

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

PAPER MARKED

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Subject: INTERNAL AUDIT RECOMMENDATIONS AND TRACKING
Date: 20th JANUARY 2022
Author: INSPECTORATE – ROY MOLLETT

Brief Background

1. Mazars Auditors undertake a commissioned annual programme of internal audits; for 2020-21 the following areas are subject of external scrutiny:

Core Financial Systems

Code of Governance

Payroll

Strategic & Operational

Fleet Management

General Data Protection

Leadership & Management Development

Recruitment

Workforce Wellbeing and Absence Management

Procurement

Medium Term Financial Plan

Vetting

Purpose of Report

2. The following report provides the Panel 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	-	-	1	-	2
Significant	-	14	-	2	-	14
Housekeeping	-	-	6	2	-	6
Total	2	14	6	5	-	22

5. **Audit Recommendations Proposed Closed:** The following five audit report recommendations are proposed closed for this reporting period.
- They range from Housekeeping to Fundamental in terms of priority score assigned. The table also depicts each report title, the section/recommendation reference and the page reference within this report.

Audit Title	Priority Score	Section/Recommendation Reference	Proposed Closed	Page
WORKFORCE WELLBEING & ABSENCE MANAGEMENT	Significant	4.1 Review of Policies and Procedures	YES	8
IT SECURITY	Significant	4.2 IT Policies	YES	16
RECRUITMENT	Fundamental	4.1 Interviewing a Re-joining Employee	YES	16-17
RISK MANAGEMENT	Housekeeping	4.1 Risk Updates	YES	18
"	Housekeeping	4.2 Departmental Risk Registers	YES	19

6. The number of recommendations proposed closed for this reporting period is significant given the challenging environment the Covid-19 pandemic has presented over the last 18+ months. Any delay in the progressive development action required has been minimised or mitigated as much as possible.

Recommendation

7. For the Panel to note the attached summary action updates on progress from business owners against each respective audit recommendation thus far at **Appendix A** below.
8. For the Panel to consider and where sufficiently evidenced agree those recommendations proposed closed.

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

Contacts

DCC Rob Nixon

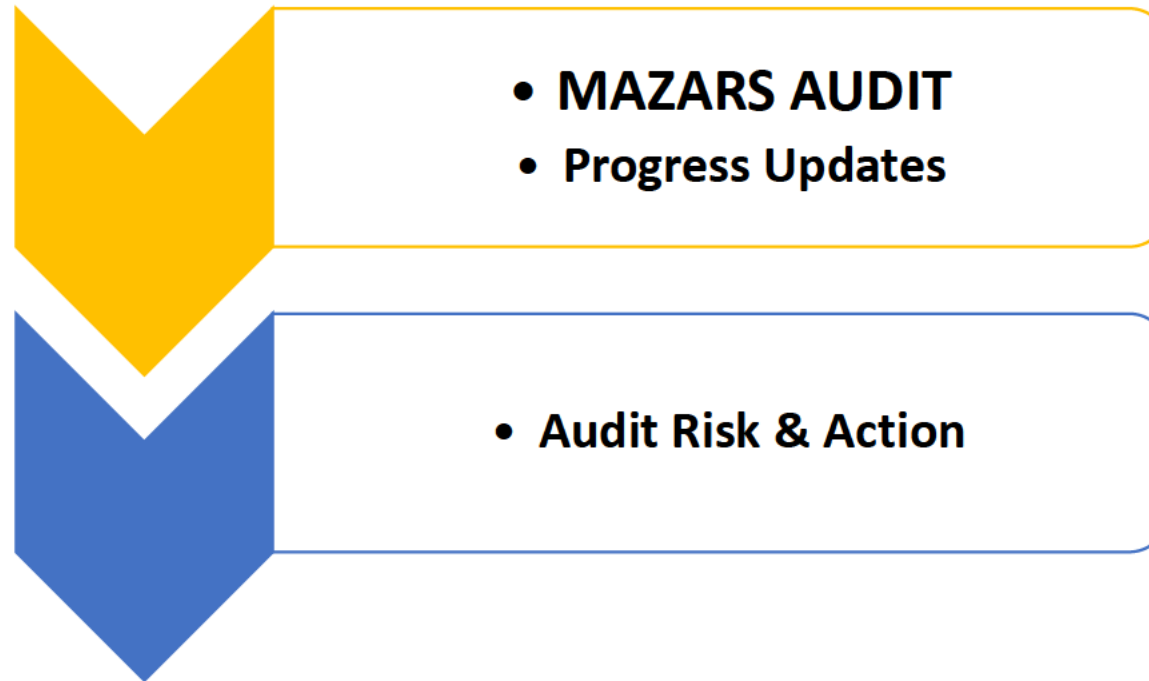
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RISK LEVEL	FUNDAMENTAL		SIGNIFICANT		LOW Housekeeping	
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Audit Title	Risk	Threat to Delivering	Recommendation Reference	Business Owner Update / Action Plan - May 2020
FLEET MANAGEMENT SATISFACTORY ASSURANCE September 2018		Improved Management Decision Making	4.2 Sample Check of Service Details	<p>Historical Progress September 2018 – December 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>Progress Update:</p> <p>Remaining Development Required and Project Milestones:</p> <p>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. <p>There have been some challenges in loading the test environment of release 9 onto PC's. now active on TU PC's</p> <p>User Acceptance Testing UAT to be carried out from 20 Sep to 11 October. Enhancements/changes an additional 3 weeks</p> <p>Target Release of Tranman release 9: March 2022</p> <p>Identified risks and challenges - IT resource and TU resource to support the changes and User Acceptance Training UAT. Test environment resolved and progressing.</p> <p>SCHEDULER</p> <ul style="list-style-type: none"> 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. <p>Tasks to be completed:</p> <ul style="list-style-type: none"> Scheduler data load to Tranman by TU User Acceptance testing UAT Test system run

