby’s IT Dept can schedule the work

**Person Responsible:** Samantha Lamb – Finance Manager

**Initial Management Response: December 2016**

The Agresso finance system includes the inventory module. This module is used to issue uniform to officers, staff and specials. For uniform to be issued the officers, staff and specials have to be set up as ‘users’ on the Agresso system.

The individuals are not aware that they have been set up as ‘users’ and for them to be able to access the system the Web Client link would have to be deployed.

A service call will be logged with the Derbyshire IT help desk (the Agresso servers are based in Derbyshire) to progress the issue so that leavers can be removed on block.

The Accountancy and Budgeting Team will continue to reconcile the Agresso Users with the payroll and HR reports on a regular basis.

**Update February 2017:**

The Agresso consultant has produced a report to remove users on block. This is in the process of being tested and will then be implemented in the ‘live’ system.

**Update May 2017:**

The report has now been tested and will be implemented onto the ‘live system’ by the end of June 2017.

**Update August 2017:**

The report has now been tested and implemented. This report will feature within the Finance Department Performance File on a quarterly basis. Completed.

GREEN

**PROPOSED CLOSED**

VICTIMS CODE OF PRACTICE		January 2017
FUNDAMENTAL: 0	SIGNIFICANT: 4	HOUSEKEEPING: 4
AMBER	<p><b><u>Significant – Communication with Victims 4.3</u></b></p> <p>The Force should implement an appropriate process to ensure that each victim receives a written acknowledgement of the crime they have reported. This should include the basic details of the offence and confirmation of the communication with the victim should be recorded on the Niche system.  <b>Implementation Target Date: <del>30<sup>th</sup> April 2017</del> Revised target date 1<sup>st</sup> June 2017 Revised target date 1<sup>st</sup> October 2017</b>  <b>Person Responsible: <del>Jim Holyoak – Service Improvement Manager</del> Inspector Horsfall OPCC and Inspector Granger NICHE team</b>  <b>Initial Management Response: January 2017</b></p> <p>The Force is in the process of signing up to the Track My Crime system, an online service provided by the Ministry of Justice for victims of crime and an innovative new way for the police to communicate with the public, which will make improvements in this area.</p> <p><b>Update February 2017:</b></p> <p>Due to Niche testing delaying implementation, this recommendation will be adopted but the implementation has been put back to allow a more realistic timeframe.</p> <p><b>Update May 2017:</b></p> <p>Track My Crime is awaiting Information sharing ratification and once this is confirmed an implementation plan and date will be set and contracts with MOJ signed. This is now likely to be 1<sup>st</sup> July 2017.</p> <p><b>Update August 2017:</b></p> <p>Chief Constable has signed TMC contract and now awaiting MOJ information to commence implementation; PCC briefed accordingly.</p>	
AMBER	<p><b><u>Significant – Providing Information to Victims 4.4</u></b></p> <p>In line with the Communication with Victims recommendation above, the Force should ensure that it provides victims of crime with information on what to expect from the criminal justice system in line with the VCOP. Consideration would be referral to online information through the email and text communications it sends to Victims.</p> <p><b>Implementation Target Date: <del>30<sup>th</sup> April 2017</del> Revised target date 1<sup>st</sup> October 2017</b>  <b>Person Responsible: <del>Jim Holyoak – Service Improvement Manager</del> Inspector Horsfall OPCC and Inspector Granger NICHE team</b>  <b>Initial Management Response: January 2017</b></p> <p>As per comments above, the Track My Crime system is designed to signpost victims to more information. The initial communication that is sent to victims should include direction to the Force website where the information is stored. Once the implication of Track my Crime are known this will be reviewed.</p> <p><b>Update February 2017:</b></p> <p>At the February meeting of the VCOP improvement group this recommendation was adopted and on-going work with the behavioural change team has commenced to roll out additional material at the implementation of Online recording and Track My Crime.</p> <p><b>Update May 2017:</b></p> <p>See above</p> <p><b>Update August 2017:</b> Following Force Priority planning meetings Confidence and Satisfaction, including VCOP, is now a Force priority. A development plan incorporating several inter-dependant areas and this work in particular has been devised with ownership as above</p>	

AMBER

**Housekeeping – Needs Assessment 4.5**

The action group should look to implement a consistent procedure for recording the needs assessment of victims in Niche. They should consider a process map that shows how needs assessment should be recorded dependent on the situation.

