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

Paper Marked

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Report of	**CHIEF CONSTABLE and CHIEF FINANCE OFFICER (OPCC)**
Subject	**INTERNAL AUDIT RECOMMENDATIONS AND TRACKING**
Date	**WEDNESDAY 24th JULY 2019 – 10:00AM**
Author :	**ROY MOLLETT**

Purpose of Report

1. The following report provides the Panel with update progress responses from business owners in relation to internal audit recommendations awarded by external auditors Mazars.

2. Recommendations are reported in terms of priority as **Fundamental**, **Significant** and **Housekeeping** by Mazars; these priorities are shown highlighted as shown here.

3. The following table illustrates the number of outstanding and completed - Fundamental, Significant and Housekeeping recommendations for the Mazar's audits currently held.

Priority of Recommendation	Outstanding		Completed	Superseded	Total
	RED	AMBER	GREEN	GREY	
Fundamental	**-**	**2**	**-**	**-**	**2**
Significant	**-**	**9**	**4**	**2**	**15**
Housekeeping	**-**	**1**	**1**	**-**	**2**
Total	**0**	**12**	**5**	**2**	**19**

4. The following criteria in terms of reporting to JARAP have previously been agreed:

(a) Reporting to JARAP

Audit Assurance Grading	Recommendations reported to JARAP		
	Fundamental	Significant	Housekeeping
Satisfactory Assurance or above	YES		NO tracked by the Force through SORB
Limited Assurance or below	YES - Reporting on all recommendations		

(b) Any audits graded Limited Assurance or below – Whole audit report submitted with attendance by a representative from the service area.

(c) A short annual report from Mazars on progress against the 'housekeeping' recommendations.

(d) A chart/table indicating where the housekeeping recommendations have moved to as we move to the new process. Seven 'Housekeeping' recommendations have been omitted for consideration by SORB under the agreed reporting arrangements. These are listed at the end of Appendix A.

(e) To close a recommendation that has been 'proposed closed' the update should state:

i. That the recommendation has been implemented.

ii. Evidence to prove that it is working successfully (facts and figures on dip-sampling etc).

Recommendation

5. For the panel to note the attached update on progress responses from business owners against the respective audit recommendations so far.

6. Where business owners have provided an update proposing closure these now require the agreement of the panel to close.

7. Progress - For ease of reference the recommendations at Appendix A attached have been individually graded as follows down the left-hand column of the table:

   I. **RED** – Outstanding and Exceeding the Target Date.
   II. **AMBER** – In Progress and Within the Target Date.
   III. GREEN – Completed and closed.
   IV. GREY – Superseded / Not Adopted

Implications

Financial :	None
Legal :	None
Equality Impact Assessment :	None
Risks and Impact :	Risk to efficiency and effectiveness of business functions where agreed recommendations are not implemented in a timely manner.
Link to Police and Crime Plan :	Transparency and accountability for business functions.

List of Appendices

Appendix A Internal Audit Tracker. This provides the business owner updates and contextual assurance in relation to progress achieved.

Background Papers

N/A

Person to Contact

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- **MAZARS AUDIT Recommendations**
- **Progress Tracker**

AMBER	SEIZED & FOUND PROPERTY – LIMITED ASSURANCE		March 2018
	FUNDAMENTAL: 1	SIGNIFICANT: 4	HOUSEKEEPING: 2

Fundamental – 4.1 Missing Firearm

Where missing firearms are identified and are being investigated, the property management system should be updated to reflect this. Management should investigate the location of the other missing firearm, update the property management system and review the reason for the discrepancy.

Person Responsible and Implementation Target Date: See below

Security Jez Leavesley End March 2018 excluding CCTV ~~end June 2018~~ Revised target date June 2019

Training Amie Peplow/Shruti Pattani ~~March – Sept 2018~~ Revised target date June 2019

Enforcement Jez Leavesley/Amie Peplow ~~March to Sept 2018~~ Revised target date December 2019

Initial Management Response: One identified firearm (of 2 highlighted) - KiM had not been updated to reflect a new OIC (see response to 4.6) and also with the reason for removal from the temp store. This discrepancy would have been found by the monthly diarised internal audit process and rectified.

The second firearm was a BB gun. It was transferred to the main store at Keyham Lane and disposed of using the gun cutter on 7th Nov. KiM had not been updated, This issue has been raised with the couriers and property team. The process is being reviewed.

The force is working tirelessly to improve its evidential property management and has made numerous significant changes over the last 12 months including a new staff structure and dedicated posts. 9 new procedures have been introduced over the last year, however we acknowledge that

these significant improvements need further embedding within training and staff culture. The audit also came in the middle of significant procedural changes to both the PMS (Property Management System-KIM being replaced by NICHE) and also improvements to the Temporary Stores early 2018.

The force acknowledges and was already aware that currently the temporary stores are vulnerable for property removal without PMS update. The system is reliant upon officers (per procedure)

updating (currently) KiM PMS (due to be replaced by NICHE in March 2018) with all property movements. This is the case with the firearms outlined. The force had recognised this and is currently investing £43k in upgrading the temp stores now, which will be online end of March 2018.

The investment includes:
Security
1) New ammunition cabinets separating firearms from ammunition
2) New x plan locks on firearms/ammunition safe keys allowing audit of keys. Xplan locks (auditable) are already on all main temp store doors
3) New shelving colour coded to assist staff in correctly placing items and interior design and new signage. Warning signs to be introduced
4) CCTV in temporary stores to monitor activity/deterrent.
5) Introduction of NICHE property to replace KiM PMS in March 2018. This will link all property to incidents and allow easier tracking of individual items, also making it easier for officers to update property movement. However, individual compliance requirements by the officer will remain.
6) Temp stores w/e March the responsibility of new courier roles, currently the responsibility of LPD volunteers. This will tighten internal temp store procedures and provide clear ownership
7) Intro of the evidential. property audit procedure (Nov 2017) allows for much quicker identification of issues. These discrepancies would have been found in the audit the following week.
Training
8) i NCALT package for new PMS
ii NICHE property reinforces key messages
iii Probationer training package being reviewed and input
iv New training videos being prepared
v Experienced officer inputs
Enforcement
9) Proposal to include property on new force performance dashboard
10) Above to include performance monitoring?
11) Officer verbal warnings process to be introduced by Evidential Property Manager
12) Officer verbal warnings process to be introduced by Evidential Property Manager
13) Tighter in house management through evidential courier role
Update June 2018: Actions completed highlighted in green: 1, 2, 3, 5, 6, 7, 8i, 8ii, 11, 12, 13.
Work In Progress: 4, 8iii, iv, v, 9, 10,

Update August 2018: 8iv completed. 4) CCTV quotes being obtained. Work in progress for 8iii,v, 9,10.

4.1 Missing Firearm… Continued

Action from JARAP meeting 19/09/18 43/18a - Mr Streets to circulate a note to panel members on how verbal warnings are used within normal management processes.

JARAP Action - Verbal Warnings: Update from Jez Leavesley - Evidential Property & Archive Programme Implementation Change Manager:

The process is over and above simple management intervention. It is a layered approach in operation by the Evidential Property and Archive Manager.

i. An issue is brought to the attention of the Evidential Property Supervisor. The issue is usually flagged via a weekly audit review or by the daily collections from the Temp Evidential Stores by the Evidential Property Couriers.

ii. The issue is risk assessed in terms of seriousness. If it is a minor breach of procedure it is dealt with by the Supervisor who liaises directly with the staff members supervisor to bring the matter to a conclusion.

iii. If it is a more serious matter then the Evidential Property Supervisor brings the issue to the attention of the Evidential Property Manager. Cash/firearms/drugs issues are always dealt with as serious matters.

iv. The manager assesses the issue and either deals directly or informs PSD who would then take the investigative lead.

v. If the manager deals directly, she initially contacts the officer/staff members manager to request a local investigation of the issue. A report response is required. The large majority of issues are dealt with satisfactorily at this point, with the officer/staff members line manager giving words of advice, PDR consideration etc.. in line with standard reprimand procedures. Unsatisfactory results at this point (to be honest rare) are referred to either PSD or for senior management consideration/intervention.

Update November 2018: Update relating to remaining tasks i.e. 4, 8iii, v, 9 & 10

4) CCTV Security CCTV in temp stores. A paper has been submitted to the November Change Board recommending the installation of CCTV in all temporary property stores in conjunction with wider security upgrades across the force. This has now been ratified and funds are being secured as part of the capital programme for 2019/20 in order for this work to be commenced.

8iii & v) Probationer training package review/input/experienced officer inputs. Review completed. Proposals submitted to the Training panel in November.

Aimee Peplow has advised the training consist of:

1. Classroom based for new and existing staff.
2. There will be an interactive learning portal for Evidential Property. This is to sit on the L&D website with links from the EPAT intranet page.
   The intention is for this to act as an interactive and engaging 'one stop shop' for all information relating to the 'journey of an evidential exhibit' [from the point of seizure to disposal].
3. Mandated NCALT package from August 2019.

