

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

PAPER MARKED

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Subject **INTERNAL – MAZARS AUDIT RECOMMENDATIONS AND TRACKING**

Date **JULY 2023**

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Brief Background

1. Mazars Auditors undertake an OPCC/Force commissioned annual programme of internal audits; for 2022-23 the following areas are subject of external scrutiny:

Core Financial Systems	Counter Fraud
Governance	Recruitment
Payroll	Workforce Wellbeing and Absence Management
Strategic & Operational	Health and Safety
Fleet Management	Environmental Strategy Review
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. Mazars assess and grade the recommendations in terms of **Fundamental**, **Significant** and **Housekeeping** risk and report specifically in terms of Risk Management; Value or Money and Sector Comparison.
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			Total running	Completed and proposed closed	
	RED Fundamental	AMBER Significant	GREEN Housekeeping		Proposed Closed	Not Adopted proposed closed
Fundamental	5	-	-	5	2	-
Significant	-	25	-	25	6	-
Housekeeping	-	-	16	16	5	-
Total	5	25	16	46	13	-

5. **Audit Recommendations Proposed Closed:** The following thirteen audit report recommendations are proposed closed.
They are **two Fundamental**, **six Significant** and **five Housekeeping** recommendations in terms of the priority/risk 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
SEIZED PROPERTY	Significant	4.2 Audit Regime	✓	18
IT RISK MANAGEMENT	Significant	4.1 Ongoing Management Review	✓	21
PAYROLL	Housekeeping	4.1 Expense Claims	✓	26-27
“	Housekeeping	4.2 Overtime Claims	✓	27
“	Significant	4.3 Comparison of employee bank details and supplier details	✓	27-28
OPCC RECRUITMENT	Significant	4.3 Essential Criteria	✓	31
FIREARMS LICENSING	Fundamental	4.1 Risk Assessments	✓	29-31
“	Significant	4.2 Background Checks	✓	31-32
“	Housekeeping	4.3 Performance Information	✓	32-33
CORE FINANCIAL	Housekeeping	4.2 Feeder System Reconciliations	✓	33
“	Housekeeping	4.3 Clear Double Signature Regarding Bank Deposit Transactions	✓	34
COMMISSIONING	Significant	4.1 Evidence of Governance Meetings	✓	37
PARTNERSHIPS	Fundamental	4.2 Governance of Partnerships	✓	35

Recommendation

- For the board to note the attached summary action updates on progress from business owners against each respective audit recommendation thus far at **Appendix A** below and other associated appendices listed below.
- For the board 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 Embedded Appendices

- Appendix A – Internal Audit Tracker** - This provides the business owner updates and is part of this document
- Appendix B – Appendix B Audit Example Sample sheet - Copy O-01-D**
- Appendix C – ORB Agenda**
- Appendix D – Network Stability Paper**
- Appendix E – Worksheet**
- Appendix F – Missing Receipts Form**
- Appendix G – Firearms Licensing Risk Management Procedure**
- Appendix H – FEO Enquiry Form**

Appendix I – National Firearms Licensing Performance

Appendix J – Recruitment Line Manager Guide

Background Papers

N/A

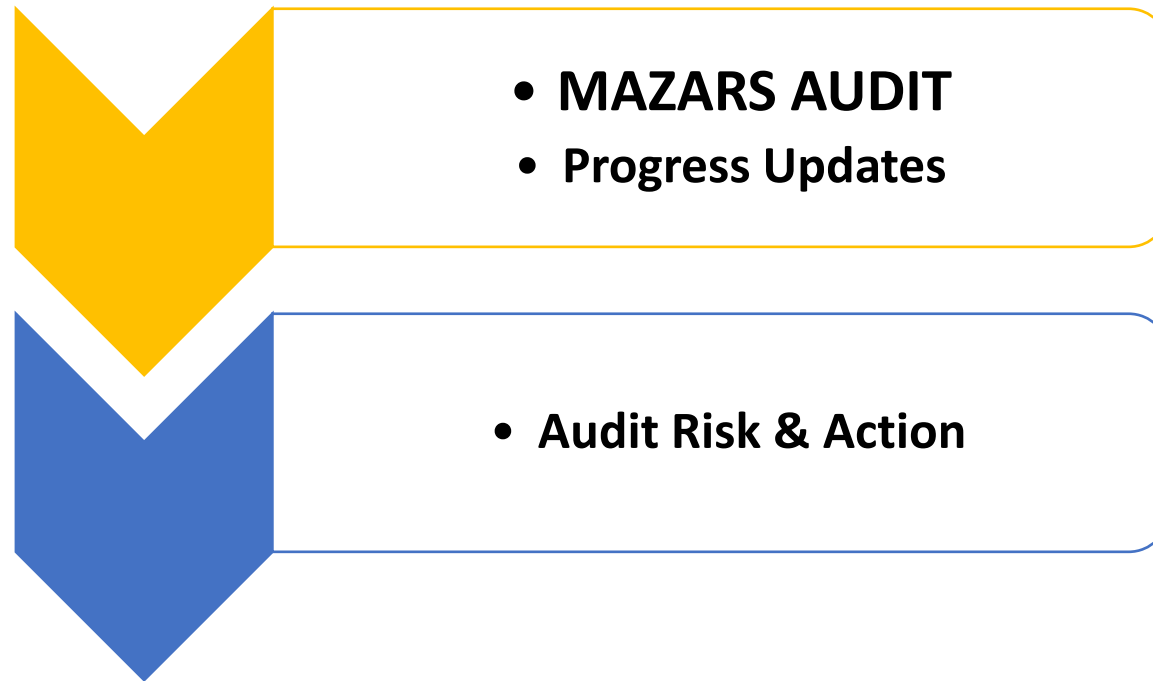
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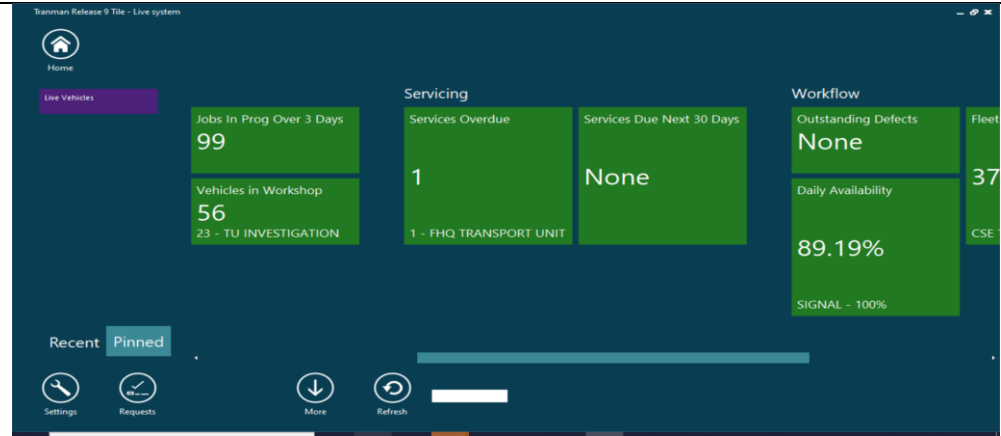


