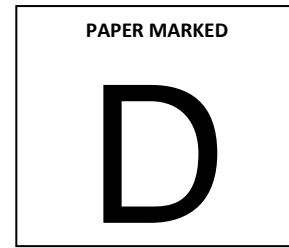


POLICE AND CRIME COMMISSIONER FOR LEICESTERSHIRE JOINT, AUDIT AND RISK ASSURANCE PANEL



Subject **INTERNAL AUDIT RECOMMENDATIONS AND TRACKING**
 Date **JULY 2021**
 Author : **INSPECTORATE – ROY MOLLETT**

Brief Background

1. Mazars Auditors undertake a commissioned annual programme of internal audits; for 2019-20 the following areas are subject of external scrutiny:

Core Financial Systems	Leadership & Management Development
Code of Governance	Recruitment
Payroll	Workforce Wellbeing and Absence Management
Strategic & Operational Risk	Procurement
Fleet Management	Estates
General Data Protection	Core Financials

Purpose of Report

2. The following report provides the Board with update progress responses from business owners in relation to recommendations made so far by external auditors Mazars.
3. Recommendations are reported in terms of risk/priority such as, **Fundamental**, **Significant** and **Housekeeping** by Mazars; these are indicated in Appendix A below.
4. The following table illustrates the number of outstanding/progressing and completed proposed closed - Fundamental, Significant and Housekeeping recommendations for the Mazar’s audits for this reporting period:

Risk/Priority of Recommendation	Remaining			Completed and proposed closed		Total
	RED	AMBER	GREEN	Proposed Closed	Not Adopted proposed closed	
Fundamental	2	-	-	-		2
Significant	-	9	-	-	2	11
Housekeeping	-	-	6	-	1	7
Total	2	9	6	0	3	20

5. There have been a significant number of recommendations signed off recently due to the good progress reported at the previous JARAP meetings.

There are 3 outstanding from the last JARAP that have not been adopted by the force; which were agreed closed by SORB on the 22nd June and are now proposed closed and for the panel to consider.

There have been a number of audit reports only recently agreed and finalised, and for these it is perhaps generally too early to report progress; progress will certainly be reported at the next JARAP meeting.

Audit Title	Risk	Section Reference	Proposed Closed	Page
Estates Management	Significant	4.3 Formal priority ratings of repair works	Not adopted	13
“	Significant	4.4 No central oversight over repair works	“	14
“	Housekeeping	4.5 Insufficient performance metrics	“	14-15

6. 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

7. For the Panel to note the attached summary risk and action update on progress responses from business owners against each respective audit recommendation thus far at **Appendix A** below.

8. For the Panel to note those actions proposed to be closed and to confirm that they are in agreement for them to be closed and removed from future tracking reports.

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 is part of this document

Background Papers

N/A

Person to Contact

DCC Rob Nixon

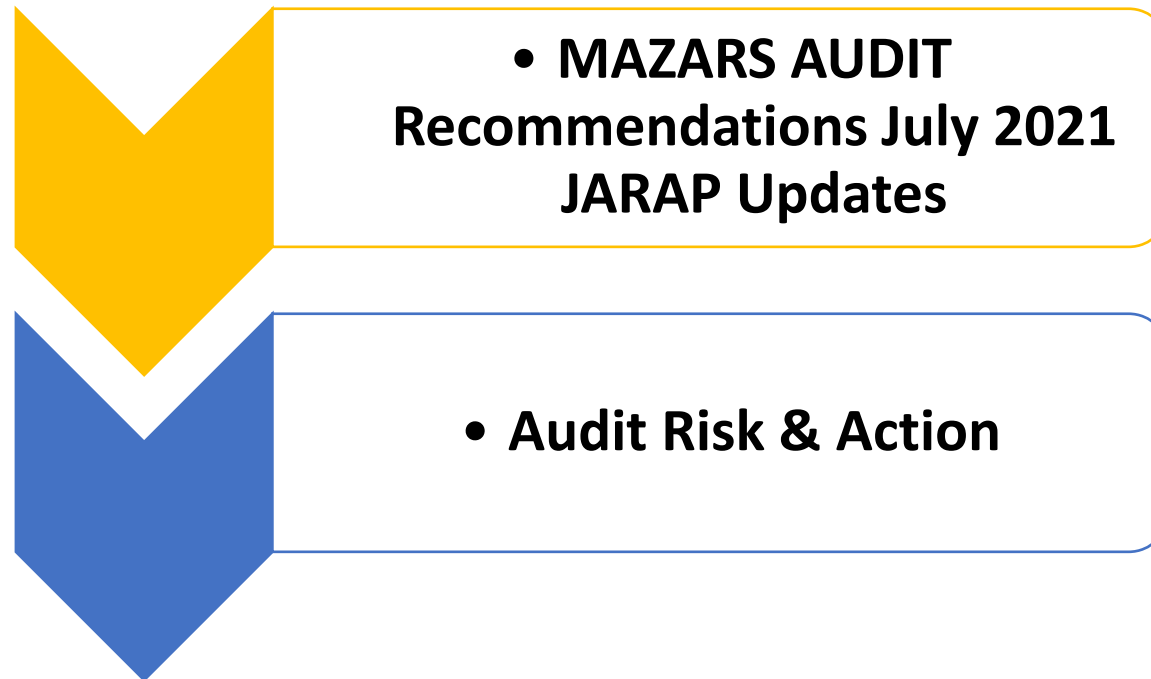
Email: rob.nixon@leicestershire.pnn.police.uk