9 & 10) Proposal to include property on new performance dashboard. A new performance package is being developed. A full package had previously been developed on the old KIM property management system which provided weekly performance information however the new NICHE property module does not provide this same level of detail in useable packages and as such new processes are having to be designed using business objects software to extract and interpret the information provided. This has proved to be time consuming and the accuracy rate of information remains an issue which is still being worked through. We are confident that such information will be available soon.

The above captures the long term vision of improving property management within the organisation and the functionality of the operational running of the property system across the force is fundamental.

On average there are 172 items of property booked in every day that equates to approx. 62,000 items per year. Significant items recovered per year can be broken down as follows:

- Firearms 1225 approximately per year
- Drugs 4500 approximately per year
- Cash seizures 2200 approximately per year

For assurance the audit regime includes both fixed and rolling audits across all stores to include weekly audits of temporary stores and in addition the daily property courier collections are also a measure to identify any issues as early as possible. The volume of items that come into the property system, on a daily basis, can lead to a margin of human error however there are rigid processes to identify such errors as soon as possible. This has been demonstrated and put into action highlighting that this mechanism does work. For example administration errors are the most common issue and the errors are highlighted immediately and very quickly resolved. There has been nothing serious or significant raised which would cause concern. If this were the case then they would be immediately elevated to the appropriate managers and PSD.

4.1 Missing Firearm… Continued

Update January 2019: Update relating to remaining tasks i.e. 4, 8iii, v, 9, 10

4. Change Board (Nov 18) have now approved a raft of security measures for FHQ included in this package is CCTV upgrades to all force temporary stores. Tender information day held Jan 2019. Project manager to be appointed. This tender will come under the new ESPO tendering process requirements which will cause a delay until summer 2019.

8iii. Training Board (Nov 18) have now approved a new probationer training package which is being prepared. Est timescale mid-April 2019

8v. Training Board (Nov 18) have now approved. Training gaps being identified with development days proposed for signoff mid-April 2019. NCALT package now mandated (14/1/19).

9. & 10. This is work in progress. NICHE property is proving problematic in obtaining performance information. On-going work using business objects to enhance the performance capabilities as not all NICHE property fields are reportable. This is a regional NICHE issue and work is slow on obtaining regionally agreed solutions and the inclusion of this work.

Update April 2019:

Overview- The audits and processes in place with regards to tracking property/storing securely firearms have been successful. There have been no missing firearms or related issues in respect of property stores/temp stores/transportation/admin etc . There are currently 1186 firearms currently in the property system and the auditors are in force this week and can corroborate this further albeit we will have to await their formal report. The ongoing work in respect of property generally is as follows:

4. CCTV. No change. A Project Manager is to be appointed by Corporate Service Change Team for the larger CCTV project as this is dealing with the whole forces CCTV and not just CCTV within property stores.

8iii & 8v. Probationer/experienced officer inputs. Amendments to classroom inputs progressing. Various amendments are required to be made to the existing classroom inputs. Mainly in relation to the structure of the sessions, the content and the method of delivery. The slot 'Property' is given during the Training Programme also needs to be re-evaluated, Possibility of Amie Peplow to be a guest speaker and visits to Property Stores/EPAC to be integrated. L&D interactive portal progressing, however, Pronto screenshots are required (May/June) for the portal. Target extended to Mid-May.

9 & 10. Property Performance dashboard. A Property dashboard has now been developed in house and is in use. However, a number of performance requirements cannot be currently provided owing to limitations in NICHE property. This requires a regional solution, which has been raised but may take significant time to progress.

Update May 2019:

4. CCTV. A private contractor has now been appointed to install CCTV in all temporary evidential stores and the SSD has been written and is being progressed. The system will record any activity in the room and it will be stored on a recorder for 30 days. Stores are audited at least weekly so this is sufficient. The recorders will be stored in the plant rooms with restricted access by estates/IT. Footage will be viewed via an app which will be set up on a computer, laptop or phone as required. Target installation is summer 2019 for all temp stores.

8iii/v. Probationer/experienced officer inputs - Progress remains slow. The recent Mazars property audit (satisfactory assurance) has again highlighted cultural and training issues. A training programme was agreed by the training board and work was progressing in line with previous updates. However the project officer for training has temporarily been removed due to work demands from the priority EPAC build (double hatting). A replacement has not been identified at this time despite a request for additional resource, as I believe that this should still remain a priority. If not replaced this will stall this work stream work for 6 months.

9 &10. Property Performance dashboard. This remains WIP. Evidential property performance (when available) has been included at Performance Delivery Group and Crime and Ops meetings. Boxi business objects software is currently used to extract limited data from the NICHE property module, however this then needs analysis and preparation into a readable and understandable format. To assist with this and free up analysts to complete the analytical work Power BI Microsoft software is being purchased and a number of staff will be trained to use this by summer 2019. The broader NICHE property module still has significant restrictions on its capabilities as it was not designed to have PI extracted -not all fields in NICHE are reportable. This is a regional/national NICHE issue that is being reviewed. There is no timescale on this at this time.

JARAP 17.05.19 Action

Recommendation 4.1 sections 8iii and 8v and recommendation 4.4 - the only remaining sections iii and vi both cover Probationer training and experienced officer inputs. Confirmed that they have been amalgamated and taken forward with updates under 4.1 to avoid duplication.

UPDATE July 2019:

4. CCTV:

CCTV for all temp stores has now been approved and a company appointed to install. Awaiting installation timescales from company concerned. Target completion summer 2019

8iii/v. Probationer/experienced officer inputs:
SRO Ch Supt Masters has in conjunction with Learning and Development identified a suitable learning delivery lead and this is Collette Porter.

- An interactive Learning Portal is in the process of being created by Learning and Development (L&D). So far they have designed and created two modules, particularly in relation to Packaging and Temporary Stores. However, progress on this has slowed due to screenshots of Pronto not yet being available. The portal cannot be completed until the L&D team have an idea of what Pronto will look like; this will be resolved shortly.

- The Classroom based inputs have been observed and the new content needs to be mapped out and agreed. From initial observations, it is felt that this will not be as simple as originally anticipated. Currently, Student officers are provided with very short inputs and in some cases shortcuts in relation to Property and there is a great deal of work yet to be completed around really getting this right.

- Two Niche Property NCALT Packages have been mandated again with monthly reports on participation; these continue to be circulated to Department Heads to increase the uptake. Compliance is currenly around 50%.

- Complimentary force intranet communications messages have been published in relation to the new Tigers Place Temporary Store opening and the new Evidential Property Archives Centre EPAC. This was identified as an opportunity to highlight good practice and promoting PRONTO as a tool that brings efficiencies for officers i.e. centralising the process in one place to create and manage property.

Additional resources have not yet been identified for the property project team to aid in the development of training for probationers and experienced officers. It is believed that this should still remain a priority. If additional resources are made available this will inevitably postpone this work stream by at least 6 months – December.

9 &10. Property Performance dashboard:

Evidential property performance has proved extremely difficult to extrat from current systems using existing interrogation software. Performance has been provided over a three month period at the Performance Delivery Group and Crime and Ops meetings. However the force strives to provide reliable management information so as to make informed management decisions. With this in mind the force is seeking to use other packages to improve the efficiency and effectiveness in extracting reliable performance data that will stand up to scrutiny. Development is being taken forward through the following:

- The force has been working closely with other colleagues in the region with similar challenges, namely Nottinghamshire police and Northamptonshire police with a view to developing a suitable software search facility [Boxi software search facility]. This is ongoing.

- The imminent Force adoption of the Power BI software package now provides an opportunity to deliver a bespoke performance dashboard to help deliver reliable data to aid reporting and governance – timeframe for Power BI is end of July/beginning of August.

VICTIMS CODE OF PRACTICE – SATISFACTORY ASSURANCE	**January 2017**

FUNDAMENTAL: 0	**SIGNIFICANT: 2**	**HOUSEKEEPING: 1**

AMBER

Significant – Communication with Victims 4.3

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.

Implementation Target Date: ~~31st July 2018 November 2018 revised target date February 2019~~ revised date 31st July 2019

Person Responsible: D/Supt Jonny Starbuck

Initial Management Response: January 2017 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.

Update February 2017: Due to Niche testing delaying implementation, this recommendation will be adopted but the implementation has been put back to allow a more realistic timeframe.

Update May 2017: 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 1st July 2017.

Update August 2017: Chief Constable has signed TMC contract and now awaiting MOJ information to commence implementation; PCC briefed accordingly.

Update November 2017: Track My Crime was discussed at the last Demand Board which resulted in a meeting with key stakeholders to discuss implementation which took place on 7th November 2017. An options paper for TMC will be presented to the next demand board on 20th December.