RISK LEVEL	FUNDAMENTAL	SIGNIFICANT	LOW Housekeeping
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Audit Title	R i s k	Threat to Delivering	Recommendation Reference	Business Owner – Action Plan Updates
<p style="color: blue; font-weight: bold;">FLEET MANAGEMENT</p> <p>SATISFACTORY ASSURANCE September 2018</p>		Improved Management Decision Making	<p><u>4.2 Sample Check of Service Details</u></p>	<p>Significant Recommendation: Regular sample checks should be undertaken on the services carried out and the details recorded on TRANMAN. The data should be checked to ensure:</p> <ul style="list-style-type: none"> • All details (including mileage) is recorded for the service; and • The annual servicing timeframe, or the 12,000 miles timeframe, have been met. <p>Historical Progress September 2018 – December 2021: The Force IT department 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 – Achievements to date: The milestones for delivery of the programme of IT improvement have been updated and remain under continued review by ACO Paul Dawkins and Chief Inspector Andy Parkes Interim Head of Fleet.</p> <p>All cars are now fitted with Astra boxes and remedial actions are COMPLETED.</p> <p>On 9th July 2022 we moved to Tranman 9 and have been using real-time since then, snagging with Civica.</p> <p>Tranman Release 9 has a much-improved interface, this will provide improvement to data recording, storage and searchability. Efficiency and effectiveness will be improved through improved service centre management information.</p> <p>Major milestones have been met with iR3 in terms of the – wider force architecture implementation, reassurance, resilience and integrity and testing.</p> <ol style="list-style-type: none"> 1. Understand and snag test the new Tranman 9 and iR3 interface. COMPLETED. 2. Develop the test plan for live test of new iR3 with Storm (there is no Storm test environment) COMPLETED. 3. Test the new iR3 with Storm – iR3 live test due on the 11/10/22 COMPLETED. 4. Snag test and rectify Oct/Nov 2022 COMPLETED.

				<p>5. Install new solution for iR3 to report to Tranman (circa 5K LBA) COMPLETED.</p> <p>6. Cleanse / improve Tranman data quality – Initial work COMPLETED; new codes added.</p> <p>7. Switch to new iR3 and decommission old IR3 – Soft launch of new Ir3 took place Mid Feb, full-out March. Decommissioning to follow. Decommissioning COMPLETED</p> <p><u>What is left to complete and Milestones?</u></p> <p>1. Determine the service scheduling solution, test, snag and implement – Q2 2023 – training day with Civica to be arranged. Work in progress – estimated Sept 2023</p> <p>2. Complete the architecture and data flow schematics for T9 / iR3 / Storm / Airwave – Awaiting IT to provide Sept 2023.</p> <p>3. Write Service Level Agreements SLAs and Contingency Plans based on the outcomes of the aforementioned tests – Q3 2023 – linked to 1 above.</p> <p>4. The Force needs to determine its provision of computer tablets – First tablet now in test in Workshop as of w/c 19/6/23, results yet to be reported</p> <p>5. Understand and exploit new functionality (including tablets) – Dependent upon progress with previous milestones – Q3/4 2023</p> <p><u>Barriers to completion, and how these may be resolved where possible?</u></p> <p>1. Workload demands on key personnel (no dedicated resource to IR3 / Tranman) – work underway to automate many processes. Partially completed – further revenue spend required.</p> <p>2. Demand from other areas e.g. vehicle commissioning, staffing issues.</p> <p>3. Additional personnel (PS) into TU to assist / take some workload following the departure of previous PS and ongoing absence of workshop manager. Still pending.</p> <p>4. Unforeseen IT commitments and their daily other demands (service failures etc).</p> <p>5. Delay in IT securing tablets due to Intune requirements.</p> <p>6. Further funding likely to be required for additional Tranman modules.</p> <p>7. Challenges with provider external access to the necessary force systems – currently with IT to resolve.</p> <p><u>Risk – The following mitigation is in place to ensure force vehicle service schedule points are met:</u></p> <p>1. Cars with Astra box can be mileage tracked on new iR3 and called in for service.</p> <p>2. Service stickers are applied to the car's 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.</p> <p>3. Mileage data from fuel cards utilised to identify service mileage points. Correct mileage MUST be supplied to the cashier for accurate mileage data.</p> <p>4. There is now an accurate feedback loop from iR3 to TranMan regards mileage and work is in progress to build service schedules – ongoing build</p>
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			<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	<u>4.4 Performance Indicators</u>	<p><u>Significant Recommendation:</u> Performance Indicators for the Fleet Management Team should be developed. These should help to assess performance against the Fleet Management Strategy (Rec 4.1). Performance should be reported to the appropriate Force and OPCC forums on a regular basis to provide assurance that the Strategy is being achieved.</p> <p><u>Progress Update relates to 4.2 above:</u> Recommendations 4.2 and 4.4 are directly linked. Delivery of 4.4 is dependent on developments being completed within 4.2 above. 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.</p> <p>The work completed to date now means that we have an accurate picture of the state of the vehicle fleet in terms of:</p> <ul style="list-style-type: none"> • Vehicles currently active • Vehicles in the TU for service • Vehicles in the TU for investigation • Vehicles off-site for repair <p>Once the fleet baseline is established, we will be able to know and show the percentage of the fleet that is off the road on a near real time basis. The work done to date as allowed us to have a much better understanding already.</p> <p>The screenshot below is taken from Tranman and whilst some of the data is still to be cleansed to be 100% accurate, we can now see the availability of vehicles across the organisation.</p> <p>Whilst this is a snapshot picture, the data in the tiles cycles through to show the daily position of each and every department. It is this information which be used to help prioritise vehicles in the TU. This same data will be published via PowerBi on the intranet in due course.</p>