C/Supt Kerry Smith – Head of Specialist Support Directorate

Email: Kerry.Smith@leics.police.uk

Roy Mollett – External Inspection and Audit

Email: roy.mollett@leicestershire.pnn.police.uk



RISK LEVEL	FUNDAMENTAL		SIGNIFICANT		LOW Housekeeping	
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Audit Title	Risk	Threat to Delivering	Recommendation Reference	Business Owner Update / Action Plan - May 2020
<p>SEIZED & FOUND PROPERTY</p> <p>LIMITED ASSURANCE March 2018</p>		Improved Management Decision Making	<u>4.1 Missing Firearm</u>	<p><u>Historical Progress March 2018 – January 2021:</u> The force has worked tirelessly to improve its evidential property management and has made significant changes over the last 18 months including a new staff structure and dedicated posts and a £43,000 investment in the upgrade of our temporary property stores. This investment has been summarised in previous JARAP updates but has included investment in infrastructure and rigorous audit processes and training for staff.</p> <p>In addition, the following key improvements have been delivered since March 2018:</p> <ul style="list-style-type: none"> > CCTV installation in the temporary stores – COMPLETED > Regular audits have been undertaken with positive assurance received that no further missing items were identified – COMPLETED > A rolling training program has been in place since November 2019, overseen by the Manager of the Property and Archives Team – COMPLETED > New online guidance is available for all staff on a 24/7 basis and an online learning portal is live and able to be used – COMPLETED > An upgrade to the NICHE crime database has been delivered as outlined in past updates. This has unlocked the opportunity to explore further analytical innovation – COMPLETED > EPAC has provided the Specialist Support Directorate SSD Analyst with a meticulous and complete list of fields required within the data warehouse. The complete list of precise required fields has now been shared with the Force Analyst Team within the Specialist Support Directorate SSD and development is being taken forward by the Senior Analyst January 2021 – COMPLETED <p>The Force IT department commissioned to provide the necessary BOXI property related fields necessary to complete the work – 30th March 2021 – COMPLETED</p> <p><u>Remaining Development Required and Project Milestones:</u></p> <p><u>Management Information Dashboard</u></p> <p>Development of Management Information – The force recognises the importance and benefits that a Key Performance Indicator KPI dashboard will bring, therefore this is being actively pursued through the application of the PowerBi statistical software.</p> <p>PowerBi is recognised nationally as having innovative capabilities in the handling and portrayal of management information, thereby enabling and underpinning effective and efficient management decisions.</p> <p>The force recognises that good data and information concerning business processes and service delivery are key to effective and efficient business management and a high quality service delivery outcome.</p>

				<p>> As previously reported the Niche upgrade was completed in November 2020; subsequently the Niche Regional Lead met with the Regional Configuration Manager week commencing 23rd November 2020. The purpose of that meeting was to ensure that the Management Information delivers what is required by all 6 Evidential Property Managers across regional forces. This is a real positive step forward and promising work and is something that has been absent within Niche since its infancy.</p> <p>Regional Update – End June 2021: Regional colleagues have consulted with all six evidential property managers to ensure the Management Information requirements will be suitably scoped and delivered to specification.</p> <p>The Region have also looked across other UK Niche forces and reviewed the West Yorkshire Property Management Information MI pack. This has provided significant learning and will help to better inform and shape the design of systems, thereby avoiding huge amounts of manual searching to compile MI reports.</p> <p>The Regional Operational Lead for Niche is in the process of compiling a draft Operational Leads MI configuration proposal paper based on what forces have stated in their requirements and would like to have included within the MI. The draft report will be circulated to regional property leads for approval.</p> <p>Leicestershire are seeking an explicit time frame that details the project delivery milestones in relation to the successful delivery of suitable management information that informs efficient and effective business decision making.</p> <p>The target date the 30th September 2021 – Amie Peplow EPAC Manager</p>
<p>FLEET MANAGEMENT</p> <p>SATISFACTORY ASSURANCE September 2018</p>		<p>Improved Management Decision Making</p>	<p><u>4.2 Sample Check of Service Details</u></p>	<p>Historical Progress September 2018 – April 2021: The Force IT department has successfully rebuilt the computer system server housing the Tranman program software which is a crucial component in facilitating the future fleet system upgrade.</p> <p>The fleet senior management team have met with the Civica development team to project plan the significant pieces of necessary work identifying those critical milestones that have to be met sequentially for successful implementation.</p> <p>The server upgrade for the Tranman system was carried out on the 22nd February 2021. This has secured the safe operation of the system for many years.</p> <p>Remaining Development Required and Project Milestones: RELEASE OF VERSION 9 OF TRANMAN</p> <ul style="list-style-type: none"> • Currently using release 8 which is now not supported by the supplier and outdated technology. • Tranman Release 9 has a much improved interface, this allows improvement to data recording, storage and searchability. Efficiency and effectiveness will be improved through improved service centre management information.

Target Release of Tranman: 9th September 2021

Identified risks and challenges - IT resource and TU resource to support the changes and User Acceptance Training UAT

SCHEDULER

- The revised scheduler system will allow vehicles to be scheduled for their planned maintenance based on mileage information derived from iR3 thereby ensuring that the prescribed service intervals are adhered to
- Currently the TU runs an alert system which does not allow forward planning and does not provide users with advanced warning of vehicles being required for maintenance. Clearly the new scheduler will resolve these challenges.
- In addition the new scheduler will enable forward planning, and service plans to be issued to users; the monitoring of work in progress and adherence to repair times.

Tasks to be completed:

- Scheduler data load to Tranman by TU
- User Acceptance testing UAT
- Test system run
- Implementation

Target Go live date: End October 2021

Identified risks and challenges

- Identifying vehicles with lost tracking, and conversion to Astra box system
- Conversion of HUF boxes to Astra box – contractor(s) commenced June 2021
- Resolution of iR3 issues – working with LBA/IT/C/Insp Project Support
- Additional admin support required in TU – from TU office admin staff – extra hours for part time staff

ELECTRONIC TABLETS

- Follows the timing of the scheduler

Target Date: End October 2021



- Additional Admin support needed – to come from TU office admin staff

Extract from project milestones plan:

Activity	Involved	Start Date	Target Date
Sign off of iR3 ready for go live	Leicestershire	-	Completed 11 th Dec 2020
Go Live with iR3	Civica/ Leicestershire IT	-	Completed 21 st Dec 2020