**Implementation Target Date: ~~30<sup>th</sup> April 2017~~ Revised target date 31<sup>st</sup> October 2017**

**Person Responsible: Jim Holyoak – Service Improvement Manager Inspector Horsfall OPCC and Inspector Granger NICHE team**

**Initial Management Response: January 2017**

A process map that documents the process of VCOP compliance for needs assessment would be a useful tool and will be considered by the Action Group.

**Update February 2017:**

At the February meeting of the VCOP improvement group this recommendation was adopted and on-going work with the behavioural change team has commenced to roll out additional material at the implementation of Online recording and Track My Crime.

**Update May 2017:**

See above; Project Darwin is progressing an end to end review of crime processes which includes this work.

**Update August 2017:** As above

GREEN

**Housekeeping – Performance Monitoring 4.7**

The action group should consider if other Niche reporting capabilities are available such as:

- How many victims were recorded in the period?
- How many referrals requested further victim support?
- Performance in relation to recording of information on the VCOP module information i.e. preferred contact methods recorded, Victim Personal Statements offered and accepted etc.

**Implementation Target Date: ~~28<sup>th</sup> February 2017~~ Revised target date 30<sup>th</sup> June 2017**

**Person Responsible: Jim Holyoak – Service Improvement Manager**

**Initial Management Response: January 2017**

The action group need to consider what performance information would be useful and then work with IT to see if it can be easily produced.

**Update February 2017:**

At the February meeting of the VCOP improvement group this recommendation was adopted and on-going work with the threat assessment team and Niche implementation team is on-going to scope how some of this data outside of the current audit work can be captured and published, ideally on the Management Information Gateway. The target implementation date has been amended accordingly.

**Update May 2017:**

See above; this will feature in the new performance structure and include officer/team performance.

**Update August 2017: This is now completed** and this performance data is now available for Force scrutiny at the crime and Operations performance meeting with assistance from Victim First.

**PROPOSED CLOSED**

### **Significant – Service User Feedback 4.8**

The Victims Survey reports should be reviewed at the VCOP compliance action group, alongside the results of the compliance audits, with a view to ensuring that underlying issues are highlighted and actions to address these are put in place.

**Implementation Target Date: ~~28<sup>th</sup> February 2017~~ Revised target date 30<sup>th</sup> June 2017**

**Person Responsible:** Jim Holyoak – Service Improvement Manager

**Initial Management Response: January 2017**

The feedback surveys provide a lot of qualitative data but at present the Force does not have an analyst to work on the data that is received. A business case is being worked on for additional resources in this area. It is agreed that specific elements of feedback would be a useful tool for the action group to consider in setting actions to improve compliance with the VCOP.

**Update February 2017:**

At the February meeting of the VCOP improvement group this recommendation was adopted and rearrangement of Corporate Services posts and budgets will allow for a dedicated analyst for these areas of business. However, this will require recruitment hence the implementation date has been amended accordingly.

**Update May 2017:**

See above; Corporate Services have realigned management responsibility for the analysts to support this work and subject to budgetary constraints will take on two researchers to support this function.

**Update August 2017: This is now completed.** Following Force Priority planning meetings Confidence and Satisfaction, including VCOP, is now a Force priority. A development plan incorporating several inter-dependant areas and this work in particular has been devised with ownership as above. The implementation group meets in mid-September and Force performance data is available for scrutiny at the Crime and Operations meeting.

**PROPOSED CLOSED**

GREEN



FUNDAMENTAL: 0

SIGNIFICANT: 2

HOUSEKEEPING: 2

**Significant – Service Desk Call Handling 4.1**

The proposed review of service desk call handling procedures and as part of the Tri-Force arrangements is supported and we recommend that the Force continue with this review. The establishment of a centralised helpdesk as part of the IT Service desk system review and design work stream activity highlighted in the Tri-Force work plan is supported and recommend that the Force continue with this establishment.

**Implementation Target Date: August 2017**

**Person Responsible:** Deviya Singh – Information Technology Department

**Initial Management Response: March 2017**

Work on the IT TFC Service Management work stream to deliver common procedures is progressing. The initial stage of process definition, requirements definition and procurement planning will complete in May 2017. Procurement, implementation and rollout planning will complete during June and July 2017.

Existing local documentation and processes will be reviewed by end March 2017.

**Update May 2017:**

The Work is now being planned for delivery in two phases:

Phase 1 is to deliver a common portal for all collaborative units to log incidents and service requests in one place, in one way. A team and accompanying process will sit behind this portal, where contact is envisaged by portal, telephone or email to this Team. The processes to resolve, will be against currently existing Force IT Service Desks but the user experience will be simplified and improved.