Progress Update – Achievements to date:

1. Move to Tranman Version 9 **COMPLETED.**
2. Where vehicles are identified as having a missing or non-functional black box, this is resolved promptly **COMPLETED**
3. Plans developed around data capture for KPIs, and improved processes **COMPLETED.**
4. Key data is now accurate within Tranman **COMPLETED.**
5. Ability to prioritise work in the TU more efficiently and effectively **COMPLETED.**
6. Processes are massively improved in the TU to ensure data is kept up to date and accurate **COMPLETED.**

What is left to complete?

1. Complete the PowerBi Interface – **estimated end of July 2023 (new staff member recruited in Change team to complete)**
2. Complete the cleansing of the data in Tranman
3. Complete the baseline for the fleet – **Data all collected COMPLETED**
4. Determine Service Level Agreements SLAs for departments e.g., 85% of vehicles to be on the road
5. A vehicle servicing policy/procedure document is being created – this will include the mileage guidelines for servicing, information concerning exceptions and the permitted leeway in mileage, and how covert vehicles are dealt with – **In progress, and this relates to service scheduling**

Timeline for completion – Currently in draft – awaiting Tranman service scheduling work, end of 2023

Barriers to completion, and how these may be resolved where possible?

1. Demand on the DOIT Team who are doing the PowerBi work.

<p>VETTING</p> <p>SATISFACTORY ASSURANCE February 2021</p>	<p>Performance monitoring</p>	<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> <ol style="list-style-type: none"> 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 of February 2021 – Supt Rich Ward <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 end June – Achievements to date:</u></p> <p>New Corevet Version 5 vetting software was successfully installed on the 5th of July 2022.</p> <p>The vetting team have reviewed the standard Management Information MI reporting capabilities afforded by Corvet before moving into phase two which entails the development of an interface between Corevet, HR Gateway and Establishment records into a new front end Vetting Dashboard / Application App.</p> <p>Progress is currently delayed due to a shortage of analytical resource within the Force PowerBi Analyst Team. The Vetting Unit cannot as yet progress to the final stage of the project to create the Vetting Dashboard/App, therefore at the moment there is no change to the status.</p> <p>In the interim, the Vetting Manager and a team member are developing a simplified suite of in-house monthly reports to support the current manual audit and performance reporting, until such time a Power BI resource is made available.</p> <p>The position has been escalated to the Analyst Team Manager and the Head of SSD.</p>
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<p>WELLBEING</p> <p>SATISFACTORY ASSURANCE</p> <p>February 2021</p>	<p>Improved understanding and Compliance</p>	<p>2.</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 [now the Organisational Risk Board ORB] 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.</p> <p><u>Initial Management response:</u> 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.</p> <p><u>Target Date: End June 2023</u> – Kat Eaton Head of HR / Bharti Mistry HR Administration</p> <p><u>Background context 2021:</u> 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</p>

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. However, the force recognises that there are a number of Human Resources related policies and procedures that have during 2020-21 exceeded their review date. Progress is actively being tracked through the quarterly Organisational Risk Board ORB meetings where progress is a standing agenda item.

Type	Title of Policy, Procedure, Form	Date of next review	Update	Current status
Procedure	HR – Redeployment as a Reasonable Adjustment; Police Staff	Nov, 20	Very Overdue	Under review – however, review now nearing completion. Anticipated Date for completion of review is the end of September 2023
Procedure	Sick Pay including Extension Framework; Police Officers	Nov, 20	Very Overdue	COMPLETED No longer including/excluding Extension Framework. Only have Sick Pay Procedure for Staff and one for Officers. Both published Nov 21.
Procedure	Sick Pay including Extension Framework; Police Officers	Nov, 20	Very Overdue	COMPLETED No longer including/excluding Extension Framework. Only have Sick Pay Procedure for Staff and one for Officers. Both published Nov 21.
Procedure	Honoraria; Police Staff	Sep, 20	Very Overdue	Remains under review. Anticipated Date for completion of review is the end of September 2023
Procedure	Unsatisfactory Attendance; Police Officers	Sep, 20	Very Overdue	COMPLETED Published 23/12/21
Procedure	Unsatisfactory Performance; Police Officers	Sep, 20	Very Overdue	COMPLETED Published 23/12/21
Procedure	Work Experience	Dec, 19	Very Overdue	COMPLETED Published 04/01/22