- Implementation
- Preliminary work completed to create vehicle service schedules

Target Go live date: March 2022

Identified risks and challenges

- Identifying vehicles with lost tracking, and conversion to Astra box system. Service scheduler operation within Tranman is dependent on conversion to the new Astra box tracking system and new iR3. There have been a number of challenges with the trackers and iR3 which has delayed the roll out. Resolution of some of these are still ongoing.
- Conversion of HUF boxes to Astra box – Costs for fitting of the tracking system have increased from £30k to £50k. Suitable labour is becoming more difficult to secure.
- Resolution of iR3 issues – working with LBA/IT/C/Insp Project Support



ELECTRONIC TABLETS

- Follows the timing of the scheduler
- Additional Admin support needed – to come from TU office admin staff

Project milestones:

Activity	Involved	Start Date	Target Date
Schedules to be loaded to Tranman	NC	Feb 2022	Support from Civica has to be requested and scheduled
Test environment to be created by Civica	Civica	Jan 2022	Jan 2022
User Acceptance testing UAT of schedules	TU/Civica	Jan – Mar 22	Test schedules to be created. Scheduler cannot be launched until Astra conversion is complete
Astra box fit	TU	Oct 21 – Feb 22	Dependant on constant support being secured – 2 full time fitters Work ongoing currently to fit Astra Boxes.
Scheduler launch	TU/Civica	Mar 2022	
ELECTRONIC TABLETS			
Electronic tablets will follow the same timing path as above			

Risk – Inability to identify cars service schedule points - missing service points.

			<p>Mitigation in place:</p> <ol style="list-style-type: none"> 1. Cars with Astra box can be mileage tracked on new iR3 and called in for service. 2. Service stickers are applied to the cars interior after each service identifying the next mileage point the car is due in – these MUST be checked as part of daily vehicle check and adhered to. 3. Mileage data from fuel cards utilised to identify service mileage points. Correct mileage MUST be supplied to the cashier for accurate mileage data. 4. HUF Boxes on old iR3 still reporting will appear on the service alert system on old iR3. <p>Using the above four data sources, the TU are able to identify the service points for fleet vehicles. Messages have been published on the force intranet and through management teams instructing personnel to follow the above instructions to enable correct vehicle servicing to take place.</p>
“		Improved Management Decision Making	<p><u>4.4 Performance Indicators</u></p> <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 ‘Go Live’ date March 2022 – Nick Carvell Head of Fleet</p>
<p>RECRUITMENT 2019</p> <p>SATISFACTORY ASSURANCE September 2019</p>		Improved Management Decision Making	<p><u>4.3 Reporting of all agreed KPIs</u></p> <p>Historical Progress September 2019 – December 2021: The challenges around the working environment surrounding the COVID-19 pandemic has meant that many of the Human Resources Service Centre HRSC projects were delayed or put on hold in order for the department to concentrate on other priorities related to the impact of 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="display: flex; justify-content: space-around; align-items: center;"> <div style="text-align: center;">  <p>2 Report for SHRSC Management Board N</p> </div> <div style="text-align: center;">  <p>Minutes of Leics Dys Support Services Mee</p> </div> </div> <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 to discuss the matter further.</p> <p><u>Remaining Development Required and Project Milestones:</u></p>

