- **MAZARS AUDIT Recommendations**

- **Progress Tracker**

AMBER

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.

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Significant – 4.4 Officers and Property Officers Training

The Force should introduce communication and training days for old and new starters to ensure the correct processes are being followed.

The enhanced procedure is being standardised at all temporary stores therefore the requirement for all to be trained and familiar with the correct processes is vital.

Implementation Target Date: March - ~~September 2018~~ Revised target date June 2019

Person Responsible: Amie Peplow/Shruti Pattani

Initial Management Response:

The force acknowledges that training for all staff in the new procedures is paramount to the success of the processes. RAG coloured shelves were at trial stage at just one location during the audit. They are currently being introduced force wide.

Compliance is key.

Proposed training includes:

i NCALT package for all frontline staff new PMS NICHE property module

ii NICHE property module itself reinforces key messages

iii Probationer training package being reviewed and revised input to be introduced.

iv New packaging advice introduced to - Evidential Property intranet site linking with forensic science website.

v New training videos being prepared

vi Experienced officer inputs to be researched and considered.

vii Shelf guidelines for the new stores will be clearly marked. A training video for the temp stores will also be completed.

Update June 2018: Actions completed to date: i, ii, iv, vii. Other actions WIP

Update August 2018: v competed. WIP iii and vi

Update November 2018: iii and vi - **Probationer training package review and experienced officer inputs.** Review completed. Proposals are to be submitted to the Training panel in November and subject to agreement will be delivered to staff.

Update January 2019: Update relating to remaining aspects iii and vi

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

vi. Training Board (Nov 18) have now approved. Training gaps being identified with development days proposed for sign off mid-April 2019. NCALT package now mandated.

Update April 2019:

NCALT training modules have been rolled out to operational staff, 1,534 colleagues have completed the packages to date which is positive

See 4.1 response 8iii and 8v and 4.4 iii and vi - Propose that these remaining actions are amalgamated and taken forward under 4.1 to save duplication.

AMBER

FUNDAMENTAL: 0	SIGNIFICANT: 2	HOUSEKEEPING: 1

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

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

AMBER

Communication with Victims 4.3 Continued…

Update November 2018 required: 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.

	An audit is going to be requested to check governance and compliance with all elements of VCOP this will set out performance in this area. There is also dipsampling tasked out to Inspectors to evidence compliance and this will feed into future CAID performance meetings.

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

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 May 2017:

See above

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

AMBER

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 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 where required.
- 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.

An audit is going to be requested to check governance and compliance with all elements of VCOP this will set out performance in this area. There is also dipsampling tasked out to Inspectors to evidence compliance and this will feed into future CAID performance meetings.

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~~ revised target date February 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.

AMBER

An audit is going to be requested to check governance and compliance with all elements of VCOP this will set out performance in this area. There is also dipsampling tasked out to Inspectors to evidence compliance and this will feed into future CAID performance meetings.

	AUDIT COMMITTEE EFFECTIVENESS	October 2017
	FUNDAMENTAL: 0	**SIGNIFICANT: 6**	**HOUSEKEEPING: 2**

AMBER

<mark>Housekeeping</mark> **– 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 meeting.

GREEN

Significant **– Ongoing Panel Training 4.7**

Consideration should be given to reviewing the JARAP's training requirements, including the need for a 'skills audit' and training plans.

Implementation Target Date: ~~31st March 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 /DCC/ Business Risk and Continuity advisor – position vacant

Initial Management Response: Agreed

A review of JARAP Training requirements and draft plan will be prepared which aligns to the legislative requirements and those contained within the TOR.

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: This will be progressed between the Chairman of the Panel and the OPCC – CFO.

PDR's are now being completed on an annual basis and this more structured approach will capture the training requirements of the panel members which will then be considered with the OPCC- CFO.

This will be completed by the end of December 2018.

Update August 2018: Appraisals have been carried out by the Chairman of the Panel and these will be used to inform the development of a training plan for panel members.