			<table border="1"> <tr> <td>Procedure</td> <td>Ill Health Retirement; Police Staff</td> <td>Mar, 20</td> <td>Very Overdue</td> <td>COMPLETED Published 08/03/23</td> </tr> <tr> <td>Procedure</td> <td>Acting Up and Temporary Promotion (Police Staff)</td> <td>Jun, 20</td> <td>Very Overdue</td> <td>COMPLETED Published 01/02/23</td> </tr> <tr> <td>Policy</td> <td>Pay, Pensions and Benefits</td> <td>Jun, 20</td> <td>Very Overdue</td> <td>COMPLETED Published 08/07/21</td> </tr> <tr> <td>Policy</td> <td>Performance and Development</td> <td>Jun, 20</td> <td>Very Overdue</td> <td>COMPLETED Published 08/07/21</td> </tr> <tr> <td>Policy</td> <td>Recruitment, Development and Planning</td> <td>Jun, 20</td> <td>Very Overdue</td> <td>COMPLETED Published 08/07/21</td> </tr> <tr> <td>Policy</td> <td>Health and Wellbeing</td> <td>Jun, 20</td> <td>Very Overdue</td> <td>COMPLETED Published 08/07/21</td> </tr> <tr> <td>Procedure</td> <td>Career Break; Police Officers</td> <td>Jul, 20</td> <td>Very Overdue</td> <td>COMPLETED Published August 2022</td> </tr> <tr> <td>Policy</td> <td>Leave</td> <td>Aug, 20</td> <td>Very Overdue</td> <td>COMPLETED Published 08/07/21</td> </tr> </table> <p>Progress Update – Achievements to date: Clearly, there has been a great deal of development and review work completed in relation to processes and practices related to force policies and procedures. The force recognises that this is a suitable moment to apply some of the design development and improvement work to make the process more efficient and effective in supporting personnel across the force.</p> <p>All the Policies are now published as shown in the table above. Eight Procedures have been successfully reviewed and republished with the two remaining procedures undergoing the consultative review process to ensure that they appropriately support personnel across the force in delivering a high quality of service to the people of Leicester, Leicestershire and Rutland LLR.</p> <p>The Procedures are taking longer to review as they outline more complex matters concerning the expectations of the force and other stakeholders such as unions and staff associations – Target Date: End September 2023</p>	Procedure	Ill Health Retirement; Police Staff	Mar, 20	Very Overdue	COMPLETED Published 08/03/23	Procedure	Acting Up and Temporary Promotion (Police Staff)	Jun, 20	Very Overdue	COMPLETED Published 01/02/23	Policy	Pay, Pensions and Benefits	Jun, 20	Very Overdue	COMPLETED Published 08/07/21	Policy	Performance and Development	Jun, 20	Very Overdue	COMPLETED Published 08/07/21	Policy	Recruitment, Development and Planning	Jun, 20	Very Overdue	COMPLETED Published 08/07/21	Policy	Health and Wellbeing	Jun, 20	Very Overdue	COMPLETED Published 08/07/21	Procedure	Career Break; Police Officers	Jul, 20	Very Overdue	COMPLETED Published August 2022	Policy	Leave	Aug, 20	Very Overdue	COMPLETED Published 08/07/21
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“	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>Achievements to date: 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 currently 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 wellbeing KPIs were taken to the Chief Officer – Executive Group and it was agreed that further work was required. The force is currently refining the workforce wellbeing enabling strategy and the associated KPIs; when these are agreed by departmental/directorate heads and the chief officer team the KPIs will be part of the Power BI build and GAIN modelling tool.</p> <p>Force Performance Analysts – the work associated with replicating and enhancing the HR GAIN assessment in Power BI is considered in conjunction with the development of other apps. The analysts are acutely aware that various pieces of work will come together and contribute to the final product. It is recognised that the app will be the most complicated app built thus far. Therefore, the iterative creation of the component parts (i.e. PSD, Rest Days, Sickness, Workload etc.) will aid phased development. Estimated completion time 18 months.</p> <p>The wellbeing KPIs remain in development however in the interim, a Wellbeing Data Pack is submitted to the quarterly Wellbeing Leadership Board to provide an overview of all wellbeing activity under the 4 strands of wellbeing and against the national framework.</p> <p>The wellbeing boards continue to provide information and data regarding wellbeing initiatives undertaken. Wellbeing data November 2022 – provided at the last JARAP in April.:</p> <p>A new Head of Occupational Health and Wellbeing OHW is due to commence in January 2023 at which time strategic responsibility for wellbeing with transfer to this role and the KPIs will be further developed in conjunction with the chief officer team – Kat Eaton Head of HR</p> <p>Progress Update end June 2023: A new Head of Occupational Health and Wellbeing has now been appointed by the force and the following update has been provided.</p> <p>The overall strategic governance for Occupational Health and Wellbeing will now come under the newly formed force ‘People Board’ – first meeting was convened on the 1st July 2023 and was chaired by the Assistant Chief Officer ACO Human Resources HR.</p> <p>The whole strategic delivery of Occupational Health and the various Wellbeing support strands are currently under review. The purpose of the review is to ensure that OH and Wellbeing are synchronous and developed in tandem. This way the force will have a much greater understanding of the challenges faced by personnel, thereby enabling the force to target the areas identified as of highest concern to the force, for example where additional support may be required to address stress and mental ill-health.</p>
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			<p>Data / Key performance Indicators -The Plan on a Page, data and key performance indicators KPIs are also under review by the Data Working Group. The group consists of – ACO HR; the Head of HR, the Head of OH and Wellbeing, the Head of the Team Leicestershire Academy and the Head of East Midlands Specialist Learning and Development Hub (EMSLDH). The objective is to review existing and develop any new KPI metrics required to inform strategic and service delivery decision making. The data management reporting will be via the progressive PowerBi application. Existing KPI data sets – examples provided at the last JARAP are currently being used in the interim or transition phase.</p> <p>Capacity and capability increase - Wellbeing Lead / Co-ordinator (scope yet TBC) – A new role to be recruited to oversee – data collection, analysis and coordination of the OH and Wellbeing Strategy and feed into the Head of OH/Wellbeing and ultimately the People Board. OH and Wellbeing has been included within the Force Management Statement FMS which examines demand, capability, capacity and developments going forward.</p> <p>Developments so far are a positive step forward as it will streamline processes, practices; inform service delivery and enable the force to focus on what really matters most to the organisation and our workforce. Tim Ellis – Head of Occupational Health and Wellbeing</p> <p>Target date: March 2024</p>
<p>WORKFORCE PLANNING</p> <p>SATISFACTORY ASSURANCE May 2021</p>	<p>Resource Mapping</p>	<p>4.1 Key roles <u>mapping</u></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>Background May 2021 – March 2023: 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>A presentation that outlined the initial draft Succession Planning Toolkit has previously been shared with the JARAP panel.</p> <p>The toolkit has been presented to, and is supported by the Assistant Chief Officer ACO for Human Resources HR.</p> <p>The force is committed in going forward in introducing the toolkit 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>Achievements to date: Due to a long-term absence a new Leadership and Management Business Partner within the Team Leicestershire Academy TLA has been appointed to lead on this important piece of work.</p> <p>The lead has met with those staff previously supporting the original pilots of the succession planning for police staff from a HR perspective to understand the findings from the pilots. One of the key points of note was the need to simplify the process from its original 6 steps. The team have identified which steps were of most value and recommendations have been made in favour of a simplified 3 step process, outlined as follows:</p> <p>Step 1 – Identify Critical Roles – This enables a manager to look at the police staff roles within their team and identify critical roles through a scoring matrix with a focus on those that are at high risk of becoming vacant within the next 2 years.</p>
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		<p>Step 2 – Identify Specialist Skills – Where a high-risk critical role is identified, build a role profile to identify specialist skill sets of that role.</p> <p>Step 3 – Create a succession plan – Initially reviewing the aspirations of people within their team for potential successors with whom you can implement a development plan. Where a high-risk critical role does not have an identified successor, this should be flagged on the FMS ORA and consideration to alternate succession planning options such as the Career Aspirations for Police Staff or an external attraction plan.</p> <p>Next steps include the development of an electronic version of the revised form to be piloted within the TLA with a view to a Force wide launch by September 2023.</p> <p>A meeting was held with both the Chief Constable and Assistant Chief Officer ACO Human Resources on the 13th of March 2023 to provide a full update on the proposed Leadership and Management Development, strategy, structure and offer of which this workstream was also presented. The proposal and direction of travel was met with a positive response.</p> <p><u>What is left to complete?</u></p> <ul style="list-style-type: none"> • Following further feedback from force business areas further refinements are to be made to the SPMT • The finalised toolkit 'Go live' target date: September 2023 – a copy of the succession planning toolkit will be provided to JARAP on completion. • Briefing HR Business Practitioners to support suitable communications and engagement across the force. <p><u>Barriers to completion, and how these may be resolved where possible?</u></p> <ul style="list-style-type: none"> • None <p>UPDATE end June 2023: This is now included as one of our identified 10 key workstreams sitting under the governance of the Leadership Development Working Group. It has been agreed to combine this workstream with Career Aspirations for Police Staff and form a subgroup of relevant key stakeholders to inform and progress which I am leading on.</p> <p>Our pilot for the next testing phase of the succession planning is due to commence in July. To prepare for this I am in the process of designing the new Microsoft form with our Digital Academy lead and awaiting the new HR Business Partner to be appointed who will be allocated to the project to support roll out.</p> <p>We will be able to provide a further update on the pilot once an evaluation has been completed that will help inform any further changes for consideration ahead of the wider Force roll out.</p>
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			<p>I believe the conversations that managers need to hold with their staff to complete the succession planning considerations sits within PDR 1:1's and therefore I would like to explore the option of this forming part of the PDR system as a longer-term goal along with the Career Aspirations to help identify and inform succession planning.</p> <p>The finalised toolkit 'Go live' target date: September 2023 – a copy of the succession planning toolkit will be provided to JARAP on completion. Melissa Tarbuck – Senior Leadership, Career and Talent Development Business Partner – Team Leicestershire Academy</p>
<p>FLEET MANAGEMENT</p> <p>SATISFACTORY ASSURANCE November 2021</p>	<p>Performance against Business Plan</p>	<p><u>4.1 Performance Information</u></p>	<p>Significant recommendation: 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>Initial Management Response: 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 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>This is a revisit repeat recommendation</u> <u>For the update, please see 4.4 Performance Indicators above starting page 6 and ending on page 8</u></p>
<p>“</p>	<p>Monitoring of Servicing</p>	<p><u>4.2 Sample check of service detail</u></p>	<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: 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>This is a revisit repeat recommendation</u> <u>For the update, please see 4.2 Sample Check of Service Details above starting page 5 and ending on page 6</u></p>
“	Planning, Strategy and reporting eco-efficiency	4.4 Alignment of <u>Strategies and Delivery Plans</u>	<p><u>Significant recommendation:</u> 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><u>Initial Management Response:</u> The annual Transport Unit business plan is largely aligned to the Transport Strategy. The strategy of an Eco-efficient transport strategy must 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><u>Progress Update:</u> The work that has been largely completed within TranMan and iR3 will now be able to form the basis of the business plan going forwards. With accurate vehicle utilisation data now available, work can begin to understand the future fleet and infrastructure requirements.</p> <p>This will also allow us to better understand our environmental impact as the data is far more accurate.</p> <p><u>Achievements to date:</u></p> <ol style="list-style-type: none"> 2. All new General Response Vehicles GRVs and high-performance vehicles are petrol or MHT COMPLETED 3. New interim Head of Fleet appointed who has attended national meetings and conferences relating to the move to EV COMPLETED 4. CC's new car is petrol-electric hybrid, and a charging point has been installed at FHQ COMPLETED 5. Demos and tests are being arranged for EV / PHEV etc COMPLETED 6. Head of TU and estates have had several discussions around future infrastructure requirement.