			Migration to the new build server – Test move	Civica/ Leicestershire IT	-	Completed 25 th Jan 2021	
			Testing that the test server move has not caused any errors	Leicestershire Tranman users	-	Completed 26 th Jan – 12 th Feb	
			Sign off that Live server move can take place	Nick	-	Completed 14 th Feb 2021	
			Live server move takes place	Civica/ Leicestershire IT	-	Completed 22 nd Feb 2021	
			Tranman System - Apply upgrade and changes to customer system	Civica/ Leicestershire IT	commenced	04/06/21 – 15/07/21	
			Training	Civica		14/07/21 – 22/07/21	
			User Acceptance Testing UAT	Civica/ Leicestershire		23/07/21 – 27/08/21	
			Go Live - will require DBA support	Civica/ Leicestershire		03/09/21 – 14/09/21	
			RELEASE VERSION 9 TRANMAN				
			Migration to Tranman release 9 *No interdependencies	TU/Civica/IT		9th Sept 2021	
			SERVICE SCHEDULE MODULE				
			Service schedule data input	TU	commenced	End July 2021	
			Service scheduler User development/training	TU/Civica/IT	5 th April	27 th Aug 2021	
			Dummy system run	TU/Civica/IT	30 th Aug	4 th Oct 2021	
			Service scheduler implementation	TU/Civica/IT	4 th Oct	End October	
			ELECTRONIC TABLETS				
			Procurement and Testing of tablets	TU/Civica	14 th Jun	13 th Aug 2021	
			System testing	TU/Civica	16 th Aug	4 th Oct 2021	

				Implementation of the Electronic Job Card module	TU/Civica/IT	4 th Oct	End October
“		Improved Management Decision Making	<u>4.4 Performance Indicators</u>	<p>Progress Update relates to the above: Recommendations 4.2 and 4.4 are directly linked. Delivery of 4.4 is dependent on developments being completed within 4.2. Ongoing work by the Head of Vehicle Fleet and the team to deliver improved service scheduling, job card processes and performance reporting via the Tranman system.</p> <p>Civica, the supplier of the Tranman system is working closely with the force to resolve what has turned out to be a more complex challenging programme of improvement. The work is ongoing in tandem with 4.2 above and the target date for completion is six months following the completion of 4.2 above.</p> <p>This area of work relies on completion of 4.2 the previous recommendation in relation to the scheduling work. Target date End of October 2021 – Nick Carvell Head of Fleet</p>			
<p>GENERAL DATA PROTECTION REGULATION (GDPR)</p> <p>SATISFACTORY ASSURANCE February 2019</p>		Information Asset Register Information Security	<u>4.1 Implementation of Action Plan</u>	<p>Historical Progress February 2019 – February 2021: Leicestershire Police continue to make notable inroads into this recommendation; and this has included monetary investment to enable a digital asset register provided by a 3rd party supplier. In addition, Leicestershire Police has funded the creation of a bespoke records management team that is responsible for delivering this recommendation.</p> <p>Progress to date has been considerable and the following has so far been achieved:</p> <ol style="list-style-type: none"> 1. The Information Asset Register has been redesigned to ensure that it can robustly manage assets and identify information risk. This will allow appointed asset owners the ability to understand the risk they carry in relation to their assets at any time. 2. Four major information assets have been identified as suitable for archiving / deletion with operationally relevant data being back record converted onto the NICHE crime database. 3. An Information Asset Register currently exists for the Specialist Support Directorate for both operational and non-operational assets. The Head of SSD has been briefed and all appointed business owners within SSD can now monitor their information risk. 4. Since the last update there has been a change in direction in relation to the Information Asset Owner IAO process. The Head of Information Management and the Information Manager met with ACC Kerry Smith and DCC Nixon on the 3rd February 2021 to discuss Information Asset ownership. During this meeting it was proposed by ACC Smith and the DCC that the Information Assets should be owned at a Corporate level within Corporate Services. The overall responsibility and accountability for the risk management of the Information Assets would be managed within Corporate Services rather than the business system owners (heads of directorates). <p>Remaining Development and Project Milestones:</p>			

				<p>In summary the decision going forward is that all Force Information Assets will be owned by Corporate Services instead of being allocated an Information Asset Owner/Business Owner. The creation of the information asset register for the Local Policing Directorate LPD is a significant undertaking and, when combined with the SSD register, will see at least two-thirds of our operational assets contained on the register.</p> <p>Once completed, work will then begin on the CAID information asset register.</p> <p>'What the future looks like' was covered during the asset management system presentation delivered to the Corporate Services Board on the 25th May. Within the next 12-18 months the outlined plan is to have recorded the information assets for remaining areas across the Force commencing with the Local Policing Directorate LPD.</p> <p>As stage 4 is still being worked through and due to other records management demands the following target dates take this in to consideration:</p> <ul style="list-style-type: none"> • LPD – completed within the next 6 months – target end date Dec 2021 • CAID – target end date June 2022 • Rest of the Force – target end date Dec 2022 <p>It is anticipated that it will not take the full 6 months to complete the process with each directorate which in turn should bring forward the overall completion target date which is currently December 2022.</p>
<p>RECRUITMENT</p> <p>SATISFACTORY ASSURANCE September 2019</p>		<p>Improved Management Decision Making</p>	<p><u>4.3 Reporting of all agreed KPIs</u></p>	<p>Historical Progress September 2019 – March 2021: The situation with the COVID-19 pandemic has meant that many of the Human Resources Service Centre HRSC projects have been delayed or put on hold so the department can concentrate on other priorities related to COVID-19.</p> <p>The Head of HRSC reported to the Management Board on 26th March 2021 where a business case was proposed for the board to consider in relation to funding some additional work around reporting which the department has been unable to complete over the last 12 months due to the pandemic. A copy of the report and meeting minutes are provided here:</p> <div style="text-align: center;">   </div> <p style="text-align: center;">2 Report for SHRSC Management Board Iv Minutes of Leics Dys Support Services Mee</p> <p>The additional funding proposed was not agreed by the board, however, the Head of HR Derbyshire and HR Director for Leicestershire have agreed to meet with me shortly to discuss the matter further.</p> <p>Remaining Development Required and Project Milestones:</p>