			<p>A broad review is underway of HR Service Centre processes at the request of the Management Board. The head of department is 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 need to come into the HRSC.</p> <p>In addition, the work around reporting is continuing and head of HRSC has been tasked to prioritise reporting over the coming months.</p> <p>The head of HRSC has confirmed that the department is continuing to provide recruitment services to both Derbyshire and Leicestershire forces in line with their current recruitment plans.</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><u>Progress Update:</u> Currently Key Performance Indicators KPI's are reported twice annually via the HRSC Managed Board. The recommendation from the audit report was for the HRSC to provide agreed KPI's on a regular basis and the Human Resources Service Centre HRSC has been working to find a solution, however efforts have been hampered over the last 18 months by the additional work the team has been required to undertake during the pandemic. The additional work, coupled with losing two key members of the team has resulted in some pieces of work being delayed.</p> <p>The Head of the Human Resources Service Centre HRSC completely agrees with the audit report recommendation to provide regular KPI data, however the amount of time it currently takes to compile the data would mean a fulltime role is required for this purpose and that does not under current circumstances appear to be value for money.</p> <p>The underlying reason for this complexity in extracting data is the way in which the system stores the data and the format of the extracted data, as it requires considerable manipulation to reflect the KPI's in the Service Level Agreement SLA. This is compounded by the fact that in some cases they are not able to extract the basic data required.</p> <p>The Head of the Human Resources Service Centre HRSC is liaising with the system supplier again to press for a resolution which will allow the department to report on the KPI's without having to spend an inordinate amount of time and effort trying to understand the data. Disappointingly, the head of department has not had much success in this regard previously; though efforts to address continue.</p> <p>In terms of the process review, this work is progressing, albeit it slower than planned. Again, this is due to some resourcing issues and the current pandemic situation. However, the head of department has recently reported to the force that every effort is being made to have this piece of work completed by the following revised target date – 31st January 2022.</p>
			<p><u>Historical Progress September 2019 – December 2021:</u> The following table depicts progress with the outstanding Force procedures – of the original 17 procedures for review/refresh it is very</p>

WORKFORCE WELLBEING & ABSENCE MANAGEMENT SATISFACTORY ASSURANCE September 2019		Improved understanding and Compliance	<u>4.1 Review of Policies and Procedures</u>	<p>encouraging that 16 or 94% 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 due to the COVID-19 pandemic and Legislative Compliance Pack LCP requirements to enable completion – please see specific update in table below.</p> <p>Progress Update: The force recognises that it is important to ensure policies and procedures are kept up to date. In doing this we demonstrate support for 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 remaining procedure:</p> <p>Relates to Wellbeing audit below from February 2021 where a number of policies/procedures were found to be overdue for review.</p> <p>Going forward Force policies and procedures are being actively managed through the central Corporate Services function and reported as a standing agenda item for the Corporate Risk Board chaired by the C/Supt for Corporate Services.</p> <table><tr><th>Type</th><th>Title of Policy, Procedure, Form</th><th>Date of next review</th><th>Update</th></tr><tr><td>Procedure</td><td>HR Police Staff Ill Health Retirement</td><td>Mar 20</td><td>Currently being reviewed by Business Solutions and ongoing in the process - end March 2022.</td></tr></table> <p>PROPOSED CLOSED – This is now a duplicate - as the above procedure is being reviewed and progressed under the Wellbeing Audit recommendation for February 2021 - see pages 10 and 11 below.</p>	Type	Title of Policy, Procedure, Form	Date of next review	Update	Procedure	HR Police Staff Ill Health Retirement	Mar 20	Currently being reviewed by Business Solutions and ongoing in the process - end March 2022.
Type	Title of Policy, Procedure, Form	Date of next review	Update									
Procedure	HR Police Staff Ill Health Retirement	Mar 20	Currently being reviewed by Business Solutions and ongoing in the process - end March 2022.									
VETTING SATISFACTORY ASSURANCE February 2021		Personnel support thorough guidance	<u>4.1 Internal Vetting guidance</u>	<p>Housekeeping Recommendation: 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 April/May 2022 - Mandy Bogle-Reilly (Security Vetting Manager) supported by Angela Cooper (Trainer and Snr Vetting Officer)</p> <p>Progress Update: The Project to manage migration to the new vetting administration system 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.</p> <p>Back Record Conversion and User Acceptance Testing UAT is due to commence in January 2022 and this will be followed by system training – Target May 2021.</p> <p>Once training has been completed and Corevet is successfully on-boarded, the in-house training pack will be produced and published widely across the force.</p>								