Update November 2018: The Chairman has fed back the training requirements of the panel members and arrangements are being made to meet these development needs.

Update January 2019: The training and development needs have been identified and members are beginning to attend courses and receive development in their roles.

A training plan will be developed highlighting the needs and development that has taken place recently.

Update April 2019: The training requests have been communicated by the Chairman and the development needs highlighted are being addressed.

PROPOSED CLOSED

ESTATES MANAGEMENT – SIGNIFICANT ASSURANCE		**December 2017**
FUNDAMENTAL: 0	**SIGNIFICANT: 0**	**HOUSEKEEPING: 1**

AMBER

Housekeeping **– Standing Orders Update 4.2**

The Standing Orders should be updated to reflect the change in procedure with regards to quotes obtained by the Estates Team.

Implementation Target Date: not stated. 30th September 2019

Person Responsible: Nimisha Padhiar OPCC - Assurance Officer TBC

Initial Management Response: A full review of the Corporate Governance Framework will be undertaken as soon as the Resources Manager and Finance Director are in place. This will include the changes to the Standing Orders as agreed in September 2014.

Update June 2018: The Finance Director will undertake a complete review of the Corporate Governance Framework by the end of the next Financial year – 31st March 2019. This will include the changes to the standing orders.

Update August 2018: This review will be incorporated within the Corporate Governance Framework update that is progressing. This is due to be completed by 31 December 2018 and is currently on-track

Update January 2019: It is anticipated that this action will be completed before the end of March 2019 in line with the previous target date highlighted.

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.

	PAYROLL – SATISFACTORY ASSURANCE		December 2017
	FUNDAMENTAL: 0	**SIGNIFICANT: 3**	**HOUSEKEEPING: 1**

Significant **– Selima User Access 4.2**

A review of user access should be undertaken and, where users can access payslip records of others, and there is no operational requirement for this access, this should be removed. Consideration should also be taken to introducing user profiles with pre-defined access rights when requesting a new user to ensure access to employee wage slips are restricted.

Implementation Target Date: ~~Expected completion by: 31st Dec 17~~ revised target date 31st October

Person Responsible: Alice Davis - Payroll Services Manager.

Initial Management Response: A call has been logged with Kier Business Services to establish the level of access for all Selima users and an explanation as to why these users have the access they have – Kier are conducting a full user access review, completion date to be advised.

Update February 2018: Kier updated the access levels for those users (Leicestershire based) that did not routinely require access to payslip records. Unfortunately, this resulted in the access being removed from the Derbyshire users who use this functionality who work in Finance and HR. The previous access therefore had to be reinstated.

As the Force is currently transitioning to a new payroll system from April 2018 this will be picked up as part of the implementation.

Update June 2018: The Payroll Services Manager is due to meet with the Lead Payroll Consultant on the 14th June to go through the security access levels for the new intranet payroll software. This is to ensure that the access rights to the new software are set according to the needs of the role.

Update August 2018: The security profiles for the new payroll system have been defined & those users that do not require access to payslips do not now have this facility.

The go-live date for the implementation of the new payroll software is subject to a discussion with the supplier on the 24th August; an update will be provided for the next JARAP meeting.

Update November 2018: Parallel running October payroll with an expected go live date of November and December 2018. After the go live date access to Selima payroll system for those who do not require access will be removed. The new system has been tested to meet the requirement above. To remain open pending the go live decision. Further update to be provided at next meeting.

Update January 2019: The new payroll system is now fully implemented and operational with users have the correct access – which has been tested. Users can only access to view/update those areas of the system that are appropriate screens as per their role. Therefore this issue can now be closed.

PROPOSED CLOSED

	CODE OF GOVERNANCE – SATISFACTORY ASURANCE		June 2018
	FUNDAMENTAL: 0	**SIGNIFICANT: 2**	**HOUSEKEEPING: 1**

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.

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.