			<p>7. A Sec106 bid has been put forward for 5 electric vehicles, (4 enquiry cars and 1 cell van and associated charging infrastructure). Bid approved at Force Exec Board – pending drawdown of funding</p> <p>8. Refresh of the Fleet Strategy COMPLETED Transport Strategy provided at the last JARAP in April</p> <p>9. Initial site assessment for fitting of EV charging points for trial COMPLETED</p> <p><u>What is left to complete?</u></p> <ol style="list-style-type: none"> 1. TranMan data cleansing should be complete by end of 2023 2. Installation of charging points for trial of Evs (5 sites (FHQ, Mansfield House, Euston Street, Keyham Lane and Loughborough) <p><u>Timeline for completion – end of 2023</u></p> <p><u>Barriers to completion, and how these may be resolved where possible?</u></p> <ol style="list-style-type: none"> 1. Complexity of the issue and requirement for additional estates work. 2. Financial challenges as capital costs for Evs are considerably higher. <p>Head of Fleet Chief Inspector Andy Parkes.</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>Progress Update:</u></p> <p><u>Achievements to date:</u></p> <ol style="list-style-type: none"> 1. Move to Tranman Version 9 COMPLETED 2. Vast improvement in data quality in TranMan COMPLETED 3. Civica attended FHQ to make changes to TranMan and compile improve report – report now received and assessing the cost options <p><u>What is left to complete?</u></p> <ol style="list-style-type: none"> 1. Understand and exploit the capabilities of Tranman to maximise efficiency and effectiveness 2. Introduce tablets and move to paperless job cards. <p><u>Timeline for completion – end of 2023</u></p> <p><u>Barriers to completion, and how these may be resolved where possible?</u></p> <ol style="list-style-type: none"> 1. As previously outlined above – workload and staffing. <p>Head of Fleet Chief Inspector Andy Parkes</p>