“		Performance monitoring	<p><u>4.3 Performance reporting</u></p>	<p><u>Significant Recommendation:</u> 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: May 2022 - Mandy Bogle-Reilly (Security Vetting Manager)</p> <p><u>Progress Update:</u> 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 Corevet system MI reports are available.</p> <p>Back Record Conversion BRC and User Acceptance Testing UAT is due to commence in January 2022 and this will be followed by system training – Target May 2021.</p> <p>Once testing is complete and Corevet is successfully on-boarded, engagement can commence with the PowerBi team to create a new vetting dashboard to enable reporting of the required management information.</p>
<p>WELLBEING</p> <p>SATISFACTORY ASSURANCE</p> <p>February 2021</p>		Improved understanding and Compliance	<p><u>4.1 Review of Policies and Procedures</u></p>	<p><u>Housekeeping Recommendation:</u> 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.</p> <p>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.</p>

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

Background context provided in 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.

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 personnel 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.

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	Update	Type
Procedure	Redeployment as a Reasonable Adjustment; Police Staff	Nov, 20	Very Overdue	Currently being reviewed
Procedure	Sick Pay including Extension Framework; Police Officers	Nov, 20	Very Overdue	Published 1/11/21
Procedure	Sick Pay including Extension Framework; Police Officers	Nov, 20	Very Overdue	Published 1/11/21
Procedure	Honoraria; Police Staff	Sep, 20	Very Overdue	Currently being reviewed
Procedure	Unsatisfactory Attendance; Police Officers	Sep, 20	Very Overdue	Published 23/12/21
Procedure	Unsatisfactory Performance; Police Officers	Sep, 20	Very Overdue	Published 23/12/21
Procedure	Work Experience	Dec, 19	Very Overdue	Currently being reviewed
Procedure	Ill Health Retirement; Police Staff	Mar, 20	Very Overdue	Currently being reviewed


				Procedure	Acting Up and Temporary Promotion (Police Staff)	Jun, 20	Very Overdue	Currently being reviewed
				Policy	Pay, Pensions and Benefits	Jun, 20	Very Overdue	Published 08/07/21
				Policy	Performance and Development	Jun, 20	Very Overdue	Published 08/07/21
				Policy	Recruitment, Development and Planning	Jun, 20	Very Overdue	Published 08/07/21
				Policy	Health and Wellbeing	Jun, 20	Very Overdue	Published 08/07/21
				Procedure	Career Break; Police Officers	Jul, 20	Very Overdue	Currently being reviewed
				Policy	Leave	Aug, 20	Very Overdue	Published 08/07/21
“		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: 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 has moved forwards which is looking to develop the overall workforce strategic wellbeing assessment.</p> <p>The Power BI team are developing the GAIN model so that a workforce assessment will be undertaken to measure overall workforce wellbeing.</p>				