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 April 2019: Awaiting update from Martin Henry OPCC

AMBER

Significant **– 4.1 Reconciliation of Fees Received Against Licences Issued**

Regular reconciliations should be undertaken between the fees received and licenses issued.

Implementation Target Date: Immediate

Person Responsible: Nigel Rixon – Firearms Licensing Manager

Initial Management Response:

I recognise the requirement to reconcile monies received against Income Remittance statements.

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

Update January 2019: Between the period 01/04/2014 – 21/01/2019 the Force Firearms Licensing Department processed the following average number of grants/renewals per annum:

Type	Number
Shotgun Renewals	1481
Shotgun Grants	461
Firearms Renewals	376
Firearms Grants	128

The management team within the Force Firearms Licensing Department recognise the need to act with due diligence in terms of reconciling firearms license application and renewal fees received against firearms licences issued.

The Force Firearms Licensing Department have improved the processes, practices and internal checks with regard recording fee payments and this has been communicated to the necessary personnel.

All applicants for firearms licenses are now issued a receipt number for the fee that accompanies the application.

Fees are logged against a firearms application reference. Fees are accumulated as a monthly total received and checked against the total expected from the receipted records. This is then banked and documentation forwarded to FHQ Finance monthly for a reconciliation of total impress amounts banked and the bank statements received at FHQ Finance.

Reconciliation does take time however due to time differences between when the impress is banked and Force Finance are informed by receipt of the bank statement.

The Force Inspectorate Unit examined the application process and dip-sampled 20 completed grants and renewal records which showed 100% compliance in recording:

- **fees received, receipt references and recorded against licence references and**
- **staff and management signatures in relation to vetting checks** – see 4.2 below

The processes and practices are rigorous and reflect the importance in mitigating risk to a high level in the issuing of firearms licences.

It should be noted that there is a national development for future applications and payments to be made on line.

Future Developments:

The Single Online Home (SOH) is a national website that offers the public an easy to use digital platform where the force will be able to offer firearms licensing in a nationally consistent standardised way to the public.

The SOH will be delivered over three phases, starting in January 2019 and finishing in March 2019 with a new force website – moving it from a repository for news and information to a more customer-friendly format built around demand and online services.

In March the force will switch over to the full SOH and withdraw the current force website. The new platform will be live with a range of services including firearms licensing.

The force Firearms Manager attended a meeting on the 29th January in London to explore national developments, local implications and opportunities to improve processes, practices and governance in relation to firearms licensing. The online pilot concludes in February and has been successful; however we are seeking further information and learning to enable delivery in force.

PROPOSED CLOSED

GREEN

Housekeeping 4.2 Referee Police Security Checks

Management should be vigilant when approving applications to ensure all appropriate steps of the process have been completed.

Implementation Target Date: Completed

Person Responsible: Nigel Rixon – Firearms Licensing Manager

Initial Management Response:

All staff have been advised with regard the requirement to ensure all security checks are complied with.

More careful scrutiny is now in place and checks further conducted before final scanning of all documents.

Update January 2019: Firearms applicants must submit an application form (Form 201) in writing to the Firearms Department which includes a declaration signed by the applicant.

Once received, the applicant is subject to a very comprehensive vetting process to ensure they are suitable to hold a firearm.

The application vetting process includes the following scrutiny:

- **A letter to the applicants General Practitioner (GP);**
- **A medical questionnaire;**
- **Police security checks via three separate systems;**
- **Reference checks and**
- **A security inspection performed by an appropriately trained Firearms Enquiry Officer FEO.**

A checklist sheet is appended to all grants and renewal applications which tracks progress against the significant number of checks that have to take place and be considered before a grant or renewal is approved.

All applications are then counter signed by the departmental manager or deputy thereby ensuring that the department undertakes 100% checks to ensure that all security checks are being undertaken and the prescribed numbers of referees have been submitted with each application.

A couple of examples that the checks are effective are that recently the department identified one application being submitted with one referee missing; another application had a relative as referee which is not permitted.