Update June 2018: It is recognised that the force needs to continue driving the compliance around the victim codes of practice and as such a victim codes of practice working group has been formed to look at best practice and address issue as they arise. As a result of these meetings the group identified that victims and officers were not always best equipped with the relevant information to ensure appropriate interaction which would result in the agreeing of in effect a crime contract between the victim and Leicestershire Police. A booklet currently used by Northants Police offered a solution to this issue and work has been undertaken to develop this booklet for Leicestershire officers so they are equipped appropriately and can supply victims with all necessary and relevant information. The force will also look to instigate the use of the following campaign:

- **Leicestershire CARES -** This is a simple mnemonic campaign to assist officers remembering what is important and to allow managers to drive home the message

This work is being delivered by DI Hubbard and DS Kate Beel.

It is also worthy of note that Pronto will also offer opportunities to improve compliance around VCOP if managed appropriately as will the use of Track my Crime which is being explored via the online crime project team being run by Natalie Profitt.

It should be the aim of the force to enter into a crime contract with all victims of crime which is both appropriate, viable and proportionate to the crime being investigated and the use of electronic communications will assist officers and victims with this process and as such the force will look to shift communication to electronic formats allowing contact to be initiated when either party is unavailable.

Update August 2018: VCOP meetings have now reconvened and will be held monthly with representatives from all Force departments. Next meeting scheduled for 03.09.2018. D/Supt Starbuck is chair. Face to face crime queue reviews (between Supervisors and investigators in the NIUs) are now being re-embedded in working practices. They will focus on VCOP compliance, ensuring that updates are being given in agreed timescales with the victim as well as being recorded on the correct OEL within the occurrence. Messages have gone out Force wide to all Supervisors in relation to responsibilities under VCOP and a simplified power point sent for dissemination to staff.

Crime desk staff are currently supplying details of crime numbers to victims on all occasions either through SMS or telephone call. 5 crimes per each member of staff are dip sampled monthly by Supervisors to ensure compliance.

Ongoing tasks:

- Detective Inspectors have been tasked with dip sampling 10 crimes per NIU per month to ensure VCOP compliance is embedded. The result will be factored into the IMM performance document and scrutinised at the monthly performance meeting chaired by D/Supt Starbuck. Target date to be fully embedded is November 2018
- Re-embedding of Face to face crime queue reviews (between Supervisors and investigators in the NIUs) – target date is November 2018

Communication with Victims 4.3 Continued…

Update November 2018: VCOP Group met for 2nd time w/c Monday 8/10/18 and all recommendations continue to progress. Key issue is defining exactly what defines VCOP compliance. Various actions in place around defining this, internal communications, expectations of CMD, PRT, NPAs and Investigators in CaID. Also new leaflet designed, plan in place to ensure all victims advised re crime number and performance regime.

Next meet due Mid November when more significant progress is anticipated – DSP Jonny Starbuck

A comprehensive design and test process has been completed to fully understand the benefits of TMC to the organisation. The outcome of this work has shown that TMC will not offer the benefits initially recognised and could create more problems in the long run. The decision to not implement TMC has been agreed at a previous Design Authority meeting.

It is recommended that Leicestershire's default method of contact with victims is email combined with effective use of external 'out of office.' This would bring many of the TMC benefits and could be used to trigger automated messages to the victim, such as crime number and OIC, through Pronto.

All methods of contact are, of course, reliant on officers complying with the Victim Code and maintaining regular contact with victims of crime.

Adoption of the national Single Online Home (SOH) platform will bring a new mechanism for victim contact that will be delivered in early 2019.

Crime desk staff continue to supply details of crime numbers to victims on all occasions either through SMS or telephone calls and 5 crimes per each member of staff are dip sampled monthly by Supervisors to ensure compliance.

Update January 2019: The default method of contact continues to be via email to the victim. This has practice with the majority of crime (approx. 67%) that is worked through the Crime Bureau.

For crime recorded at the front end by PRT/NPA, victims are provided with information at the time of the face to face recording.

DIP sampling continues with the Detective Inspectors to ensure compliance and that any remedial action necessary takes place.

'CARE' mnemonic has been approved and is ready to be launched with an internal communications campaign highlighting it to officers

An automated message that will be sent from the recording officer to victims has been designed and delivered to the Pronto development team. This piece of work is currently being worked into the Pronto team's programme of work with a timescale for completion yet to be confirmed.

Work is still being undertaken with CMD Contact Handlers to request an email address at first contact to support the preferred e-mail contact option for victims.

An automated process to track VCOP compliance has been explored with Northamptonshire Police. However, they have a variance within their crime recording system which makes the automated system not suitable for Leicestershire Police.

Further enquiries are being made with other forces in relation to a fix for this for Niche; in the meantime, active quality assurance is being safeguarded through dip sampling.

Update April 2019: A task and finish group was convened in August 2018. It has included representatives from the OPCC, CMD, LPD and CAID. Collectively, the following has been achieved:-

- The CARE mnemonic, which underpins VCOP, has now been successfully launched through a corporate communications media campaign which includes:
  - Posters around stations force wide,
  - A web banner on the intranet
  - Chief officer messages on the intranet reinforcing the importance of VCOP and effective victim updates.
- A video has been commissioned and successfully launched on the intranet. It explains why VCOP is important using CARE and 'nudges' staff to record updates in the correct way. It has been promoted through:
  - Published on the intranet with a COT endorsement
  - Distributed by email directly to staff and first line supervisors to ensure staff view it.
  - Superintendents Natalee Wignall and Steve Potter have messaged Inspectors to ensure their staff in NPAs and PRTs have viewed it. Inspectors are feeding back to D/Supt Starbuck directly once their team has been briefed with the video.
  - The video features staff from victim first to reinforce the 'Team Leicestershire' approach
  - The video features a subtle computer demonstration as to how to add the correct victim update OEL and to ensure referrals to victim first are completed.
- A Powerpoint presentation also circulated detailing how officers effectively complete VCOP and complete/select relevant update OELS.

<u>Communication with Victims 4.3 Continued…</u>

<u>Update May 2019</u>:
Despite all the work completed to embed VCOP in processes and culture, the change to SOH and some emerging technological issues with Niche have caused problems requiring further work and scoping.

<u>Two new challenges</u>:
1 – change from force website to SOH means the VCOP booklet that was embedded in the hyperlink everyone uses now longer works (because the hyperlink points to the now defunct old force website)
Request sent to the SOH national working group on 03/05/19 for the link to be reinstated into the force website. In the interim the SMS template changed to go to the SOH Victim page which still provides the victim with information regarding the crime justice process, Victim First and a VPS.

2 – VCOP data entered on Pronto is not transferring effectively to Niche, making Niche appear defective in terms of VCOP compliance.
Dan Granger has liaised with the Niche team on 02/05/19 where this issue was confirmed. Further tests to be carried out to see what the percentage of the failure is for Niche/Pronto VCOP creations are to assess further.

<u>Timescales at present are</u>:
Baseline audit – by the end of June.

Rectification of new problems cited above – I cannot give a timescale as yet as solutions are still being looked at. Further report will be provided in due course.

<u>Update July 2019:</u> An appropriate process has been implemented. The vast majority of crimes are either attended by response officers or recorded in the crime bureau. Where response officers attend, they are required to provide the crime number to the victim personally. They can do this by hand writing it on a hard copy of the victim care booklet or by adding it to the email if they send the victim an electronic victim care booklet link. Where crimes are recorded in the crime bureau, an email or text message is sent to the victim confirming the crime number.

Compliance in this area has been tested by Corporate Services [now the Specialist Support Directorate] via a manual audit in June 19 (with the auditor reading all text on the report to make objective judgement on compliance). The audit found that 36.0% of all crimes audited (50 opened for less than 28 days, 50 opened for more than 28 days) had evidence to show that the victim had been given written details of their crime number. The full VCoP compliance audit report is embedded here:

VCOP Audit -

- **Recommendation – Further communications to officers regarding the importance of compliance in this area, supported by further audit with additional analysis around units / teams / individual performance for targeted feedback and additional training requirements.**

- **Timescale – (1) Further communications to force by 31/7/19 (2) Further audit by 30/11/19 thereby allowing for 90 day period for communications to take effect**

AMBER

Significant – Providing Information to Victims 4.4

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.

Implementation Target Date: ~~31st July 2018 - January 2019 - revised target date February 2019~~ revised date 31st July 2019

Person Responsible: D/Supt Jonny Starbuck

Initial Management Response: January 2017

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.

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 August 2017: 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.

Update June 2018: It is recognised that the force needs to continue driving the compliance around the victim codes of practice and as such a victim codes of practice working group has been formed to look at best practice and address issue as they arise. As a result of these meetings the group identified that victims and officers were not always best equipped with the relevant information to ensure appropriate interaction which would result in the agreeing of in effect a crime contract between the victim and Leicestershire Police. A booklet currently used by Northants Police offered a solution to this issue and work has been undertaken to develop this booklet for Leicestershire officers so they are equipped appropriately and can supply victims with all necessary and relevant information.