<p>WORKFORCE PLANNING</p> <p>SATISFACTORY ASSURANCE May 2021</p>		Resource Mapping	<p><u>4.1 Key roles mapping</u></p>	<p>Target date: March 2022</p> <p>Significant Recommendation: 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.</p> <p>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 – ACO HR Alastair Kelly</p> <p>Progress Update: A Working Group has been established to scope, develop and implement a Succession Planning Framework focused specifically on senior and critical police staff roles within the Force. This stage has been completed and piloted in areas of the business including within Specialist Support Services and the force Change Team.</p> <p>The force certainly recognises the business benefits of the Succession Planning Framework for police staff in that it will:</p> <ol style="list-style-type: none"> 1. Enable management to identify areas of staffing risk and how the force might best mitigate that risk; 2. Provide a mechanism for line managers to identify which police staff roles within their area of business would be considered as 'key', critical posts; 3. identify possible successors and when these successors might be ready to progress into roles; plus, any development requirements required to achieve this; 4. Where successors are not apparent in the short and/or longer term, it also enables managers to start considering other means of planning e.g. through more proactive recruitment, development of regional networks that might help mitigate any risk through key personnel leaving the organisation; 5. Identify individuals that may be able to develop into a particular role in the short, medium and long term; 6. Identify where other outside resources may be required in the event of unforeseen loss of key personnel if a role cannot reasonably be undertaken by those in the existing staffing model. <p>Initial presentation that outlines the Succession Planning Framework:</p>
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				 <p>Presentation Succession Planning F</p> <p>The above framework has been presented to and is supported by the Assistant Chief Officer ACO for Human Resources HR.</p> <p>The Succession Planning Framework pilot has enabled the Specialist Support Directorate SSD and Change Team SMTs to identify critical roles and plan to avoid future anticipated staffing gaps. This has also empowered those departments to configure Business Continuity Plans BCP in terms of:</p> <ul style="list-style-type: none"> ➤ Predicting short, medium and longer term abstraction; ➤ Building stronger regional networks for mutual aid and support; ➤ improving long term planning through a more proactive approach to staff recruitment thereby reducing the gap between staff leaving and a new starter joining. <p>The force is committed in going forward in introducing the framework across all police staff departments/roles and embed it into an annual programme that considers and reviews key roles in order to identify risk and inform appropriate plans for development, recruitment and business continuity.</p> <p>The force is currently scoping the programme management required to roll out this work efficiently and effectively across the force and integrating it into business as usual.</p>
VICTIMS CODE SATISFACTORY ASSURANCE June 2021		Service Delivery	<u>4.2 Niche Victim Information Pack</u>	<p><u>Significant Recommendation:</u> 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.</p> <p>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.</p> <p>However, we are informed that this is unlikely to be delivered by Niche within 12 months due to competing priorities.</p> <p>An interim measure will be to circulate guidance to officers to complete the remarks section to clarify the booklet has been offered.</p> <p>In addition, automated provision of the link is in progress with some crime type exceptions.</p> <p><u>Target milestones:</u></p> <ol style="list-style-type: none"> 1. Revised Niche VCOP Module – Strategic lead Det Supt Baker and Minerva Group August 31st 2022 2. Guidance on completion of remarks – operational lead D/Insp Dimmock - December 2021

			<p>3. Automated sending of link to online booklet – Det Supt Baker and Det Insp Dimmock - revised to April 2022</p> <p><u>Progress Update:</u></p> <ol style="list-style-type: none"> 1. Changes to VCOP module on NICHE will not occur for 12 – 18 months due to time restraints in changing aspects within the Niche system and the time necessary for the system supplier to make the alterations required – Estimated 4th quarter 2022; 2. Unable to create a free text box as part of local NICHE changes. However, changes to the VCOP needs assessment template have been agreed with Minerva and subsequent guidance will be provided for personnel. As above, this free box is part of the national change. 3. Automated link to the victims of crime booklet was nearing completion, however due to IT developer changes this has been delayed This was recently been discussed at the VCoP Delivery Group were IT and the Lead Superintendent agreed a revised target date - April 2022.