Phase 2 is to provide a single Service Desk Team and Service Desk System to all customers within the Tri Force Community, and migrate what has been provided to the collaborative units within this. A plan has been formulated for phase 1 delivery.

**Update August 2017:**

Phase 1: Work to deliver a single portal for collaborative units is scheduled for go live on the 12th Sept 17. Plans and processes for testing, implementation and communication are being formed and we are working closely with the collaborative community. The portal is an in house developed web page system which has been developed at Northamptonshire and will support users from all 5 East Midlands Forces working within Collaborative Units. A Team will reside in the background to progress calls to manage/resolve at a local level.

Phase 2: Tenders have been submitted for a partner to help with the design and implementation of a new organisational structure across the tri force and appropriate aligned processes and toolsets. Tenders will be marked and it is anticipated contract award at the beginning of September 17. Delivery and Implementation needs to be completed by 31st March 2018. Upon completion of design work, there will be a local change board submission to decide on whether or not to proceed with implementation. The contract will be worded and awarded to support this.

AMBER

AMBER

**Housekeeping – User Management 4.2**

User management processes should be applied in all cases and a review may be required to identify further accounts not removed/disabled in a timely manner.

**Implementation Target Date: May 2017**

**Person Responsible:** Matthew Carey – Information Technology Department

**Initial Management Response: March 2017**

IdAM is an IT TFC work stream that will establish a common user management process. A high-level design will be complete July 2017 allowing detailed implementation and procurement planning to commence.

Existing local documentation and processes will be reviewed by end-April 2017.

**Update May 2017:**

Work has been delayed due to time constraints caused by TFC Service Management work and staff sickness. Local documentation has been reviewed and improvements identified. New documentation is in draft form and will be refined and made live by w/c June 6th. Further potential improvements will be fed into the TFC IdAM Work stream.

**Update August 2017:**

Local procedure is now in place. Work is now focussed on a single set of procedures for the tri-force collaboration under the Service Improvement work stream.

GREEN

**Housekeeping – Information Security Resources 4.3**

The force should ensure it has sufficient resources to deal with its Information Security needs. Due to the departure of the Information Security Officer, further progress on RMADS has slowed and the force may need to consider its next steps on RMADS alongside the recruitment of a new Information Security Officer.

**Implementation Target Date:** On-going upskilling based around training budget approval and demand.

**Person Responsible:** Annabelle Edkins – Information Security Officer

**Initial Management Response: March 2017**

Full-time ISO now recruited and a period of upskilling required. This is being addressed via application to the External training Budget for 2017/18. Future TFC Wide Area Network approach will enable sharing of an RMADS workload with other Force peers.

Information Security Support Officer position to be advertised to increase resilience.

**Update May 2017:**

Upskilling continues but challenges faced with no budget for external training. Recruitment for information security support assistant has been unsuccessful so far but job will be readvertised internally and externally. Meetings arranged to look at TFC IT work and effects it may have on information security within the TFC.

**Update August 2017:**

Funding has now been secured for upskilling of the ISO post holder. A preferred candidate for the role of Information Security Support officer has been identified, and recruitment is anticipated to be completed in September 2017. This will return resources to establishment level. Future TFC Wide Area Network approach will enable the sharing of any RMADS workload with TFC peers.

I recommend this action is now graded green - Paul Hooseman Information Manager.

**PROPOSED CLOSED**

AMBER

**Significant – PSN Accreditation 4.4**

We recommend that the Force continue with its work to achieve its PSN accreditation and whilst the Force is liaising with the accrediting body, it should note that the changes in the process may result in further work before accreditation is given.

**Implementation Target Date:** Submitted to GDS February 2017 – awaiting feedback/results

**Person Responsible:** Annabelle Edkins – Information Security Officer

**Initial Management Response: March 2017**

GDS submission signed by the DCC as SIRO on 19/1/17 for submission to the Cabinet Office.

Further liaison to take place.

NB: Worth noting that currently only 2 Home Office Forces have achieved PSN accreditation. This is a national issue, being taken up with the NPCC, Home Office and Cabinet Office.

**Update May 2017:**

Only one other force has gained accreditation through GDS. GDS have now moved to a full compliance regime, the region have recognised this as a challenge due to older and unsupported platforms still being used in Force. PSN-P accreditation due for renewal in November 2017, work already underway to complete the new ‘Governance and Information Risk Return’ which replaces the community CoCo. ITHC to be ordered this month, we will work with IT on mitigation once the health check is completed.