The force will also look to instigate the use of the following campaign:

- **Leicestershire CARES -** This is a simple mnemonic campaign to assist officers remembering what is important and to allow managers to drive home the message

This work is being delivered by DI Hubbard and DS Kate Beel and both documents in their Northants format are attached

It is also worthy of note that Pronto will also offer opportunities to improve compliance around VCOP if managed appropriately as will the use of Track my Crime which is being explored via the online crime project team being managed by Natalie Proffitt - Online Services Transformation Manager.

It should be the aim of the force to enter into a crime contract with all victims of crime which is both appropriate, viable and proportionate to the crime being investigated and the use of electronic communications will assist officers and victims with this process and as such the force will look to shift communication to electronic formats allowing contact to be initiated when either party is unavailable.

Update August 2018: The victims booklet has been re designed to incorporate VPS, details regarding Victim First and the Witness Care service as well as further information after reporting a crime and what to expect from the Criminal Justice system. Track my Crime has not been signed up to at this time so has been removed from the booklet which will exist in a hard copy and electronic form. The Crime desk provide a link to victims via SMS to access the Force Website for further information on VCOP as well as being able to access the Government Websites. VCOP and witness booklet held on file with the audit team.

Ongoing tasks:

- Launch of Victim leaflet Force wide with link on Force website, all Officers to supply details to victims on attendance or print off hard copies if required rather than mass leaflet production - Target date October 2018
- Agreement and compliance across the Force with other departments confirming how they are going to measure compliance and monitor implementation of the booklet and correct signposting – Target date November 2018
- Leicestershire CARES – this is a ready-to-use internal comms campaign from Northants, used to clarify expectations and to underpin compliance checks by supervisors. The basics of victim contact and recording need implementing and embedding first before this can be achieved as well as Niche template being built – Target date – January 2019

Providing Information to Victims 4.4 Continued…

Update November 2018: VCOP Group met for 2nd time w/c Monday 8/10/18 and all recommendations continue to progress. Key issue is defining exactly what defines VCOP compliance. Various actions in place around defining this, internal communications, expectations of CMD, PRT, NPAs and Investigators in CaID. Also new leaflet designed, plan in place to ensure all victims advised re crime number and performance regime.

Next meet due Mid November when more significant progress is anticipated – DSP Jonny Starbuck

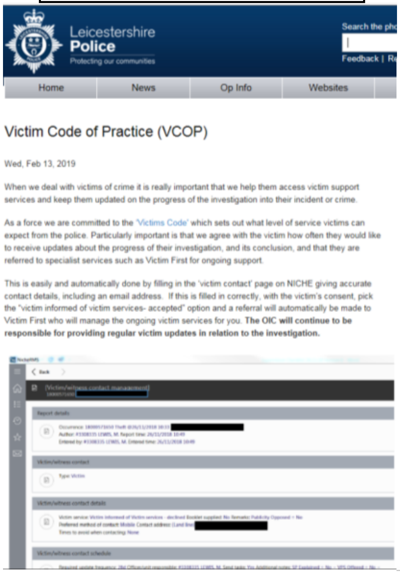
The decision has been made at the Design Authority on the 17th September not to progress with Track My Crime TMC.

A series of SMS templates have been developed for the Crime Bureau to use when contacting victims of crime with updates. These include links to the website where a section on Information for Victims of Crime has been set up *leics.police.uk/victims* This information is also provided to victims who report online and contact is continued through use of email.

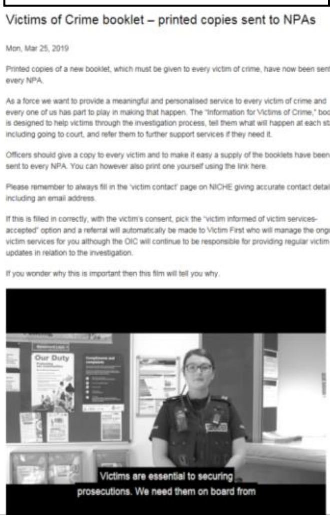
Crime desk staff are currently supplying details of crime numbers to victims on all occasions either through SMS or telephone call. 5 crimes per each member of staff are dip sampled monthly by Supervisors to ensure compliance.

Screenshot of Force Website in relation to breadth of information for both victims and force personnel:

DCC's Intranet message



Booklet: Information for victims



Force Website: Information for Victims

Update January 2019: VCOP group met on the 15the January 2019 and the VCOP leaflet, which covers the above, was finalised in terms of content and format. DSP Starbuck has set a deadline of the 12th of February 2019 (Next VCOP mtg) to have it published electronically on the intranet and outward facing force website.

Physical copies are currently being printed with Force Reprographics.

'CARE' mnemonic has been approved and is ready to be launched with an internal comms campaign highlighting it to officers.

The Chief Officer message is being amended and once approved; the links and 'CARE' with the video will be launched.

Update April 2019:

- The victims of crime booklet has now been successfully redesigned and launched internally for personnel to access and download if necessary.
- Booklet also published on external website and on 'link' for victims and community member access.
- Booklet circulated via the CARE campaign and chief officer message and via email to staff force wide.
- Stocks of Booklet distributed to all stations where public facing officers are based including specialist departments.
- An internal message placed on the intranet to reinforce availability/circulation of the physical copies.
- Neighbourhood teams have made the link to the victim booklet available via social media.
- An electronic copy is available for forwarding to victims via email. This is the main method of provision by departments such as the Crime Bureau.

	<u>Update July 19</u> – An appropriate and simple method of complying with this requirement is in place. The victim care booklet exists in physical and digital form (the latter was originally hosted on the force website but with the introduction of Single Online Home, has been transferred to the Victim First website). The link to the electronic booklet, along with physical copies, have been distributed to all officers and stations supported by a comprehensive communication package. An automated audit was completed by Corporate Services in June 2019. The audit indicated that officers were only compliant in 26.9% of cases (that is, the occurrence report was either endorsed that a booklet was supplied or that the victim was signposted to the electronic version on the website) • **Recommendation – Further communications to officers re importance of compliance in this area, supported by further audit with additional analysis around units / teams / individual performance for targeted feedback and additional training.** • **Timescale – (1) Further communication to force by 31/7/19 (2) Further audit by 30/11/19 thereby allowing for 90 day period for communication to take effect**

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: ~~31st July 2018 November 2018 February 2019~~ revised date 31st July 2019

Person Responsible: Supt D/Supt Jonny Starbuck, DI Deborah Hubbard and Track My Crime Dan Granger and Natallie Proffitt

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 November 2017: Project Darwin implementation continues, beneficially affecting the linear progression of crime to include compliance to requirements of VCOP. Performance data requirements are being reconfigured to establish baseline against which to consider this recommendation.

Update June 2018: In terms of VCOP, DI Hubbard has formulated a 10 point plan together with a new victim's leaflet which is planned to be introduced in conjunction with the new crime desk to ensure consistency over the questions asked to victims and be VCOP compliant. This is currently on hold and further discussions are required in relation to timings of calls within the Crime Desk.

Awaiting confirmation of track my crime and implementation date before new victims leaflet can be launched as well as CARES which focusses on the needs of the victim.

Processes within Niche are being scoped to support officer Niche victim data input behaviours around compliance with VCOP.

Update August 2018: This will be achieved though the implementation of a written 10 point plan which mirrors the existing VCOP template and incorporates a victim needs assessment. Rather than simply being the responsibility of the crime desk, this needs to be completed fully by all Officers Force-wide on initial attendance or at the point of criming an incident and certainly upon receipt into an Investigative department. The 10 point plan will also form part of the monthly checks when dip sampling for compliance.

10 steps to VCoP completion through the VCoP template held on file with the audit team.

Ongoing tasks:

- Dissemination of 10 point plan to all Officers and clarification of expectations in relation to completion and data quality – Target date November 2018
- DIs to dip sample 10 crimes per month from their respective NIUs to ensure that all information is being recorded correctly in line with VCOP and 10 point plan – Target date November 2018
- Negotiation with LPD in terms of their dip sampling regime regarding VCOP compliance around investigations sitting with PRT and NPAs – to be raised at next VCOP meeting and feedback sought – Target date October 2018

All the VCoP recommendations are work in progress with activity underway and progressing; there is a clear plan and direction of travel and delivery should be complete by October, November and January respectively – D/Supt Jonny Starbuck.

Update January 2019: The development of the Supervisors Checklist which ensures the 10 point plan for the needs assessment has been completed. This further supplements the DI's dip sampling in terms of compliance.

The formal launch of the VCOP refreshed video, 10 point plan and Supervisors Checklist that will offer direction and clarification to officers of their responsibilities to the VCOP.

The video is in the filming stage which will include Victim First. This will be launched in conjunction with a Chief Officer message and made a mandatory briefing for all officers which where possible will include support from Victim First

The availability of staff with the necessary skill set to assist with the communications and engagement part of the launch has caused some delay, however this has now been overcome.

Update April 2019:

- A practical user guide called "VCOP and Victim CARE principles" has been created and made available on the internal victim code webpage http://hq95t029/cms/section.asp?id=3102
- There are various other useful guides on the internal site including information concerning CARE and an aide memoire to officers with a 10 point plan to hep understand VCOP compliance and Needs Assessments.