				<p>A broad review is underway of HR Service Centre processes at the request of the Management Board. I will be looking to bring additional 'Transactional' work into the HRSC over the next 6 months.</p> <p>There are still pockets of transactional work which was not initially in scope which now needs to come into the HRSC.</p> <p>In addition, the work around reporting is continuing and I have been tasked to prioritise reporting over the coming months.</p> <p>I can report that we are continuing to provide recruitment services to both forces in line with their current recruitment plans - Mazhar Ahmed Head of HRSC</p> <p><u>Force:</u> The force has requested a position statement in relation to those projects both on hold and progressing. The statement should outline in detail the objectives, anticipated impact and desired outcomes for Leicestershire Police.</p>								
<p>WORKFORCE WELLBEING & ABSENCE MANAGEMENT</p> <p>SATISFACTORY ASSURANCE September 2019</p>		<p>Improved understanding and Compliance</p>	<p><u>4.1 Review of Policies and Procedures</u></p>	<p>Historical Progress September 2019 – March 2021: The following table depicts progress with the outstanding Force procedures – of the original 17 procedures for review/refresh it is very encouraging that 15 or 88% have now been reviewed/refreshed. The remainder have moved forward and are on the cusp of publication, albeit they remain outstanding as there has been some delay during 2020 due to the COVID-19 pandemic and Legislative Compliance Pack LCP requirements to enable completion – please see specific update in table below.</p> <p>Remaining Development and Project Milestones: <u>Her Majesty's Continuous PEEL Assessment</u> – A prompt has been circulated from Corporate Services to remind directorate and departmental heads of the need to refresh / update the policies and procedures as expediently as possible. HMI issues a pre-inspection document request on an annual basis, therefore it is important to ensure policies and procedures are kept up to date. In doing this we demonstrate that we support our staff in delivering a high quality service to the people of Leicester, Leicestershire and Rutland.</p> <p>The following table provides a current status update in relation to the respective policy or procedure:</p> <table border="1" data-bbox="1016 1107 2130 1409"> <thead> <tr> <th>Type</th> <th>Title of Policy, Procedure, Form</th> <th>Date of Next Review</th> <th>Update</th> </tr> </thead> <tbody> <tr> <td>Procedure</td> <td>Police Officer Misconduct, Unsatisfactory Performance and Attendance Management (Home Office guidance)</td> <td>Dec, 19</td> <td>Police Officer Misconduct Procedure is owned by PSD and is updated on their intranet. In the process of being published awaiting completion of the Equality Impact Assessment – End July 2021 Police Officer Unsatisfactory Performance and Attendance is now being reviewed and</td> </tr> </tbody> </table>	Type	Title of Policy, Procedure, Form	Date of Next Review	Update	Procedure	Police Officer Misconduct, Unsatisfactory Performance and Attendance Management (Home Office guidance)	Dec, 19	Police Officer Misconduct Procedure is owned by PSD and is updated on their intranet. In the process of being published awaiting completion of the Equality Impact Assessment – End July 2021 Police Officer Unsatisfactory Performance and Attendance is now being reviewed and
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<p>ESTATES MANAGEMENT</p> <p>SIGNIFICANT ASSURANCE December 2020</p>		Contractor performance	<p><u>4.3 Formal priority ratings of repair works</u></p>	<p>Recommendation: The Force should introduce formal priority ratings for repair works, which are assigned to repair works based on the urgency of the repair. This should be in line with service level agreements the Force agrees with its contractors, which should be monitored to effectively scrutinise contractor performance. Furthermore, the Force should ensure that the management of repair works is monitored centrally by the Estates helpdesk to ensure compliance with the SLA and effectively scrutinise contractor performance.</p> <p>Implementation Target Date: Not applicable</p> <p>Person Responsible: Andrew Wroe Head of Estates</p> <p>Management Response: <u>Not agreed</u>. As we are a small department we very quickly become aware of contractors who are not performing. Maintenance work is so varied with many unforeseen reasons why particular jobs cannot be progressed. A priority rating system would add no value and just become a bureaucratic box filling exercise. Staff in the department have a close relationship with all our contractors and as a result we rarely have an issue with contractor performance or suffer complaints from our “clients” either. If we do, it is normally to do with something outside the contractor’s control.</p> <p>I see no risk to the Force from continuing to monitor contractor performance the way we always have – Andrew Wroe Head of Estates</p> <p>March Progress Update: Discussed with Paul Dawkins - The force does schedule repair works as part of the repair and maintenance work programme. The systems and processes in place continue to work well in terms of service delivery in relation to force client repair and maintenance. The force received ‘Significant Assurance’ overall for this report and will not be adopting the recommendation as there is considered no risk to service delivery as it continues to be good. Similarly, contractor performance levels meet the forces’ requirements - Paul will be attending SORB and is happy to discuss with the Board. This was reported to JARAP earlier in the year and the chair has been invited to meet with ACO Paul Dawkins to foster greater understanding of force systems, processes and long-held good performance in this regard – awaiting response from JARAP Chair Luke Pulford.</p>												

				<p>July Progress Update: following a meeting between ACO Paul Dawkins, Andrew Wroe Head of Estates and JARAP Panel members on the 9th April 2021</p> <p>At the meeting on the 9th of April 2021 with JARAP members this was discussed and Head of Estates Andrew Wroe, explained to members that this would not add any value to the process of managing contractors as this is the principle role of both the Estates Department Technical Staff and the 3 Facilities Officers. There is so much complexity to when and how even the simplest job is carried out, that priority ratings just add a layer of bureaucracy and have no value in assessing a contractor's performance.</p> <p>Even the simplest of jobs can be delayed for numerous reasons outside the control of the contractor and staff are in regular contact with the contractors to discuss these delays. It can be seen how this may be needed in a very large organisation to keep control but Leicestershire Police Estates Department only consist of 6 members of staff monitoring contractors and work from a single office so contractor performance is discussed pretty much on a daily basis. JARAP members accepted that the monitoring of contractors was adequately controlled.</p> <p>Sorry but there is no further update that I can provide. Andrew and I met with the JARAP members and discussed this. They were happy. It was then discussed at the next JARAP meeting and I was expecting them to be closed down. The risks have been appropriately managed and mitigated. So I recommend to SORB and JARAP that they are closed.</p> <p style="text-align: center;">Agreed closed at SORB 22nd June 2021 - PROPOSED CLOSED -</p>
“		Contractor performance	<p><u>4.4 No central oversight over repair works</u></p>	<p>Recommendation: The Force should introduce a process whereby repair jobs carried out by the contractors are monitored centrally, in addition to being monitored by the Facilities Officers. This will allow the Force to ensure the necessary oversight and scrutiny of contractor performance takes place.</p> <p>Management Response: As above. Again, would add little or no value to our knowledge of contractors' performance but be just another bureaucratic burden. Our Facilities Officers role is to monitor contractors and they disseminate information regarding this to the rest of the team at team meetings. I can see no risk in this as the contractors are being monitored – Andrew Wroe Head of Estates</p> <p>March Progress Update: Discussed with Paul Dawkins - The force does schedule repair works as part of the repair and maintenance work programme. The systems and processes in place continue to work well in terms of service delivery in relation to force client repair and maintenance. The force received 'Significant Assurance' overall for this report and will not be adopting the recommendation as there is considered no risk to service delivery as it continues to be good. Similarly, contractor performance levels meet the forces' requirements - Paul will be attending SORB and is happy to discuss with the Board.</p>