“		“	4.2 IT Policies	<p><u>Significant recommendation:</u> All policies should be reviewed to ensure they are up to date and in line with the defined review timetable.</p> <p><u>Initial Management Response:</u> Accepted – A review of all policies will be conducted to ensure that they are up to date and remain appropriate.</p> <p><u>Progress Update:</u> Information Security Procedure and the Information Security Incident Procedure which were both due for review in February 2021 prior to the Mazars audit have now been reviewed and published on the force intranet library as of the 12th of October 2021 – verified by the Force Inspectorate. Copies can be made available to the panel where required as these deal with sensitive force information security matters.</p> <p>All IT Policies and Procedures are in the process of being reviewed and the administration transferred over to the centre for ongoing monitoring and active tracking and management purposes.</p> <p>A regular status report relating to all force policies and procedures, including the IT policies and procedures is a standing agenda item for the Corporate Risk Board who oversee and drive progress with reviewing and maintaining updated force policies and procedures.</p>

				PROPOSED CLOSED
RECRUITMENT SATISFACTORY ASSURANCE September 2021		Force Guidance on Recruiting	<u>4.1 Interviewing a Re-joining Employee</u>	<p>Fundamental recommendation: The Force should amend its recruitment hiring guide to stipulate that as a minimum expectation any re-joiners should still have an interview/discussion to explore motivation and confirm competence.</p> <p>Initial Management Response: Supported. It is entirely correct that the recruitment process was not followed in this instance. However, the process must allow variation in exceptional circumstances subject to objective rationale and appropriate level of impartial decision making. On this occasion both occurred as mentioned in the report. A business case is prepared and the SHRBP for HR Operations agreed the variation. It is agreed that on reflection an interview/recorded discussion should have taken place to confirm motivation and ongoing competence. Maz Ahmad by end of September 2021.</p> <p>Note: At JARAP on the 26th October 2021 it was agreed that the force guidance would be reviewed and updated accordingly – Action update to be provided at the next JARAP.</p> <p>Progress Update: The Recruitment Line Managers Guide is part of a wider review of the recruitment process and it has been made clear in the guidance that all applicants who meet the essential criteria and are shortlisted must go through a minimum structured interview for selection for the role – please see embedded revised guide, bold text middle of page 4.</p> <div style="text-align: center;">  Recruitment Line Manager Guide.pdf </div>
				PROPOSED CLOSED
“		Performance against Service Level Agreements	<u>4.2 SLA Reporting</u>	<p>Significant recommendation: The Force should establish a routine reporting mechanism against recruitment SLAs.</p> <p>Initial Management Response: Supported. 1.The SLA should accurately reflect the KPIs that are in fact being monitored to assess performance. 2. Aspirational KPIs that are not currently monitored for whatever reason should either not appear on the SLA, or be clearly marked as such. KPIs are provided to the twice yearly HRSC Board meeting. However, this is recognized as too infrequent to allow early resolution and is not the intention. Monitoring of KPIs to occur at regular client liaison meetings on a monthly basis. It is recognized that some KPIs may be updated more frequently than others. Maz Ahmad, Kat Eaton to effect from September 2021</p> <p>Progress Update: This is currently work in progress – A new team member was appointed in December 2021 and he is currently undergoing induction and training.</p>

				<p>A first priority for the new team member is to develop knowledge and skills in relation to Power BI and how to provide management reports with a view to creating a proposed draft report in February 2022.</p> <p>It is anticipated that the draft proposed MI report format will be agreed and finalised in March 2022 via client liaison.</p> <p>The reports will provide relevant and meaningful data on a quarterly basis from April 2022 onwards.</p>
<p>MEDIUM TERM FINANCIAL PLAN</p> <p>SIGNIFICANT ASSURANCE September 2021</p>		Efficiency	4.1 Savings Plans	<p><u>Housekeeping recommendation:</u> A longer-term efficiency plan should be developed at the earliest opportunity to address future forecasted deficits.</p> <p>Agreed. A draft efficiency strategy was completed in June 2021. This will be discussed and agreed with the Chief Officer Team and PCC. September 2021 CFO</p> <p><u>Progress Update:</u> 15/11/21 - The Force now has a final version of the MTFP that was discussed at the recent COT away day. We're holding back on doing anything more with it until the detailed CSR is announced in mid-December. So suggest we leave as pending for now – Thanks Paul Dawkins.</p> <p><u>Progress Update:</u> The Medium Term Financial Plan MTFP will be considered by the Police and Crime Commissioner PCC at the Corporate Governance Board CGB on 17th January 2022 as part of the 2022/23 budget approval process - ACO Finance Paul Dawkins</p>
<p>RISK MANAGEMENT</p> <p>SIGNIFICANT ASSURANCE October 2021</p>		Reviews and Controls	4.1 Risk Updates	<p><u>Housekeeping recommendations:</u></p> <ol style="list-style-type: none"> Details of the control description should be completed in all instances. <u>Initial Management Response:</u> This is not possible in all instances, e.g. if the risk title is obvious and needs no further description. However, this requirement (where possible) has been added to the new risk management procedure. Completed as per the new risk management policy and procedure, which were ratified at SORB in September 2021. Controls should be updated in line with the review schedule for the associated risk. <u>Initial Management Response:</u> Completed This has been resolved as the new procedure requires controls to be reviewed as part of the risk review. A new role (Assistant H&S Advisor (risk)) has been created to monitor this. The Force should ensure that reviews are being carried out in line with the Risk Management Policy. <u>Initial Management Response:</u> Completed It is the Risk Management Procedure, rather than policy that details the frequency of risk review. The procedure has already been updated and SORB 2021 will be presented with the new procedure (and policy).