**Update August 2017:**

IT Health Check has been undertaken and risk vulnerabilities identified. Meetings scheduled with IT in September to action plan mitigations against identified risks. This will form part of the PSN-P re-accreditation work scheduled for November 2017. Work to complete the Governance and Information Risk return (GIRR) continues parallel to this work. PSN accreditation continues to be a national police service issue.

I recommend this action remains as amber – Paul Hooseman Information Manager.

**PAYROLL PROVIDER**

April 2017

**FUNDAMENTAL: 0**

**SIGNIFICANT: 0**

**HOUSEKEEPING: 1**

GREEN

**Housekeeping – Policies and Procedures 4.2**

Kier Business Services should be required to review the current security policies and procedures in place to ensure that they are up to date with best practice adopted by the organisation following the transition from Mouchel to Kier.

**Implementation Target Date:** 31<sup>st</sup> March 2017

**Person Responsible:** Head of Finance Ruth Gilbert

**Initial Management Response:** April 2017

Kier Workplace services are undertaking a review of all security policies to align them from the previous Mouchel policies and procedures.

**Update May 2017:**

Kier Workplace services are progressing with this work and a workshop is being planned for representatives from the Force and Kier to review the revised policies.

**Update August 2017:**

Kier Workplace services have now updated/reviewed their current security policies and they are fully aligned and updated with best practises incorporating the previous Mouchel policies. Completed.

**PROPOSED CLOSED****WORKFORCE PLANNING**

July 2017

FUNDAMENTAL: 0

SIGNIFICANT: 0

HOUSEKEEPING: 2

GREEN

**Housekeeping - Terms of Reference 4.1**

The Terms of Reference for the Change Board, SELB and Establishment Board should be reviewed to ensure it is clear where the decision making powers in regard to Workforce Planning lie.

**Implementation Target Date:** 30<sup>th</sup> September 2017

**Person Responsible:** Head of HR Carol Hever

**Initial Management Response:**

The SELB and Establishment Board are not decision making bodies and it is agreed that the language in the TOR does not make this explicitly clear.

The Terms of Reference for each of the forums will be tabled prior to the next meetings and a more consistent and clear terms of reference that clearly show where decision making powers lie will be put in place.

**Update August 2017:**

Both Terms of reference have been reviewed and revised in line with the recommendation and it is explicitly clear that they are not decision making bodies. This is now closed I would suggest.

Andy Elliott - Head of Change has included the management of workforce planning and establishment within the terms of reference for the Change Board. This will require approval at the next Change Board meeting.

**PROPOSED CLOSED**

<b>GREEN</b>	<p><b><u>Housekeeping - Key roles in Succession Planning 4.2</u></b></p> <p>HR should consider using data analytics on the career pathways data to identify:</p> <ul style="list-style-type: none"> <li>- Where officers are wanting to move;</li> <li>- No. of officers interested in the role;</li> <li>- Average length of deployment in the role.</li> </ul> <p>The use of this data would assist in highlighting key roles where shortages of staff may become apparent and provide further information on future succession planning requirements.  <b>Implementation Target Date:</b> 31<sup>st</sup> August 2017  <b>Person Responsible:</b> Head of HR Carol Hever</p> <p><b>Initial Management Response:</b></p> <p>It is agreed that the career pathways data has the potential to provide further useful information that will aid succession planning in the future and HR will review how best this can be carried out.</p> <p><b>Update August 2017:</b></p> <p>The information provided via Career pathways is now reviewed to consider any key issues it identifies at the deployment meetings for succession planning.  This is now closed I would suggest.</p> <p style="color: green; font-weight: bold; font-size: 1.2em;">PROPOSED CLOSED</p>		
	<b>BUSINESS CONTINUITY</b>		<b>August 2017</b>
<b>FUNDAMENTAL: 0</b>		<b>SIGNIFICANT: 0</b>	<b>HOUSEKEEPING: 1</b>
<b>AMBER</b>	<p><b><u>Housekeeping - Key roles in Succession Planning 4.1</u></b></p> <p>Departments/Units should be reminded to complete the response checklist and action log when BC Plans are considered as well as activated. This will give assurance correct actions were taken and that the plans were effective when considered.</p> <p><b>Implementation Target Date:</b> 31<sup>st</sup> October 2017  <b>Person Responsible:</b> Business Continuity Advisor – Laura Saunders</p> <p><b>Initial Management Response:</b></p> <p>In some instances it was decided that the BC plan did not need to be activated and therefore no action log was recorded.  However, it is agreed that documenting the process taken by the department would help to ensure they are utilising their Business Continuity Plans and that the plans are fit for purpose.</p> <p><b>Update August 2017:</b> Audit only recently completed – update at next JARAP</p>		