				<p>This was reported to JARAP earlier in the year and the chair has been invited to meet with ACO Paul Dawkins to foster greater understanding of force systems, processes and long-held good performance in this regard – awaiting response from JARAP Chair Luke Pulford.</p> <p>July Progress Update: following meeting between ACO Paul Dawkins, Andrew Wroe Head of Estates and JARAP Panel members on the 9th April 2021</p> <p>At the meeting on the 9th of April 2021 with JARAP members this was discussed and members agreed that this is related to the above recommendation 4.3. Discussion about failing contractors (which is very rare) take place at daily discussions in the office and at regular meetings. Evidence of failing contractors is passed on the Procurement Department who will contact the contractor to warn and discuss the issue with the contractor. Procurement keep all records of these discussions. Failing contractors are so rare partly because of the rigorous procurement process that our Procurement Department goes through at the tendering stage but also one of the main functions of the Estates Department staff is to work through problems and issues with our contractors which we generally do successfully. JARAP members as above, accepted this robust process of managing contractors and were assured there was an adequate process in place. Sorry but there is no further update that I can provide. Andrew and I met with the JARAP members and discussed this. They were happy. It was then discussed at the next JARAP meeting and I was expecting them to be closed down. The risks have been appropriately managed and mitigated. So I recommend to SORB and JARAP that they are closed.</p> <p style="text-align: center;">Agreed closed at SORB 22nd June 2021 - PROPOSED CLOSED -</p>
“		General performance monitoring	4.5 <u>Insufficient performance metrics</u>	<p>Recommendation: There should be a comprehensive suite of KPI's which the Force uses to assess the performance of the various functions performed by the Estates department. This could include but not be limited to:</p> <ul style="list-style-type: none"> ○ Monitoring the number of repair works completed within the service level agreement agreed with the Force's contractors; ○ The number of repairs completed right the first time; ○ Monitoring the number of repairs completed for newly built or refurbished buildings to evaluate the performance of the contractors used to complete the new build or refurbishment and; ○ The number of stock condition surveys completed in the year versus the target for the year. <p>Management Response: <u>Not agreed.</u> The Force already has the Home Office Value for Money tables and the NPEG comprehensive Bench Marking schemes in place. Comments are the same regarding points 4.3 and 4.4. The information that Mazars are suggesting we KPI would add no benefit to the department and again would just create bureaucracy. The risk states, not having this in place prevents the Force from achieving its strategic objectives, but this is simply not the case – Andrew Wroe Head of Estates</p>

				<p>March Progress Update: Discussed with Paul Dawkins - The force does schedule repair works as part of the repair and maintenance work programme. The systems and processes in place continue to work well in terms of service delivery in relation to force client repair and maintenance. The force received 'Significant Assurance' overall for this report and will not be adopting the recommendation as there is considered no risk to service delivery as it continues to be good. Similarly, contractor performance levels meet the forces' requirements - Paul will be attending SORB and is happy to discuss with the Board.</p> <p>This was reported to JARAP earlier in the year and the chair has been invited to meet with ACO Paul Dawkins to foster greater understanding of force systems, processes and long-held good performance in this regard – awaiting response from JARAP Chair Luke Pulford.</p> <p>July Progress Update: following meeting between ACO Paul Dawkins, Andrew Wroe Head of Estates and JARAP Panel members on the 9th April 2021 Again, at the meeting on the 9th of April 2021 with JARAP members this was discussed. Head of Estates (Andrew Wroe) explained that we already have a comprehensive benchmarking scheme run by NPEG (National Police Estates Group) which compares the Force both internally and externally with other Forces. Additionally the Home Office produce their Police Value for Money Tables which Leicestershire Police Estates have been the most efficient in its Most Similar Force group and second amongst all Forces. This has been the case for many years now. JARAP members recognised this and accepted there are a significant number of meaningful KPIs in place already and creating more would add no further value and would effectively be checking the checkers.</p> <p>Sorry but there is no further update that I can provide. Andrew and I met with the JARAP members and discussed this. They were happy. It was then discussed at the next JARAP meeting and I was expecting them to be closed down. The risks have been appropriately managed and mitigated. So I recommend to SORB and JARAP that they are closed.</p> <p style="text-align: center;">Agreed closed at SORB 22nd June 2021 - PROPOSED CLOSED -</p>
<p style="text-align: center;">VETTING</p> <p style="text-align: center;">SATISFACTORY ASSURANCE February 2021</p>		<p>Personnel support thorough guidance</p>	<p>4.1 Internal Vetting guidance</p>	<p><u>Housekeeping Recommendation:</u> On implementation of the new vetting system, the user guide should be completed by the Force.</p> <p>Initial Management Response: Completion of the Security Vetting Standard Operating Procedures is subject to successful on-boarding of replacement Vetting software. 'Corevet'.</p> <p>Target date: End February 2022 - Mandy Bogle-Reilly (Security Vetting Manager) supported by Angela Cooper (Trainer and Snr Vetting Officer)</p>