The departmental manager recognises the need to continue with the 100% checks to ensure that fully complete applications are made and that the necessary vetting, police security and referee checks are concluded correctly. Manager signatory checks are indicated by a clearly recognisable signature against each referee.

We recognise that supporting documentation is key to evidencing that all appropriate checks have been undertaken and that licenses have been appropriately approved. It is encouraging that the Mazars audit recognised and reported that *"Leicestershire were confirmed to have comprehensive records in place with all relevant documentation available"*.

Firearms licences are recorded on the National Firearms Licensing Management System (NFLMS). The database holds detailed information on each licence holder and the firearms they possess. The NFLMS is used by the Department to identify any expiring licences and issue reminders. The system also records payment receipt references against applications which is also pertinent to recommendation 4.1 above.

Leicestershire Police is committed to working within the Home Office document 'Firearms Law – Guidance to the Police, the Home Office Firearms Rules, the National Police Chiefs' Council NPCC Guidance and College of Policing Authorised Professional Practice APP.

The firearms manager works with both regional and national colleagues to share good practice and keep abreast of developments in this area of business. HMIC inspected forces in 2014 and recommended that the Home Office issue refreshed guidance in relation to Firearms Licensing and this is eagerly awaited. The Force Inspectorate will follow this up with HM Inspectorate and the Home Office to see when publication is scheduled.

PROPOSED CLOSED

GREEN

Significant **– 4.2 Action Plan / Strategy**

The Force should consider reviewing the existing action plan and creating a separate Crime Data Integrity Strategy that will then be supported by an appropriate action plan. This should provide clarity and consistency for the CDI Group moving forward.

The Force should consider updating the format for the CDI Action Plan to ensure it can more effectively be utilised.

Implementation Target Date: Overall end December 2018

Person Responsible: (a) C/Insp Lou Cordiner – CDI Lead (b) Darren Goddard – Deputy Force Crime Registrar

Initial Management Response:

(a) A suitable forward looking CDI Strategy will be considered at the next CDI Group meeting on the 5th September 2018.

(b) The force has largely completed a reformat of the current action plan and this will be reviewed at the next CDI group meeting on the 5th September 2018.

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

Update November 2018:

(a) A crime data integrity and accuracy strategy has been produced and is awaiting sign-off by CI Cordiner the strategic lead for Crime Data Integrity.

(b) The Crime Data Integrity CDI Action Plan has been transferred to the force delivery plan template and is a standing agenda item on the CDI meeting and Get It Right First Time GIRFT governance group.

Update January 2019:

(a) The Strategy sets out to which governance groups audit results are reported and frequency, all audit results are taken to the CDI group where any actions identified will be allocated to the relevant business lead, who will be required to provide an update of progress to the CDI group. Actions will be added to the CDI action plan for management and review.

(b) The action plan has been moved from a word document to the Force Action Plan template, this makes it easier to see what actions are currently outstanding and to locate the detail behind each required action.

The new format was shared at the CDI meeting in September 2018 and is a standing agenda item at the CDI meeting; it is a live document and is updated at regular intervals.

HMICFRS published their force Crime Data Inspection report on 15th January 2019, they noted 3 outstanding recommendations from their 2017 report, 1 of these have now been closed and 2 remain open and are included in the CDI Action Plan.
In relation to this action the strategy has been produced and circulated and the action plan reformatted, therefore this overall recommendation is proposed for closure as it has been accomplished.

PROPOSED CLOSED

FLEET MANAGEMENT – SATISFACTORY ASSURANCE		September 2018	
FUNDAMENTAL: 0	**SIGNIFICANT: 4**		**HOUSEKEEPING: 1**

GREEN

AMBER

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

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.

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 – reliant on external supplier – Civica / Head of Transport

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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Leicestershire Police

Update April 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

AMBER

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

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 DETAIL

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   Annex 1B   17-01-10 JPS303A -
Collection Delivery 'Collection & Deliver 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 April 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 in April. 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.