<p>SEIZED PROPERTY</p> <p>SATISFACTORY ASSURANCE January 2022</p>	<p>Oversight and Governance</p>	<p>4.2 Audit Regime – <u>Main Store</u></p>	<p>Significant recommendation: Leicestershire should develop a formal audit plan in order to ensure that all main store items are audited in line with the Property Management Policy Leicestershire should also review the current approach to property audits at the EPAC, to ensure policy can be adhered to.</p> <p>Initial Management Response: The force recognises that it is some time since the new force EPAC facility was completed and that policies and working practices are due for review and refresh where necessary. This will ensure the safe keeping, and accountability of property stored; whilst minimising risk for the force.</p> <p>The Force is actively pursuing the following actions in relation to audits generally within the force and particularly within the Force Evidential Property Archive Centre:</p> <p>Achievements to date:</p> <ol style="list-style-type: none"> 1. <u>Review the Force Audit requirement and Strategy</u> as a whole force function. A draft proposed corporate audit schedule has recently been presented to ACC Smith for consideration prior to submission to the chief officer Exec Group. <p>The following further work has been undertaken:</p> <ul style="list-style-type: none"> ➤ Further consultation across the areas of the business before finalisation of the proposal. ➤ Completion of the revised policies and procedures for the EPAC – COMPLETED – Agreed and published, copy available where required. ➤ Consult and outline the internal compliance regime that will operate within EPAC prior to endorsement of any Corporate Audit EPAC Audits. The internal compliance regime is to be the first line of defence; with this being fed into the Corporate Audit regime as this will enable the force as a whole to prioritise areas for audit. ➤ A meeting was held with the Force Audit Manager in September 2022. Unfortunately, the team have not secured the uplift in staff hoped for, and therefore haven't been able to offer any auditing support and implement the audit plan previously been agreed at the Exec Group. <ol style="list-style-type: none"> 2. <u>Audit standardisation</u> – It was recognised that Evidential Property Officers were carrying out audits in different ways. Therefore, training has been rolled out to the team, with the expectation that audits will be carried out in a standardised way – please see Appendix – standard audit template, embedded below. 3. <u>Development of an EPAC 'Formal Audit Plan'</u> The EPAC management team have received some guidance and support from the Force Audit Manager around what an internal compliance regime should look like for the EPAC. As a result of this, the following Formal Audit Plan has been developed for implementation. The plan is contained within the Property Policy/Procedure but is extracted for convenience here: Audit Plan and Audit template provided at the last JARAP in April. <p>What is left to complete?</p>
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			<p>4. <u>Measures taken to address the backlog of accumulated property</u> within the EPAC due to the COVID-19 pandemic – The Evidential Property Review recommended that a backlog team be secured to clear the pend-disposals [approximately 80,000] and then complete a full audit of the main store.</p> <p>The force Executive Group approved a small team of 6 who will be responsible for the disposal of all evidence that is in append-disposal state. Once that is complete, they will move on to a full physical audit of the EPAC, including an audit of the property management system.</p> <ul style="list-style-type: none"> ➤ 3 FTE agency staff are now in post – disposal for 1 year ➤ 3 FT permanent Property Officers are now in post. Addressing the disposal backlog and audits are being completed concurrently as part of everyday business. <p>The backlog has been significantly reduced from just over 80,000 to approximately 17,000 disposals remaining to be processed [down from 27,000 at the last JARAP]. Estimated time or target date for completion of the first full audit – 30th June 2023 COMPLETED</p> <p>UPDATE end June 2023: A review of the EPAC found that a full audit of the store was now due and required in order to maintain confidence in our storage of evidential property. A full physical and digital audit has been carried out. It was decided that clearing the disposal backlog simultaneously, would also make the audit more efficient and possibly result in some misplaced items being located; preventing duplication of work and reducing the time taken for the audit.</p> <p>The introduction of an audit regime was implemented towards the end of 2022, with the intention of it being scheduled into business as usual. As part of this audit regime, the main warehouse (including freezer and garages), is expected to be audited twice per year.</p> <p>The first full audit has taken place between January – June 2023. This consisted of 4790 shelf/box locations being physically checked, against reports generated from Niche showing what is expected to be present. Any items showing as awaiting disposal during the audit of each location, have also been picked out and processed at the same time. The audit has been completed an aisle at a time, and a master spreadsheet has been used to record who has completed each audit and when, which has ensured that all locations have been captured. A copy of the audit/disposal paperwork has also been saved electronically for future reference if needed – An extract of the audit spreadsheet is embedded here APPENDIX B:</p>
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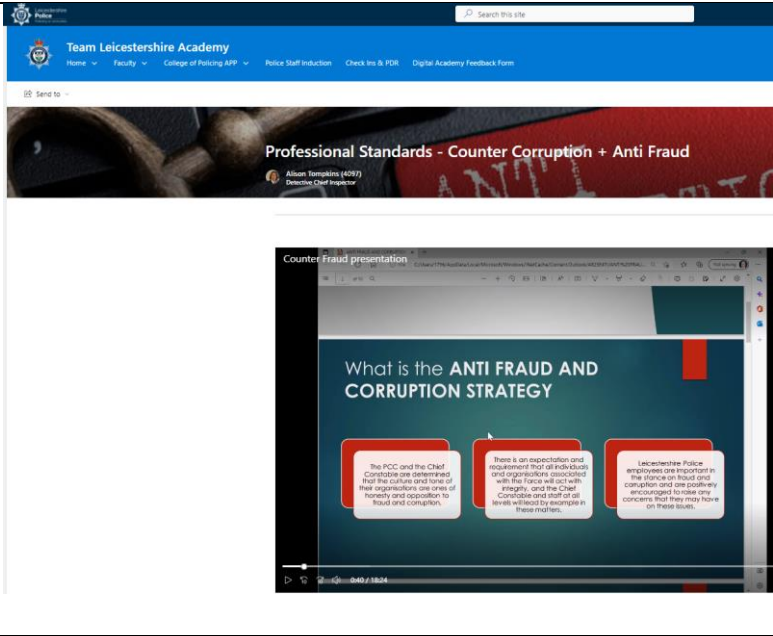
			 <p>Appendix B Audit Example Sample sheet</p> <p>There's a summary sheet for each audited location, see attached example. 29144 items were disposed of during the audit.</p> <p>The number of items currently awaiting disposal is now significantly reduced to 7042, these will be processed during the next audit due to take place during July-December 2023. The development that has taken place now appears to have met the requirements of the recommendation and has become business as usual, therefore this recommendation is now proposed closed.</p> <p>PROPOSED CLOSED</p>
<p>GOVERNANCE</p> <p>SATISFACTORY ASSURANCE May 2022</p>	<p>Documentation compliance</p>	<p><u>4.1 Review of Corporate Governance Framework</u></p>	<p>Significant Recommendation: Leicestershire should ensure that the Corporate Governance Framework is reviewed and updated in a timely manner.</p> <p>Initial Management Response: Agreed</p> <p>Timescale and Responsibility: Immediately – Paul Dawkins Assistant Chief Officer ACO (Finance & Resources) Kira Hughes Interim Chief Finance Officer CFO (OPCC)</p> <p>Progress: The review of the Corporate Governance Framework has commenced and currently ongoing; however, it will shortly be going through for consultation with the PCC, OPCC SMT, COT and Legal – Revised Target date for completion is the 30th April 2023 – Kira Hughes Interim Chief finance Officer OPCC.</p> <p>UPDATE end June 2023: The Corporate Governance Framework CGF has been updated and is with the Commissioner to be reviewed. It will be going to the Chief Officer team in due course for consultation. The revised target date is 31st July 2023</p>
<p>IT RISK MANAGEMENT</p> <p>SIGNIFICANT ASSURANCE</p>	<p>Risk Management Process Review</p>	<p><u>4.1 Ongoing Risk Management review</u></p>	<p>Significant Recommendation: We support the ongoing work to review the risk management process, which should ensure greater consistency in completion of risk assessments and we recommend that a timetable for completion is established.</p>