				<p>Progress Update July 2021: The Project to manage migration to Corevet is still in progress. Development of the Standard Operating Procedures SOPs and user guides will be included as part of the on-boarding process. Currently we are unable to design and produce training material on software that is not yet live.</p>
“		Performance monitoring	<p><u>4.3 Performance reporting</u></p>	<p>Significant Recommendation: The Force should ensure that performance information is produced for Vetting, with consideration made to enhancing the data that is included within the performance indicators.</p> <p>The vetting performance information that is produced should be presented at the Professional Standards Department (PSD) Senior Management Team (SMT) meetings.</p> <p>Examples of further indicators that will enhance the reporting are:</p> <ul style="list-style-type: none"> - The number of cases received in the month - The number of cases processed in the month - The % of renewals processed prior to the expiry date - Exception reporting on significant outliers in cycle / touch time - The proportion of each type of vetting case received within the month - The turnaround time on vetting appeals that are processed. <p>Management Response: Currently, MI reporting responsibility sits outside of the Vetting unit and therefore is not within the direct control of the Security Vetting Manager.</p> <p>1) Outstanding PSD performance reports for March 2020 – January 2021 have been obtained since the draft audit report was received. COMPLETED - Outstanding PSD Performance pack was obtained on the 8th February 2021 - Supt Rich Ward</p> <p>2) In line with the audit recommendations, the reporting categories and KPI's are to be reviewed by the Security Vetting Manager who will act as Subject Matter Expert to the SSD Performance Analyst lead, for the development of a Strategic and Operational Vetting dashboard.</p> <p>Target Date: End March 2022 - Mandy Bogle-Reilly (Security Vetting Manager)</p> <p>Progress Update July 2021: The Project to manage migration to Corevet is still in progress. The Head of Vetting has made early engagement with the Chief Inspector Performance within Corporate Services and the Power BI team, who have recommended that the provision of their analytical support for the creation of a new vetting dashboard should be delayed until Corevet is fully on-boarded and the full suite of MI reports are available.</p>

WELLBEING

**SATISFACTORY ASSURANCE
February 2021**

Improved understanding and Compliance

4.1 Review of Policies and Procedures

Housekeeping Recommendation: The HR procedures which have been identified as out of date through our review; the tracking of previous recommendation; and, the SORB monitoring activity should be reviewed and updated.

The Force should ensure that policies and procedures are reviewed regularly; and, that this is noted in the document control sections even if no updates are made.

Initial Management response: The recommendation is accepted and the progression of the full range of policies, procedures and guidance is a huge task due to the sheer number of these. They will be moved forwards and the document which confirms what stage they are at will be updated as suggested regularly even if the updates are still being worked on. None of the procedures are out of kilter with current legislative compliance to provide some reassurance.

Target Date: December 2021 / Senior HR Business Partner

Progress Update July 2021: Due to the number of Policies and Procedures held on directorate/departmental websites as well as the force document library the process of reconciliation of all the Policies and Procedures has over time become overly complex and lengthy.

An action plan has been designed by the Service Improvement Support Officer to streamline the policies and procedures that are located on the force intranet library without affecting due diligence in relation to compliance and quality of service guidance for police officers and police staff.

Following support at Executive Group level work is commencing to move Policies and Procedures into one document, containing the Policy with Procedural appendices where necessary. Templates for this new document have now been created and departments have now started amalgamating policy and procedure. This will make the whole process more efficient and effective, whilst also ensuring that there is no confusion amongst staff as was the case previously with singular policies and procedures.

Significant progress has been made in the review and update in relation to overall force policies and procedures in general over the last twelve to eighteen months.

However, the force recognises that there are a number of Human Resources related policies and procedures that have during 2020 become overdue.

The following policies and procedures for Human Resources are currently being reviewed, with 5 due for publication shortly once the Legislative Compliance Packs LCPs are completed.

Progress is actively being tracked through the quarterly SORB meetings where progress is a standing agenda item..

Type	Title of Policy, Procedure, Form	Date of Next Review	Review Status	STATUS
Procedure	Redeployment as a Reasonable Adjustment; Police Staff	Nov, 20	Very Overdue	Currently being reviewed