Next steps:
The preparatory work has been completed and the correct structures are now in place. We must now embed VCOP compliance in business as usual, and create a governance and reassurance regime to bring about sustained high performance in this area. See also updates for the previous two recommendations above.

	Update July 19 – An appropriate procedure for recording Needs Assessments on Niche has been implemented. A process map was considered but deemed unnecessary as the Niche OEL template walks the officer through the process methodically. In the absence of definitive compliance criteria, Leicestershire Police considers a VCOP Needs Assessment complete if 4 key elements are present on the VCOP OEL. The elements are around preferred contact method, priority category, required update frequency and interpreter requirement. An automated audit was completed by Corporate Services in June 2019. Compliance rates are as follows:- • **preferred contact method – 79.3%** • **priority category – 69.3%** • **required update frequency – 85.8%** • **interpreter requirement – 28.7%** It is inferred that a large amount of the non-compliance around 'interpreter requirement' is due to officers leaving the field blank when the victim has no need of one. • **Recommendation – Further communications to force, thanking officers for efforts in areas where compliance is high and focusing attention on interpreter requirements** • **Timescale – (1) Further communications to force by 31/7/19 (2) Further audit by 30/11/19, allowing for 90 day period for communication to take effect**

	AUDIT COMMITTEE EFFECTIVENESS		**October 2017**
	FUNDAMENTAL: 0	**SIGNIFICANT: 6**	**HOUSEKEEPING: 2**
GREEN	**Housekeeping – Administrative Support 4.4** Given the previous issues with regards the quality of administrative support for the JARAP, and the subsequent return of the role to the OPCC, this should be kept under review for the time-being. **Implementation Target Date:** ~~31st March 2018~~ ~~1st July 2018 revised target date end December 2018~~ revised target date 31st March 2019. **Person Responsible:** Luke Pulford - JARAP Chair/ OPCC Chief Finance Officer Martin Henry – Chief Officer Paul Dawkins **Initial Management Response:** Agreed. Additional Resources have been brought in to the OPCC to support the Joint Panel. These will be kept under review during 2017/18 **Update November 2017:** Recently finalised audit report – update to be provided at next JARAP meeting. **Update February 2018:** This will be progressed when new OPCC CFO formally commences – Paul Dawkins. **Update June 2018:** Service standards have been developed and the Chairman and the OPCC CFO will consider the administration of the meeting on an ongoing basis. **Update August 2018:** Minutes for the last two meetings have been distributed for comment soon after the meeting. Report submission deadlines have been brought forward in order for the agenda and reports to be finalised and distributed earlier than has previously been the case thus giving panel members more time to consider the reports prior to the meeting. Will continue to review with a view to signing this recommendation off in December 2018. **Update January 2019:** Agendas and reports continue to be distributed more than a week in advance of the meeting. Draft minutes continue to be prepared within a week of the meeting taking place. The post is currently vacant and therefore until it has been filled we will contain to monitor this action. **Update April 2019:** The post has now been filled. This recommendation should be reviewed after the April JARAP meeting. **Update July 2019:** It is felt that the quality of the administration for the meeting has improved and then stabilised over the last 12 months despite there being a change in the postholder. The agenda pack goes out consistently over a week in advance of the meeting. The draft minutes are issued within two weeks of the meeting and very few changes are made to the minutes once issued. As a result it is considered that this recommendation has been achieved and can be closed. **PROPOSE CLOSED**		

	CODE OF GOVERNANCE – SATISFACTORY ASURANCE		June 2018
	FUNDAMENTAL: 0	SIGNIFICANT: 2	HOUSEKEEPING: 1
AMBER	**Significant – 4.1 Approval of the Corporate Governance Framework** The Corporate Governance Framework should be reviewed, updated where appropriate, and approved by the Strategic Assurances Board. The Framework should then be reviewed on a regular basis. **Implementation Target Date:** ~~31 December 2018 revised to 31st March 2019~~ 30th September 2019 **Person Responsible**: Martin Henry – OPCC Chief Officer Finance **Initial Management Response:** Agreed. The Corporate Governance Framework will be reviewed and updated where appropriate. **Update August 2018:** This action is ongoing with the target date still expected to be achieved. **Update November 2018:** This action is ongoing with the target date still expected to be achieved. **Update January 2019:** It is currently anticipated that this recommendation will be completed by the target date. **Update April 2019:** The Corporate Governance Framework still needs to be reviewed and updated and this will not be completed within the timelines envisaged above. A new target deadline of 30 September 2019 is now being proposed. **Update July 2019:** It is still anticipated that the deadline will be achieved.		

GREEN	**Significant – 4.2 Policy Review Log** Policy Review Logs for both the OPCC and the Force should be developed that enables the status of the policies to be tracked. The log should include, but not be limited to: 1. A list of all policies for both the Force and the OPCC; 2. The version number of the policy; 3. The date of the last review; 4. The due date of the next review; 5. The officer responsible for review; 6. The approving officer/committee; 7. The compliance monitoring checks to be undertaken on the policy; and 8. Evidence of these checks being undertaken. The log should be held centrally and updated on a regular basis, with each department submitting their evidence for the updates. **Implementation Target Date:** ~~31 December 2018~~ revised to 31st March 2019 **Person Responsible**: For the OPCC – OPCC Martin Henry For the Force – Debbie Hunt Project Officer. **Initial Management Response:** Agreed. A policy review log will be compiled to address these points. **Update August 2018:** **(a) Force Policies and Procedures**: There are currently 94 policies and 160 procedures logged for the Force and these are forwarded to the SPOC for each policy/procedure when they are due to be reviewed. Policy owners are emailed 3 months before a review date, so they have sufficient time to review the policy/procedure, thereby ensuring policies/procedures are up to date by the stated review date. The register or review log is currently held for all policies and procedures and retained within Corporate Services and continually monitored by a Project Officer. Bullet point 1 – A list of all policies/procedures for the force are retained in Corporate Services Bullet points 2 to 6 - These are all contained in the respective policy or procedure. Bullet points 7 and 8 – Compliance monitoring checks are confirmed as being adhered to. Going forward, the Force Inspectorate function will be undertaking regular reality checks to ensure Force policies and procedures are maintaining the standards and compliance required. This is now proposed closed. Update provided by Sue Walsh - Executive Support Manager and Magda Allen – Project Officer **(b) OPCC Policies and Procedures:** This is on track to be delivered by the target date. **Update November 2018:** **(a) Force update:** For the force the recommendation is considered completed as the force has a centrally held log which complies with 1 to 8 in the recommendation above and significant progress has been and continues to be made in the management and monitoring of force policies and procedures. Compliance on the timely review of force policy and procedures is now supplied on a quarterly basis to the SORB chaired by the DCC. **(b) OPCC update:** The Corporate Governance Framework will be updated by the target deadline. The other policies are being reviewed on a rolling basis; it is expected that these will be completed by the end of March 2019. **Update January 2019:** It is currently anticipated that this recommendation will be completed by the 31st March 2019 target date. **Update May 2019:** An OPCC policy log is now in place. The log includes a unique reference number for each policy, the policy name, the version control, date of last review, date of next review, officer responsibility, compliance monitoring checks and evidence that checks have been undertaken. Each policy added to the log will be approved by the Senior Management Team who meet each week. Five current policies have been redrafted to make them fit for purpose for the OPCC and consultation will now take place with unions on the changes made prior to staff consultation and sign off by SMT. A list of policies to be addressed has been compiled with timescales. This list is also included in the issues log for the Executive Support team which is reviewed on a monthly basis. **PROPOSE CLOSED – SORB meeting in May decision to go to JARAP for consideration for closure**		
	FLEET MANAGEMENT – SATISFACTORY ASSURANCE		**September 2018**
	FUNDAMENTAL: 0	**SIGNIFICANT: 4**	**HOUSEKEEPING: 1**

GREEN

Significant **4.1 Strategy and Implementation Plan**

The Fleet Management Strategy should be finalised so that sets out the key objectives to be met within the next few years. The Strategy should be aligned to the medium/long term objectives of both the Force and the OPCC.

An Implementation Plan should also be developed. This should include details of how the principles of the Strategy will be achieved by the Force.

The Strategy and Implementation Plan should both be approved at the Executive Committee.

Implementation Target Date: ~~March 2019~~ July 2019

Person Responsible: Nick Carvell - Head of Transport

Initial Management Response: The fleet management strategy is under development. The Northamptonshire force strategy document is used as reference currently and with some slight amendments will become the Leicestershire version. This provides a generic overview.

We are developing an enhanced strategy document which meets the forces changing priorities. The strategy will outline the mechanism to align itself to the changes rather than outline a single strategy. It essentially includes a regular fleet review and replacement approval process – governed by Senior Police officers and the Fleet Manager.

The Transport Utilization Board (TUB) will act as governance.

Update November 2018: This is a very recent final report, progress to be provided at next meeting.