<p>August 2022</p>		<p>Initial Management Response: Since publication of this draft audit report, the Information Management team have met with Health and Safety and developed the review of Information Security risks.</p> <p>These are being graded and will be delivered at the next ORB. A regular meeting will also be set up to ensure that IM risks are reviewed and identified regularly with appropriate management plans in place.</p> <p>Target Date: March 2023 – all risks will not only be graded but improved management of these risks at a local departmental level will have been embedded also.</p> <p>Update – Achievements to date: Information Security Risk Updates are a core part of the Organisational Risk Board and are held quarterly where they are subject to review and escalated to Strategic Risks where required. An example of this recently is in regard to our Cyber Security risks following a spate of attacks on partner organisations. The risk was evaluated at ORB and was subject to a Gold Group (Op Chocaholic) that ultimately culminated in a paper being submitted to the Force Executive on the 20th of December regarding our long-term planning in this area.</p> <p>As such we have confidence that the IT related risks such as information security are now being reviewed adequately at this stage. However, 1-2-1 meetings with the SIRO can take place at any time to escalate an Information Security risk as required. The current SIRO is ACC Kerry Smith.</p> <p>March Update: The Digital and Data Board has now been established and is chaired by the Ch Supt for SSD who also chairs the Organisational Risk Board. As such we now have confidence that there a significant grip of risk management processes across the Force and monthly highlight reports will be taken to the Force Executive to ensure they also remain sighted on this area. No actions left outstanding, and this has now transitioned to business as usual.</p> <p>Example papers requested from Steve Morris Head of Information Management 07/03/23 and reminder sent 16/03/23 and again 27/06/23</p> <p>Timeline for completion – Target Date – end March 2023</p> <p>PROPOSED CLOSED – Before the recommendation can be agreed closed – Documents requested by the panel at the last JARAP in April are as follows:</p> <p>ORB Agenda Network Stability Paper Risk register</p>
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			 APPENDIX C - ORB Agenda.doc	 APPENDIX D - Network stability paper	 APPENDIX E Worksheet.xlsx
HEALTH AND SAFETY SATISFACTORY ASSURANCE September 2022	Process improvement	<u>4.1 Completion of manager violent incident follow up</u>	<p>Significant Recommendation: The responsibilities of managers should be updated to reflect the new form and a process implemented to chase missing forms. The Force should ensure that Managers complete follow up forms.</p> <p>Initial Management Response: This will be written into the revised health and safety procedure when reviewed.</p> <p>Achievements to date – The form has been amended but this work is being led by the Assaults Working Group now.</p> <p>What is left to achieve – The recommendation has not been progressed to date as the Health and Safety Procedure is currently with the force Executive Group for consideration and sign-off.</p> <p>Timeline for completion – Revised to September 2023</p> <p>Barriers to completion – none identified.</p> <p>UPDATE end June 2023: The health and safety procedure was not ratified by the Executive Group. The health and safety advisor has now received feedback on the changes requested and the procedure will be submitted to the next JARAP meeting – Peter Coogan Principal Health and Safety Advisor</p>		
“	Process improvement and quality control	<u>4.4 H&S risk assessments</u>	<p>Housekeeping recommendation: Managers should ensure that risk assessments are resubmitted and amendments made in a timely manner to ensure they pass quality control.</p> <p>Initial Management Response: The unit will be designing a new risk assessment form which will allow more of the risk assessment to be undertaken by individuals who aren't trained risk assessors. The support provided by the unit through bow tie meetings which will be expanded to include Health and Safety risk assessment to further facilitate progress.</p> <p>The unit does not ratify risk assessments as identified in the report, they have a quality assurance role. The unit will supply specific updates to the committees based on the progress of the bow tie exercises. They will also provide feedback from risk communication and accident/near miss investigation regarding where risk assessments need to be created, reviewed or ratified. This will allow directorate/departmental heads to take appropriate action where gaps have been identified.</p> <p>Target Date: H and S Unit/Change Team, Directorate and Departmental Heads December 2023.</p> <p>Achievements to date – The work has been scoped out and it is apparent that the work will have to be split into a task list form, followed by an assessment form.</p>		