				<table border="1"> <tr> <td>Procedure</td> <td>Sick Pay including Extension Framework; Police Officers</td> <td>Nov, 20</td> <td>Very Overdue</td> <td>Currently being reviewed</td> </tr> <tr> <td>Procedure</td> <td>Sick Pay including Extension Framework; Police Officers</td> <td>Nov, 20</td> <td>Very Overdue</td> <td>Currently being reviewed</td> </tr> <tr> <td>Procedure</td> <td>Honoraria; Police Staff</td> <td>Sep, 20</td> <td>Very Overdue</td> <td>Currently being reviewed</td> </tr> <tr> <td>Procedure</td> <td>Unsatisfactory Attendance; Police Officers</td> <td>Sep, 20</td> <td>Very Overdue</td> <td>Currently being reviewed</td> </tr> <tr> <td>Procedure</td> <td>Unsatisfactory Performance; Police Officers</td> <td>Sep, 20</td> <td>Very Overdue</td> <td>Currently being reviewed</td> </tr> <tr> <td>Procedure</td> <td>Work Experience</td> <td>Dec, 19</td> <td>Very Overdue</td> <td>Currently being reviewed</td> </tr> <tr> <td>Procedure</td> <td>Ill Health Retirement; Police Staff</td> <td>Mar, 20</td> <td>Very Overdue</td> <td>Reviewed - LCP being completed – end of July</td> </tr> <tr> <td>Procedure</td> <td>Acting Up and Temporary Promotion (Police Staff)</td> <td>Jun, 20</td> <td>Very Overdue</td> <td>Currently being reviewed</td> </tr> <tr> <td>Policy</td> <td>Pay, Pensions and Benefits</td> <td>Jun, 20</td> <td>Very Overdue</td> <td>Reviewed - LCP being completed – end of July</td> </tr> <tr> <td>Policy</td> <td>Performance and Development</td> <td>Jun, 20</td> <td>Very Overdue</td> <td>Reviewed - LCP being completed – end of July</td> </tr> <tr> <td>Policy</td> <td>Recruitment, Development and Planning</td> <td>Jun, 20</td> <td>Very Overdue</td> <td>Reviewed - LCP being completed – end of July</td> </tr> <tr> <td>Policy</td> <td>Health and Wellbeing</td> <td>Jun, 20</td> <td>Very Overdue</td> <td>Reviewed - LCP being completed – end of July</td> </tr> <tr> <td>Procedure</td> <td>Career Break; Police Officers</td> <td>Jul, 20</td> <td>Very Overdue</td> <td>Currently being reviewed</td> </tr> <tr> <td>Policy</td> <td>Leave</td> <td>Aug, 20</td> <td>Very Overdue</td> <td>Reviewed - LCP being completed – end of July</td> </tr> </table>	Procedure	Sick Pay including Extension Framework; Police Officers	Nov, 20	Very Overdue	Currently being reviewed	Procedure	Sick Pay including Extension Framework; Police Officers	Nov, 20	Very Overdue	Currently being reviewed	Procedure	Honoraria; Police Staff	Sep, 20	Very Overdue	Currently being reviewed	Procedure	Unsatisfactory Attendance; Police Officers	Sep, 20	Very Overdue	Currently being reviewed	Procedure	Unsatisfactory Performance; Police Officers	Sep, 20	Very Overdue	Currently being reviewed	Procedure	Work Experience	Dec, 19	Very Overdue	Currently being reviewed	Procedure	Ill Health Retirement; Police Staff	Mar, 20	Very Overdue	Reviewed - LCP being completed – end of July	Procedure	Acting Up and Temporary Promotion (Police Staff)	Jun, 20	Very Overdue	Currently being reviewed	Policy	Pay, Pensions and Benefits	Jun, 20	Very Overdue	Reviewed - LCP being completed – end of July	Policy	Performance and Development	Jun, 20	Very Overdue	Reviewed - LCP being completed – end of July	Policy	Recruitment, Development and Planning	Jun, 20	Very Overdue	Reviewed - LCP being completed – end of July	Policy	Health and Wellbeing	Jun, 20	Very Overdue	Reviewed - LCP being completed – end of July	Procedure	Career Break; Police Officers	Jul, 20	Very Overdue	Currently being reviewed	Policy	Leave	Aug, 20	Very Overdue	Reviewed - LCP being completed – end of July
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				<p>Clearly, there is a great deal of development and review work progressing in relation to the processes and practices around force policies and procedures. The force recognises that this is an opportune moment to apply some of the designed development and improvement work to make the whole process more efficient and effective in supporting personnel across the force. Target Date: December 2021</p>																																																																						
“		Monitoring and governance	<u>4.2 Review of Thematic Data and Data Analysis</u>	<p>Significant Recommendation: The Force should ensure that data, outlined on each working group’s Plan on a Page, is being reviewed regularly and that any data analysis requested is being carried out effectively and shared with all relevant governance bodies.</p> <p>Progress Update July 2021: The 5 Wellbeing Boards are developing data analysis against their plans and to also incorporate the benefits assessment of initiatives and working practices alongside a more developed wellbeing assessment of the Force.</p>																																																																						

				<p>There are data packs for the Wellbeing Board for Mental Health and Physical Health Data. These are produced by HR until such time as the Power BI work is moved forwards which is looking to develop the overall workforce strategic wellbeing assessment.</p> <p>Target date: Full implementation by December 2021.</p>
“		Self-assessment against national standard	<u>4.3 Oscar Kilo's Blue Light Framework</u>	<p><u>Housekeeping Recommendation:</u> The Force should complete the Oscar Kilo OK Blue Light Framework BLF in full and engage with EMCHRS-OHU for input where necessary.</p> <p>Initial Management response: The OHU team are engaged and the completion of the Blue Light Framework will be achieved by July 2021 and thereafter be reviewed regularly.</p> <p>Progress Update July 2021: Blue Light Audit Action - completed in relation to the Occupational Health Unit OHU. Total Framework is 100% completed with 82% fully developed and the remainder considered in development.</p> <p>The framework is to be presented to the Wellbeing / Leadership Board for consideration as to whether this action can be closed as the Framework is a living review and the areas considered fully developed and in development will continuously change. Target Date: End July 2021 Senior HR Business Partner</p>
<p>WORKFORCE PLANNING</p> <p>SATISFACTORY ASSURANCE May 2021</p>		Resource Mapping	<u>4.1 Key roles mapping</u>	<p><u>Significant Recommendation:</u> The Force should complete a mapping exercise and produce a centralised log of all key staff roles across the organisation, including non-leadership roles which are critical or specialised.</p> <p>Alongside this exercise, individuals who are able to assume these positions in a short / medium / long term capacity should be highlighted.</p> <p>Initial Management response: Accepted. It is noted the observation is in relation to staff roles. The Force has a relatively flat hierarchy for staff roles typified by significant distance between roles at a senior level. The Force will create a framework for succession planning that will identify the scope of senior and other critical roles. The framework will identify for each role individuals capable to step in on a short term/emergency cover basis, and those who are anticipated to be ready in medium and longer timeframe. This will allow for targeted development and plans to manage where succession gaps are evident. - Alastair Kelly Pilot</p> <p>Target Date: June 2021</p> <p>Very recent finalised report - update to be provided at next JARAP</p>
“		Learning needs	<u>4.2 Learning needs analysis</u>	<p><u>Significant Recommendation:</u> The report focuses on the first LNA done in this way across the Force. It has always been intended that this would be an exercise that was done annually. A recent review by the LNA working Group has recommended there would be an annual audit with a specific focus; year 1 Leadership, year 2 Policing. This would allow time to conduct the LNA, create an annual plan, implement the plan to address needs and establish what had been achieved. It was also recommended that the audit was based on qualitative and quantitative data to ensure the information collected is valid and reliable. - Sarah Taylor Timeline:</p> <p>Planning: August 2021</p>