Update January 2019: The attached business plan outlines the Leicestershire Transport Managers objectives for 2018/19.

The attached Northamptonshire Police Transport Strategy document will form the basis of the Leicestershire Police version. Both Northants and Leicestershire Police Fleet Managers report to the shared ACO Finance & Resources. The Leicestershire strategy document will be finalised by March 2019.

Due to the constantly changing environment of Policing, the Transport Utilisation Board meets monthly to align policing strategy to the police fleet and shape future fleet decisions and plans. Attached are the Boards Terms of Reference which were drawn up in October 2018.

Business plan TU 2018-19v2.docx | TRANSPORT STRATEGY 2017 2021 | Terms of Reference TUB.docx

Update April 2019: The strategy and implementation Plan have been completed and forwarded to Paul Dawkins - Assistant Chief Officer (Finance & Resources) on the 12th March for final approval.

Update May 2019: The fleet management strategy document is attached below. The 2019/20 business plan has been revised from 2018/2019 and is attached below. It outlines the Leicestershire Transport Managers objectives for 2019/20.

Due to the constantly changing environment of Policing, the Transport Utilisation Board meets monthly to align policing strategy to the police fleet and shape future fleet decisions and plans. Attached are the Boards Terms of Reference which were drawn up in October 2018.

Terms of Reference TUB.docx | Business Plan TU 19 - 20.docx | Leicestershire Police fleet strategy 2019.d | PRT Fleet Review and Initial Scoping I

Update July 2019: The strategy document (Leicestershire Police fleet strategy 2019) defines the fleet strategy going forwards. The TU business plan is revised annually in line with this. The revised ToM for the Transport Utilisation Board provides governance regarding fleet activity in line with Policing needs. We have also started a review process with Adam Slonecki with regular monthly meetings to define clearly the fleet needs in line with the emerging target operating model. An initial fleet scoping document has been produced which will be developed as the user group reviews the changing Policing needs and clearly defined vehicle requirements. With these documents now completed and in place and the review processes in place the fleet strategy is clearly controlled and defined. **Recommendation completed and closed.**

PROPOSE CLOSED

AMBER

Significant 4.2 Sample Check of Service Details

Regular sample checks should be undertaken on the services carried out and the details recorded on TRANMAN. The data should be checked to ensure:

- **All details (including mileage) is recorded for the service; and**
- **The annual servicing timeframe, or the 12,000 miles timeframe, have been met.**

Implementation Target Date: ~~March 2019~~ Revised target date June 2020 – reliant on external supplier – Civica / Head of Transport – new project manager appointed by Civica following current one leaving

Person Responsible: Civica and Nick Carvell - Head of Transport

Initial Management Response: We are introducing changes to Tranman presently as the current system (iR3) for identifying service points will be discontinued in the coming months due to upgrades to the system.

We are in the process of developing the changes to Tranman with Civica (owners of the Tranman system) and staff will undergo training with Civica to allow them to operate and manage the servicing schedules.

Details regarding service history will also be more freely available to mechanics as the system is to be loaded to the PC in the workshop (currently details only available on request and in paper form).

The revisions to Tranman will allow weekly refresh of the mileages which will highlight vehicles servicing needs in line with agreed parameters (miles vs. months). Schedules will also be planned 3-4 weeks in advance as the system will allow this. It will produce auto-scheduling which will mean vehicles are never ‘missed’.

A further database is being introduced to track the mileages of all vehicles that are not fitted with trackers. This will then feed into Tranman.

Update November 2018: This is a very recent final report, progress to be provided at next JARAP

Update January 2019: Attached are the proposals and cost estimates for the Tranman upgrade to feed in the mileage data as outlined in previous response. The work is now progressing with a target date for change over to the new scheduling system of end of March 2019.

A Leicestershire fleet team visited Kent & Essex Police on 21st January 2019 to see system being used as they operate Tranman Scheduler. K&E are supporting our transition to the scheduler module.

Leicestershire are reviewing the servicing profile of the fleet to bring it closer into line with the manufacturers guidelines and to avoid over servicing. The revised approach will deliver increased planning for servicing, reduced service visits for many vehicles, and more advance information for the maintenance team/stores. As part of the service scheduler module, it will provide greater detail regarding downtime of vehicles.

Leicestershire have also requested information and a quote for the introduction of tablet type screens to allow the inputting of service information, currently written by hand and entered by Service admin. This process is also used by K&E and has reduced the administration and paperwork considerably. This will increase the accuracy of the date entered into Tranman regarding vehicles and their maintenance profile. The revised scheduling will allow a proper service schedule to be produced 3-4 weeks in advance with little or no human intervention. Currently the vehicles are called in from a live screen in the iR3 system – therefore the risk exists vehicles are missed. This risk will be completely removed. Sampling can be carried out in future to ensure it is working correctly. K&E reported that the system has proved faultless so far.

It will of course take some time to completely adopt the new process but development and planning are now thoroughly underway.

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Update May 2019: This will be delayed until the revised mileage feed from iR3 has been tested and implemented and the new versions of Tranman Scheduler and Tranman Electronic job cards have been introduced.

There will be significant changes to the way vehicles are scheduled, revisions to service patterns and changes to the way job cards are processed using tablets rather than paper.

This is a huge change to the way things are being done presently. It will take at least 6 months to fully implement. Expected date for the new system to be fully operational and samples of jobs to be taken will be around October 2019

	Process to introduce the revised modules have been delayed after the Civica training manager and account manager left the business. Significant revisions to servicing schedules required – work to be completed by senior mechanics but work load impeding their ability to complete. **NEW UPDATE** Agreed at TUB that a formal process is not required. Fleet renewal is planned and presented at TUB and approved through that meeting. Standard replacement is viewed as BAU. **Update July 2019:** Revisions to the service scheduling are still in progress after a bespoke service scheduling module was purchased for the Tranman system. TU are working with IT and Civica to introduce the scheduling process. This will refine the servicing process as we align the service regimes to the manufacturers' recommendations. This will reduce some servicing work which is currently carried out potentially unnecessarily. It will also create an advance service schedule – allowing better management of VOR (vehicle of road) increasing utilisation of police fleet. It will also clearly define the service content and make-up providing increased control of work carried out. This will make checking work quality/and conformity much easier in line with this particular objective. Alongside this is the introduction of electronic job cards will reduce paperwork and administration and provide simpler, easier to access information on service and repair. We are in the process of rolling out the scheduler and electronic job card modules with Civica. It is anticipated that this will take 6-8 months from now as the feed of iR3 (vehicle tracking info) needed to be fed into Tranman. Expected to be operating the new scheduling and electronic job card system from 2020/21 FY. At this point, regular sampling can be carried out to ensure compliance.

GREEN

Significant **4.3 Procurement Policy**

A Procurement Policy for the fleet vehicles should be developed. This should outline the process to be followed for the procurement of vehicles, including the commissioning process, and it should clearly demonstrate how value for money should be achieved.

The policy should be approved by the Head of Transport and the Assistant Chief Officer for the Force.

Implementation Target Date: ~~January 2019~~ July 2019

Person Responsible: Nick Carvell - Head of Transport

Initial Management Response: Procurement of new vehicles is carried out in line with force procurement rules and the vehicles are secured through frameworks created and approved by either NAPFM or Crown Commercial Services (CCS). Therefore in most cases the make and model of vehicle is clearly defined and is 'ordered' straight from contract.

Where variation in the fleet is required (in the case of covert vehicles especially), the frameworks in place are referred to in the first instance to identify approved suppliers.

As part of the fleet strategy going forward and referred to in 4.1 above, approval and agreement to procure a vehicles or vehicle's will require a formal sign off using a pro-forma. This process is being developed by the

Head of Transport. Currently all fleet replacement decisions are discussed and verbally approved by senior Police officers acting as fleet SPOC's.

Update January 2019:

NEW VEHICLE FRAMEWORK DETAI

Leicestershire follow the National Policy on fleet procurement. For response (blue light) vehicles, the Southern buying Group contract is used – framework detail spreadsheet attached. This outlines the exact make and model for certain categories. Leicestershire adhere to this process as do the other forces within the East Midlands region. NAPFM National Association of Police Fleet Managers along with the Crown Commercial Services and the home office are in the process of developing and tendering the new framework agreement. Coming out of this will be the new buying contract. All East midlands regional forces will all sign up to the contract.

For vehicles outside of the blue light category, again the regional approach (and the National approach) is that the Crown Commercial Service (CCS) framework is used. This framework provides discounted models to the emergency services. Leicestershire use the framework to choose vehicle suppliers, especially where the vehicle fleet needs to hold a variety of vehicles, for covert/surveillance work for example.

The fleet replacement programme for the forthcoming FY is based on the current fleet and uses the criteria set by Leicestershire Police for replacement of vehicles. This is based on age and mileage. The fleet replacement plan is produced towards the end of the CY for budget submission and is used as the guide going forward to inform actual replacement. Variations from the plan are only required where a vehicle is un-expectantly lost through damage. Any variation to the type of vehicle being replaced is reviewed at TUB.