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

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 Procurment 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.

AMBER	

GENERAL DATA PROTECTION REGULATION (GDPR) – SATISFACTORY ASSURANCE	February 2019

FUNDAMENTAL 1	SIGNIFICANT 0	HOUSEKEEPING 3

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.

CORE FINANCIALS – SATISFACTORY ASSURANCE		February 2019
FUNDAMENTAL: 0	**SIGNIFICANT: 2**	**HOUSEKEEPING: 1**

GREEN

Significant **4.2 Cash Fraud checks on requests to add/change supplier details**

The Force should ensure that fraud checks are carried out and documented in line with its processes for all new suppliers and requests to change supplier details.

Implementation Target Date: Completed

Person Responsible: Samantha Lamb - Finance Manager

Initial Management Response: All Finance Staff are aware of the need to undertake the Fraud checks on new / amended supplier details. Staff will be reminded to ensure that the checks completed are fully documented.

We will explore with our Agresso IT consultant whether the completion of the comments box can be made a mandatory part of the workflow.

Update April 2019: The Finance Manager absolutely recognises the importance of minimising risk in relation to new / requested changes to supplier details.

A management instruction was circulated to personnel on the 11th February which re-emphasised the need to undertake important fraud checks in order to robustly ensure that the force is dealing with legitimate suppliers. (copy attached)

A dip-sample audit of 10 records has been undertaken which showed 100% compliance.

The weekly BACS run includes a report which shows all 'new supplier set ups' on the system and this report is checked independently and signed off prior to the BACS run.

A considerable amount of remedial effort has taken place and this is now considered as recommendation achieved and closed.

PROPOSED CLOSED

GREEN	**Significant** 4.3 Actions to recover debt

The Force should ensure that actions are taken to chase any outstanding monies owed in line with policy, with actions taken documented within Agresso.

Implementation Target Date: Completed

Person Responsible: Samantha Lamb - Finance Manager

Initial Management Response: Fees and Charges represent 3.8% of the OPCC / Forces income which is approximately £8m per year. At the time of the audit the total outstanding debt over 28 days was £398k.

In relation to the audit findings:

(1)   The invoice for £39,110 related to a seconded officer recharge with MOPAC. This has now been paid.

Whilst it is accepted that the notes on Agresso had been updated the Team do remember sending reminder letters in the post.

(2)   The second invoice relates to a salary overpayment. A repayment plan has been agreed and the first instalment received.

The Team will be reminded of the need to record all recovery action on the notes pages within Agresso.

- Second reminder is 90 days after the invoice date
- Final reminder 104 days after the invoice date

Update April 2019: The Finance Manager acknowledges the importance of recovering outstanding monies in line with force policy as this improves the financial efficiency of the force.

A management instruction was circulated to personnel on the 15th February which re-emphasised the need to pursue and record actions taken to recover outstanding monies. (copy attached).

A dip-sample audit of 10 records was carried out which showed 100% compliance.

Debt recovery is carried out on a weekly basis and is monitored on a monthly basis in the performance file.

A considerable amount of remedial action has taken place and this is now considered as recommendation achieved and closed.

PROPOSED CLOSED |

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

AMBER	**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 April 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. |

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
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
	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
Core Financials	Housekeeping	**Cash Controls 4.1** The Force should create detailed documentation to govern cash payments, distinguishing between operational and routine expense claims, and detailing the circumstances under which each is appropriate, and the thresholds above which approval will be required. **PROPOSED CLOSED**	SORB
Payroll	Housekeeping	**Voluntary deductions 4.2** Payroll should ensure that there is a clear audit trail for deductions in all instances. Both the preparer and reviewer should ensure that the deduction summary sheet is signed. **PROPOSED CLOSED**	SORB
	Housekeeping	**New starters 4.3** Payroll should ensure that only fully completed PIM request forms are processed. **PROPOSED CLOSED**	SORB