				<p>Implementation: September 2021 Analysis: November 2021 Focus Groups: Nov/Dec 2021 Use to support planning: Jan/Feb 2022 Evaluation: June 2023 New cycle: August 2023</p> <p>Very recent finalised report - update to be provided at next JARAP</p>
<p>PAYROLL PROVIDER</p> <p>SIGNIFICANT ASSURANCE June 2021</p>		Performance Monitoring	<p><u>4.3 Quarterly KPIs Accuracy</u></p>	<p>Overall the auditors state very positively in their report that “<i>We have identified no areas where there is scope for improvement in the control environment</i>”. However, the auditors did carryout a review of the previous recommendations from the 2020 audit. Two had been completed satisfactorily, however the following one had not been implemented:</p> <p><u>Original Recommendation in 2020:</u> The Force should liaise with Kier to ensure accurate KPI's are being reported. To assist with this for KPIs that have targets set as percentages, reporting should be made in line with this format. <u>Original Management Response in 2020:</u> This will ensure that there is clarity over whether the KPI has been met. This has now been amended and will be recorded correctly from the last quarterly review in Feb 2020. Complete 31.03.2020 Payroll Services Manager - Kier</p> <p>June 2021 Findings: Not Implemented Audit reviewed the quarterly KPI report for the period to February 2021, confirming that they are reported in the same format as the targets, such that a suitable assessment can be made.</p> <p>However, in respect of KPI 11, the targets in place are still ≤ 1% Green, ≤ 3% Amber, > 5% Red. Since the last audit, this has not been updated. To confirm, the target does not account for a RAG rating for performance calculated to be 4%.</p> <p>Very recent finalised report - update to be provided at next JARAP</p>
<p>VICTIMS CODE</p> <p>SATISFACTORY ASSURANCE June 2021</p>		Governance	<p><u>4.1 VCoP Delivery Group Terms of Reference</u></p>	<p><u>Housekeeping Recommendation:</u> The Force should review and update the VCOP Delivery Group terms of reference, addressing the following items:</p> <ul style="list-style-type: none"> - the list of attendees - the responsibilities of key attendees - the frequency of meetings, - the decision making capacity of the group / restrictions to decision making - the lines of reporting / the method to escalate urgent or critical matters, - how often elements will be reported on / included within the agendas for the meetings

			<p>Initial Management response: A VCOP Delivery Group Terms of Reference was written in 2020 and a membership list created by the then strategic lead. It is agreed that a refreshed TOR and membership list be created to reflect the group's development and to clarify responsibilities and for circulation with the Delivery Group agenda. The TORs should also be reflected in the annual VCOP Delivery Plan. The group reports into the Strategic Criminal Justice and Disclosure Board chaired by ACC Sandall while recording compliance is reported six-monthly into the Crime Data Integrity Group chaired by ACC Debenham. The operational lead reports quarterly to the Investigation Management Meeting chaired by D/Supt Baker.</p> <p>Target milestones: End of July 2021 - D/Supt Baker, Strategic Lead for VCOP</p> <p>Very recent finalised report - update to be provided at next JARAP</p>
“		Service Delivery	<p><u>4.2 Niche Victim Information Pack</u></p> <p>Significant Recommendation: The Force should consider how to address the gap in data collection. This can include the creation of a free text field to say why the victim was not provided with the victim information pack. Alternatively, a further question could be included on the Niche form to ask whether the victim has been offered this information.</p> <p>Initial Management response: The Niche question set is part of the national Niche build and is consistent for all 27 forces which use Niche. The operational and strategic leads are working with Minerva (the police working group for Niche development) to revise the current module, including the specified issue, to reflect the revised Code of Practice. However we are informed that this is unlikely to be delivered by Niche within 12 months due to competing priorities. An interim measure will be to circulate guidance to officers to complete the remarks section to clarify the booklet has been offered. In addition, automated provision of the link is in progress with some crime type exceptions.</p> <p>Target milestones:</p> <ul style="list-style-type: none"> • Revised Niche VCOP Module – Strategic lead Det Supt Baker and Minerva Group August 31st 2022 • Guidance on completion of remarks – operational lead D/Insp Dimmock July 31st 2021 • Automated sending of link to online booklet – Det Supt Baker and Det Insp Dimmock August 31st 2021 <p>Very recent finalised report - update to be provided at next JARAP</p>
“			<p><u>4.3 Victim Closing Table</u></p> <p>Housekeeping Recommendation: The Force should decide as to whether the VCOP closing table is required to be completed for all victim cases.</p>

			<p>Initial Management response: Use of the VCOP Finalisation OEL will be mandated in the Investigation Standards Policy and Procedure filing checklist.</p> <p><u>Target milestones:</u></p> <ul style="list-style-type: none"> Guidance to be circulated and use to be monitored through auditing regime – D/Supt Baker / D/Insp Dimmock – 30th September 2021 <p>Very recent finalised report - update to be provided at next JARAP</p>
			END

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

Audit	Assessment level	Recommendation	Progress monitored through
Partnerships	Housekeeping	<p>4.1 Partnership Information</p> <p>1. The OPCC should update its Partnership Map to ensure it has clearly documented all the Partnerships it is engaged with.</p> <p>2. Once updates have been completed the OPCC should consider updating its website to provide clarity.</p> <p>3. The out of date partnerships briefing document should be removed from the website.</p>	<p>SORB</p> <p>Closed at June SORB</p>
Partnerships	Housekeeping	<p>4.3 Partnership Resources</p> <p>1. The Force & OPCC should consider mapping out who attends partnership meetings to allow a quick reference guide and also assist in monitoring the use of resources.</p> <p>2. The OPCC should also consider developing a central database of all the Partnership activity that it participates in.</p>	<p>SORB</p> <p>Closed at June SORB</p>
Core Financials	Housekeeping	<p>4.1 Stock Condition Survey Schedule</p> <p><u>Recommendation:</u> The Force should review the current banking process in light of reduced number of staff present at the office to ensure there are no unnecessary delays and the system remains up to date and accurate.</p> <p>Consideration should be made towards reducing the reliance on paper and making this an electronic process.</p>	<p>SORB</p> <p>Closed at June SORB</p>