				<div>  Risk Management Policy 2021.pdf  Risk Management Procedure 2021.pdf </div> <p>The procedure now requests that all strategic risks are reviewed at least quarterly, and local (departmental) risks are reviewed at least annually. This is evidenced by the new policy and procedure for risk management, meaning that the force is now compliant and guidance now reflects practice. Completed, as above.</p> <p>PROPOSED CLOSED</p>
“		Cycle of Review	<u>4.2 Departmental Risk Registers</u>	<p><u>Housekeeping recommendation:</u> The Force should review the current approach adopted for each departmental risk register to ensure an efficient and effective cycle of review is in place.</p> <p><u>Progress Update:</u> The force Risk Procedure has been updated to include the role of the new Assistant H&S Advisor for Risk, who is now in post and is tasked with assisting managers in ensuring an effective cycle of review is in place.</p> <p>In addition, a new Corporate Risk SubGroup has been created which has already developed a risk maturity matrix and identified a process of actions that will ensure all departmental risks are raised, stored, managed and reviewed in a consistent way. A series of Bow Tie events are planned that will ensure all risks have been identified at the departmental level, and the new role will monitor the management of identified risks and report any gaps in risk management.</p> <p>The recommendation to review the current approach as the new approach has now commenced through the new Corporate Risk Sub Group. This will ensure an efficient cycle of review is in place with a consistent approach to departmental risks. The outcome is that all departmental risks have a consistent management approach with an efficient system of review, evidenced through the KETO risk management system and active monitoring - Recommend completed</p> <p>PROPOSED CLOSED</p>
FLEET MANAGEMENT SATISFACTORY ASSURANCE November 2021		Performance against Business Plan	<u>4.1 Performance Information</u>	<p><u>Significant recommendation:</u> Performance Indicators for the Fleet Management department should be developed. These should be used to assess performance against delivery of the Transport Unit Business Plan 2021/2022. Performance should be reported to the appropriate Force and OPCC forums on a regular basis.</p> <p><u>Initial Management Response:</u> The Transport Unit will commit to creating KPI's that are meaningful, provide valuable management information and that can add value. Workshop KPI's are</p>