As such, a separate procurement policy for Leicestershire is not required.

Annex 1B Collection Delivery

Annex 1B Collection & Deliver

17-01-10 JPS303A - Framework User Gui

For commissioning, Leicestershire have recently adopted a tendering process for large commissioning batches. As evidence of this, attached are 2 tender documents used for 5 Roads Policing vehicles and 10 Dynamic response vehicles used by PRT's.

A commissioning framework also exists (attached) which outlines the suppliers that can be used for commissioning. Regionally, all forces use this framework. Leicestershire are considering a stand-alone contract for commissioning to make the awarding of work simpler and less onerous. Currently under discussion with procurement.

Update May 2019: The only area that remains updating is the formal sign off policy for vehicles outside of normal replacement (which is governed by the national framework and procurement policy).

Recent changes to the Leicestershire Police Transport Utilisation Board (Chair and decision maker has been reassigned) have delayed the agreed process for sign off for vehicles outside of the framework or vehicles that need to be different due to operational requirements.

This will be discussed at the next TUB meeting. It is expected that a formal e-mail response regarding the vehicle of choice will be sent to the relevant senior officers for approval. This will be recorded and all purchases will be held in a single spreadsheet. A pro-forma approach is not required.

	<u>Update July 2019</u>: Based on the work carried out in regard to this, there is sufficient governance in place for vehicle procurement and commissioning. The National framework is being let and a new framework is to be in place for April 2020. Leicestershire will adhere to this as we do presently. Based on the fact that Leicestershire Police TU unit follows procurement rules for both purchase of vehicles and vehicle commissioning - working closely with finance, vehicle operators and procurement, with added governance from TUB the procurement policy is clearly defined. TU keep strict records of all purchases with a running database of vehicles requiring replacement and what and when they are replaced with. Regular communication with end users, procurement and finance ensure the relevant controls are in place. The fleet procurement plan for the forthcoming year is reviewed with finance head and finance director several times throughout the year. **PROPOSE CLOSED**

AMBER

Significant **4.4 Performance Indicators**

Performance Indicators for the Fleet Management Team should be developed. These should help to assess performance against the Fleet Management Strategy (Rec 4.1).

Performance should be reported to the appropriate Force and OPCC forums on a regular basis to provide assurance that the Strategy is being achieved.

Implementation Target Date: ~~March 2019~~ Revised target date March 2020

Person Responsible: Nick Carvell - Head of Transport

Initial Management Response: A review of the financial status and monitoring of spend against target is carried out monthly. A number of graphs and charts related to spend are made available.

Update January 2019: As outlined above, performance relating to maintenance and vehicle down time is dependent on implementation of the new Tranman scheduler module. Once in use and understood, PI's will be developed from the system related to VOR time, repair costs, servicing average costs, timing of servicing – planned to actual.

We have introduced tracking of repairs as shown in the attached insurance repair status spreadsheet. This is being developed to show the amount of downtime and the factors affecting it. Time to get the insurance evaluation completed, time to carry out repair by repairer. This spreadsheet is the start of the evaluation and planning process.

The Vehicle procurement spreadsheet has been developed to enable us to track all new vehicle procurements from point of ordering and track spend, auto calculating the balance from the budget start point. This will inform which vehicles are being procured, how long it takes and the state of the budget at any given point in the FY.

The fleet budget sheet is the fleet operation spend tracker reviewed on a monthly basis. This outlines the total cost of operation and the expected end of FY cost. We have one running for the fleet capital budget also.

These demonstrate the development of the processes around all areas of fleet and the move towards a more controlled and measurable operation.

Insurance Repair Status V1.xlsx | Vehicle Procurement 2018-2019 NICK Jan | Fleet P9 Budget Monitoring v5.xlsm

Update April 2019: With the changes being implemented through Tranman scheduler and electronic job cards, the ability to provide Performance Indicators will be developed.

Presently there is no facility to produce performance indicators. In terms of timing of delivery, this will follow 4.2 above.

Update May 2019: Until iR3 updates complete and new module implemented and working as required, this cannot be delivered.

Update July 2019: Current issues with the iR3 system (ongoing work to resolve this is underway with TU and IT) and the limited detail contained within the current Tranman system restricts the ability to provide meaningful reports on fleet utilisation, VOR, repair levels etc.

The revisions to Tranman will provide the ability to produce performance figures. These will be developed as the new modules are rolled out.

AMBER

Fundamental **4.1 Implementation of Action Plan**

The organisation should seek to complete the implementation of its action plan.

We acknowledge the approach being taken to complete the Information Asset Register and this should look to be completed as soon as is practical.

It will require management commitment and adequate resource to implement and oversight of management to ensure it is implemented in a timely manner.

Implementation Target Date: **(1)** 1st March 2019 **(2)** Ongoing

Person Responsible: Steven Morris – Head of Information Management

Initial Management Response:

(1) The information Management department will undertake a summary report of overall GDPR compliance for the DCC and SORB which will be ready by the next SORB (March approx).

(2) The Info Asset Register is business as usual and is a long term work. A roll out plan has been formalised and will be presented to the DCC for approval. The plan now includes back office functions.

Update April 2019: Nationally a delay has occurred in the approved Information Asset Database being rolled out to forces. This was due to the software provider wishing to do a joint roll out once all purchase orders had been paid. Due to a lack of progress they have now decided to proceed with the roll out and this is to be done imminently. SORB did not get an opportunity to approve the IAO roll out plan and this will be taken there again at the next meeting.

Update May 2019:

Action 1 – This has been completed by the GDPR Project Manager who is now working on the Target Operating model. However the report itself needs a review by the Information Manager and this will not be completed in time for the next SORB.

Action 2 - The database has now arrived along with a new product from the Home Office that captures the information assets uploaded via PND and assesses their data quality. It is expected that the information asset work will take a 12 month rolling program of work. Members of the Information Management Department have completed 3 training courses so far in order to understand and maximise its capabilities.

Update July 2019:

Action 1 – This has been completed and the draft report is now ready for SORB. A copy of the report is attached.

20190528-IM_GDPR
_Analysis_Report-O.d

Acton 2 – This work continues at pace. A full training package has been completed by relevant Info Management staff. The register is now being built and the Corporate Structure is key to this. Work is ongoing with HR to obtain the latest structure chart and this will be embedded into the database. This will mean appropriate staff can be given access and tasked at the 'click of a button' and we can maximise the features of the product.

AMBER	PAYROLL – SATISFACTORY ASSURANCE		February 2019
	FUNDAMENTAL: 0	SIGNIFICANT: 1	HOUSEKEEPING: 2

Significant 4.1 Performance

Effective monitoring and analysis of issues is key to driving performance and this should be resumed through use of the advances and overpayments spreadsheet. In addition to this, management should review the reporting capabilities of iTrent to enhance the level of analysis at a more granular level

Implementation Target Date: 30th September 2019

Person Responsible: Alice Davis – Payroll Services Manager

Initial Management Response: The new payroll system was not fully implemented until December 2018.

The Internal Audit review took place in January 2019. During the implementation period resources were focussed on the implementation. The performance indicators on advances and overpayments are now up to date.

As the payroll system is embedded the Payroll Services Manager will review the reporting capabilities within the new software to determine whether there is any additional performance information that can be produced.

Update May 2019: The advances and overpayments performance monitoring through an Excel spreadsheet has resumed. Performance monitoring and reporting to the Head of Finance takes place on a monthly basis and performance reported averages are at the following levels - 99.34% for Advances and 99.89% for Overpayments.

The Payroll Services Manager will be reviewing the reporting functionality of iTrent, the new payroll system. This review will ascertain whether there is any additional performance information to add value and support a high level of efficiency and effectiveness.

Update July 2019: The Kier Payroll Consultant has spent some time explaining the various reporting/auditing functions available to the Payroll Services Manager and we are now exploring the possibility of using a more detailed audit function which may or may not have a cost attached – expected update by 31st August 2019.

Not Adopted	HEALTH AND SAFETY – SATISFACTORY ASSURANCE		March 2019
	FUNDAMENTAL: 0	SIGNIFICANT: 3	HOUSEKEEPING: 1

Significant 4.1 Job Roles

When the HAY re-evaluation takes place there should be discussion regarding updating job / role descriptions to reflect the responsibilities set out in the updated Health and Safety Procedure document.

Implementation Target Date: N/A

Person Responsible: Peter Coogan – Principal Health and Safety Advisor

Initial Management Response: Discussions have been held with HR with regards updating job / role descriptions to reflect the responsibilities set out in the updated Health and Safety Procedure document. As it is felt that this would elongate job descriptions and not necessarily add value, it has been agreed that no specific changes will be made to job descriptions.

Update July 2019: The Principal Health and Safety Advisor has explored the possibility of Human Resources introducing a generic reference within job descriptions thereby linking the job description with legislative responsibilities placed upon individuals in relation to Health and Safety. HR have agreed to update job descriptions with a reference for staff to adhere to the force's Health and Safety policy/procedure.