				<p>an important part of this. Some of the proposed KPI's will be dependent on a fully working and effective iR3 system, which has yet to be resolved, along with any process refinements. Any proposed KPI's will be taken through and ratified by TUB (Transport Utilisation Board).</p> <p><u>Head of Transport:</u></p> <ul style="list-style-type: none"> ➤ Agreed KPI's - target date March 2022 ➤ Implementation of KPI's - target date June 2022 <p>Progress Update: Recently published report 10/12/21 therefore update to be provided for the next meeting.</p>
“		Monitoring of Servicing	<u>4.2 Sample check of service detail</u>	<p>Significant recommendation: It should be ensured that:</p> <ul style="list-style-type: none"> ➤ Where a vehicle has a missing or non-functional black box, this is resolved promptly. ➤ A process is put in place to allow for the mileage of covert vehicles to be made available promptly upon request. ➤ A vehicle servicing policy or procedure document should be created, this should include the mileage guidelines for servicing, information around exceptions such as the allowed leeway in mileage, and how covert vehicles are dealt with. <p>Initial Management Response: The rollout of the new Astra box tracking system is underway with an expected completion date of around early March 2022. Leicestershire IT, LBA and Civica are working to resolve the issues around iR3 and at this point should have a fully operational system in place. A fully functioning tracking system along with the replication of the vehicle service schedule within iR3 will overcome potential issues with service intervals being missed. Vehicles that do not have tracking systems fitted, covert/surveillance vehicles, have tended to adhere to the appropriate service regime but it is recognised that a clearer defined process for reporting mileage will help avoid missing any service intervals. An appropriate servicing guideline document will be created for submission and ratification by TUB.</p> <p><u>Head of Transport – Nick Carvell:</u></p> <ul style="list-style-type: none"> ➤ Replication of iR3 Vehicle Service Schedule – target date March 2022 (in line with Astra box rollout) ➤ Mileage reporting process established for non-tracked cars – target date March 2022 ➤ Servicing guideline document submitted to TUB – target date April 2022 <p>Progress Update: Recently published report 10/12/21 therefore update to be provided for the next meeting.</p>
“		Compliance with procurement procedures	<u>4.3 Procurement Documentation</u>	<p>Significant recommendation: The processes and procedures to be followed when undertaking procurement activities should be formally documented. This document should be reviewed on an annual basis and updated when necessary, this should be recorded in a document attributes section detailing the person responsible for updating it, approval, and the date of the next review</p>

				<p>cycle. The Force should ensure that all supporting documentation in relation to procurement activities is retained and readily accessible in order to demonstrate compliance with procurement procedures.</p> <p>Initial Management Response: The revised process for vehicle procurement was introduced to provide a clearer audit trail. Every single request now includes the request form, formal quotation and the registration number of the vehicle being replaced – linking it to the agreed and funded replacement plan. Any missing documentation may have been prior to its introduction. All vehicles are purchased through either the BLC or CCS framework where discounts have already been agreed at a National level. We therefore do not go through a tender process which negates the risk of not achieving VFM.</p> <p>A review of the purchase process is to be undertaken with the procurement department. This will then be documented and will include the Force's vehicle replacement criteria.</p> <p>Head of Transport Nick Carvell: target date March 2022</p> <p>Progress Update: Recently published report 10/12/21 therefore update to be provided for the next meeting.</p>
"		Planning, Strategy and reporting eco-efficiency	<u>4.4 Alignment of Strategies and Delivery Plans</u>	<p>Significant recommendation: The Force should ensure annual business plans are aligned to the overall Transport Strategy. The Force should review how it will report on delivery of the 'eco-efficient transport solutions'.</p> <p>Initial Management Response: The annual Transport Unit business plan is largely aligned to the Transport Strategy. The strategy of an Eco-efficient transport strategy has to be balanced against the needs of the police force and its operational requirements, appropriate vehicles in the marketplace, infrastructure and budget considerations.</p> <p>As part of the vehicle procurement strategy adopted thorough discussions with force fleet leads and Transport User Board, the decision was made to move away from diesel vehicles for general response vehicles. The need for inclusion of this target in the Transport Unit business plan is noted and will form part of future plans.</p> <p>Reporting around the environmental impact of the fleet was withdrawn as accurate data on vehicle use was not available. This will be reinstated when the tracking system roll out has been completed and accurate data can be referenced. Reducing the carbon emissions associated with the force's fleet is included within the draft environment and sustainability enabling strategy.</p> <p>Head of Transport Nick Carvell: target date March 2022</p> <p>Progress Update: Recently published report 10/12/21 therefore update to be provided for the next meeting.</p>

“		Tranman Standardised Roles	<u>4.5 Tranman User Access</u>	<p><u>Housekeeping recommendation:</u> A review of user roles within Tranman should take place, and a new standardised set of user roles should be implemented.</p> <p><u>Initial Management Response:</u> As part of the new TU Transport office managers role, reviewing systems and processes has been assigned as an objective. A review of Tranman was already underway at the time of the audit. This should be implemented within the next few months when Civica, the supplier, can accommodate the change request.</p> <p><u>Head of Transport Nick Carvell:</u> target date March 2022</p> <p><u>Progress Update:</u> Recently published report 10/12/21 therefore update to be provided for the next meeting.</p>
				END