PROPOSED CLOSED – Management do not accept the recommendation therefore not adopted. This will need to be agreed with JARAP also.

Business as Usual

Significant 4.2 Responsibilities under the new policy / Manager training

A clear communication strategy should be put in place to ensure that staff are made aware of their responsibilities for managing health and safety.

The Force should prioritise those staff who have never completed the managerial course to ensure they receive this as soon as possible.

Implementation Target Date: Ongoing

Person Responsible: Directorates and Departments / Health and Safety Unit

Initial Management Response: This has been discussed with the corporate communications department who have confirmed that training is the best form of communication for a complex subject like health and safety. Whilst responsibility is with directorates and departments for ensuring its staff receive the appropriate training, the H&S Unit will work with them to support them in the fulfilling this role.

Update July 2019: The force already utilises a number of platforms to communicate the responsibilities of staff in relation to managing compliance with health and safety legislation, these consist of the following:

- ‘Latest News’ Intranet messages on the Force intranet.
- Induction training, whereby the content is related to health and safety legislation and the responsibilities placed upon staff under government legislation.
- Inputs on the Force ‘Wellbeing’ courses.
- A dedicated website with links to health and safety policy, procedure and guidance for personnel.
- Two courses provided per month for a cohort of 15 force personnel. The course is delivered by a trained teacher; and the courses have consistently received excellent feedback.

Departmental managers currently monitor and report on the levels of attendance on Health and Safety courses with performance reported to the following governance bodies:

- Numbers of personnel requiring training is notified to local directorates/departments Health and Safety Committees.
- Performance in terms of compliance with Health and Safety Training is reported to the Performance Delivery Group (PDG).
- Attendance at Health & Safety courses will be a standing item on the agenda at future PDG meetings.
- Performance is also reported to the Executive Health and Safety Committee.

Where an individual is allocated a placement on a health and safety course and where subsequently that individual does not attend the individual is required to give an explanation why they failed to attend the course.

Exec H&S Performance Report.d

PROPOSED CLOSED – Business as usual.

Further detail requested at SORB and provided above. This will need to be agreed with JARAP also.

AMBER

Significant 4.4 Spot checks of accidents / incidents

When undertaking a dip sample a minimum number of cases should be investigated over the year. Consideration should be given to undertaking spot checks on 10% of the accidents not reported to HSE, as an additional check that reportable incidents have not been missed.

Implementation Target Date: June 2019

Person Responsible: Peter Coogan - Health and Safety Unit

Initial Management Response: The health and safety unit have checked a significant amount of accidents since the last audit which have not been formally signed off on the spreadsheet. Through these spot checks the unit have identified assurance that no accidents which should have been reported to the Health and Safety Executive have been missed.

The health and safety unit will review the frequency of their checking based on this assurance.

Update July 2019: My unit has now dip sampled 138 of the 266 (52%) accidents reported to us since 2018. There have been no accidents which should have been reported to the HSE which have been missed. This should now be regarded as business as usual as we will carry out dip sampling at regular intervals. There does not appear to be an issue with RIDDOR reporting being missed.

	PAYROLL PROVIDER – SATISFACTORY ASSURANCE		April 2019
	FUNDAMENTAL: 0	SIGNIFICANT: 2	HOUSEKEEPING: 0

AMBER

Significant 4.1 Reporting of Quarterly KPIs

The Force, in discussion with Kier, should review and amend the Quarterly KPIs that are in place. The Quarterly KPIs should provide sufficient transparency on the performance of Kier.

Implementation Target Date: 31st May 2019

Person Responsible: Ruth Gilbert Head of Finance and Alice Davis – Payroll Services Manager

Initial Management Response: A meeting has been arranged with Kier on the 1st May to review the Service Level Agreement and KPIs.

Update July 2019: The Service Level Agreement and KPIs have been reviewed, updated and agreed between the Force and Kier. The first quarterly KPI's period to be reported will be May 19 to July 19 inclusive with a performance meeting early September for review.

GREEN

Significant 4.2 Helpdesk

The Force, in discussion with Kier, should review the support provided by the Helpdesk and, in particular, the manner in which queries are managed and the communication arrangements in place.

Implementation Target Date: 31st May 2019

Person Responsible: Ruth Gilbert Head of Finance and Alice Davis – Payroll Services Manager

Initial Management Response: A performance review meeting has been arranged with Kier on the 1st May when this will be discussed.

Update July 2019: There is now a system in place to monitor calls logged and has been since 7th May with response times and comprehensive details – these are emailed through each week and discussed on the weekly conference call.- **please close**

PROPOSE CLOSED

	SEIZED AND FOUIND PROPERTY – SATISFACTORY ASSURANCE		May 2019
	FUNDAMENTAL: 0	SIGNIFICANT: 1	HOUSEKEEPING: 2

AMBER

Housekeeping 4.1 Unknown Cash amounts stored (Only reported to SORB)

The Property Management Team should ensure that all cash reaching the main store is counted and updated on the property management system. Where cash is removed, the amount removed and amount remaining should also be recorded.

Implementation Target Date: (1) Completed **(2)** November 2019

Person Responsible: **(1)** Jez Leavesley **(2)** Amie Peplow

Initial Management Response:

(1) We accept the auditors' comments and have amended the force procedure to ensure that evidential property officers (on receipt at EPAC) check that the exhibit labelling displays the cash amount in the bag and ensure that this is rectified. **Completed**

(2) Historic cash exhibits pre 2019 may have further errors. The EPAT team does not have the capacity to review these; however a change in policy concerning banked cash has been introduced ensuring that all cash received is banked after 6 weeks. It is the Evidential Property Administrators responsibility to bank cash. It will take 6 months to rectify – November 2019.

Update July 2019 The historic cash is be processed by the Evidential Property Administrator and the completion target date remains the same - November 2019

AMBER	**Significant 4.2 Officers and Property Officers Training** Although mandatory training has been introduced for new starters, refresher training and importance of Evidential Property Management should be regularly re-iterated. The Force should work with the Officers to address any difficulties or confusion experienced by the officers with the process. **Implementation Target Date:** **(1)** May 2020 **(2)** May 2020 **Person Responsible**: **(1)** Jez Leavesley **(2)** Amie Peplow **Initial Management Response:** **(1)** The auditor has correctly identified that training remains an issue with evidential property procedures. This issue has been highlighted by auditors previously and remains a cultural issue that persists and is taking time, despite numerous and continuing inputs using various formats. **(2)** Work has been progressing on training but project staff focus has been on the new EPAC build and remains so at this critical time. A training programme of work is in place but if training is to be prioritised then a training lead is required until the build/move completes late 2019. The programme includes: 1) Mandatory Niche training 2) Pronto property module go live 3) An interactive Learning Portal 4) Revised classroom inputs 5) Tutors high level input 6) Officer Development days 7) Monthly newsletter (advice and tips) **Update July 2019**: The project staffs focus remains on the new EPAC build and this will be picked up in Phase 2.
	END

'Housekeeping' Recommendations monitored outside JARAP by the Force/OPCC through SORB are as follows:

Audit	Assessment level	Recommendation	Progress monitored through
Fleet Management	Housekeeping	**Review User Access to TranMan 4.5** A review of the users with access to the TranMan system should be completed to confirm that the access and permissions required are necessary for the job role. A report listing the specific permissions given to each user should be maintained.	SORB **Proposed and agreed closed by SORB16/05/19**
General Data Protection Regulation (GDPR)	Housekeeping	**Deputy Data Protection Officer 4.2** The force should consider assigning the role of deputy data protection officer to an appropriate member of staff.	SORB
	Housekeeping	**Subject Access Request Resources 4.3** The organisation should consider its resourcing levels in this area and keep them under regular review to limit the risk of future backlogs.	SORB **Proposed and agreed closed by SORB16/05/19**
	Housekeeping	**Regional Data Protection Meetings 4.4** The Terms of Reference for the Regional Data Protection meetings should be reviewed and updated, and all members should engage with the process to ensure it represents an effective forum for all in the context of both Data Protection, GDPR and wider Information Management.	SORB **Proposed and agreed closed by SORB16/05/19**

Health and Safety	Housekeeping	**Risk Assessments 4.3** The Health and Safety Team should collate all existing risk assessments held at local levels and carry out a review to ensure they can put in place an efficient process to carry out timely reviews of risk assessments.	SORB
Seized and Found Property	Housekeeping	**Unknown Cash amounts stored 4.1** The Property Management Team should ensure that all cash reaching the main store is counted and updated on the property management system. Where cash is removed, the amount removed and amount remaining should also be recorded.	SORB
	Housekeeping	**Update of procedure - cash seizures 4.3** The Force should update the procedure to clearly determine the requirement of the witness signature. Where the signature is not available and recorded on the Officer's Body Worn Video, then this should be accurately stated on the evidence bag and on the PMS.	SORB **Proposed and agreed closed by SORB16/05/19**