			<p><u>What is left to achieve</u> – The two forms will have to be designed. <u>Timeline for completion</u> – Revised to December 2023. <u>Barriers to completion</u> – The unit is currently under review and under strength. A member of staff has left to take up a temporary role and the new assistant advisor has only recently returned to the unit after not being available for the majority of 2022. This staff member is still yet to complete their H&S qualification and therefore currently has limited ability to contribute to the units workload.</p> <p>There is a significant amount of work involved in designing the form and ensuring that the branching is provided correctly. This will be attempted with significantly limited resources and is also dependent on the amount of time that the Microsoft 365 project manager has available.</p> <p>UPDATE end June 2023: The unit has encountered further staff shortages and is now down to half strength which has delayed the creation of the risk assessment form. A form has now been developed and sent to the Microsoft 365 Project Manager. He indicates that he may not be able to make a start on this until well into July – Peter Coogan Principal Health and Safety Advisor</p>
<p>COUNTER FRAUD LIMITED ASSURANCE November 2022</p>	Strategic Direction	<p>4.1 <u>Lack of Awareness of the Anti-Fraud & Corruption Strategy</u></p>	<p><u>Housekeeping Recommendation:</u> The Force/OPCC should undertake activities to ensure that there is an appropriate level of awareness of the Anti-Fraud and Corruption Strategy. The Force/OPCC should clearly separate the Anti-Fraud and Corruption Strategy from within the Corporate Governance Framework to provide greater awareness of the strategy.</p> <p><u>Initial Management Response:</u> <u>Agreed:</u> The force is in the process of developing activities to support awareness amongst personnel of the Force/OPCC Anti-Fraud and Corruption Strategy.</p> <p><u>Progress:</u> The review of the Corporate Governance Framework has commenced and currently ongoing; however, it will shortly be going through for consultation with the PCC, OPCC SMT, COT and Legal – Revised Target date for completion is the 30th April 2023 – Kira Hughes Interim Chief finance Officer OPCC.</p> <p>UPDATE end June 2023: The Corporate Governance Framework CGF has been updated and is with the Commissioner to be reviewed. It will be going to the Chief Officer team in due course for consultation. The revised target date is 31st July 2023</p>
“	Training	<p>4.3 <u>Lack of Fraud Training</u></p>	<p><u>Fundamental Recommendation:</u> In deciding what the appropriate level of training is, the Force/OPCC should carry out a training needs analysis to establish which areas of the organisation have a higher risk of fraud and corruption and then tailor training as necessary. The Force should then ensure that there is an appropriate provision of training to meet the needs of the organisation highlighted from the training needs analysis. The delivery of all training should be monitored for its effectiveness and be regularly reviewed to ensure it is meeting the needs of the organisation.</p>

		<p>Target Date: mid-July 2023 Supt Rich Ward – Head of PSD</p> <p>Update: The DCC has agreed with the Head of the Force’s Professional Standards Department PSD a comprehensive, detailed and specific webinar as the way forward.</p> <p>The force already has ‘formal’ inputs around this for new recruits that tests knowledge and understanding. The force will test wider knowledge and understanding at a suitable time following the comprehensive webinar previously stated.</p> <p>His Majesty’s Inspectorate of Constabulary HMIC will also test knowledge around this theme as part of the PEEL 2022-23 continuous assessment process and Mazars will review and test implementation within a future revisit audit.</p> <p>A comprehensive and detailed Briefing Pack and Webinar has been produced which actually covers the following wider spectrum of themes related to standards of professional behaviour:</p> <ul style="list-style-type: none"> ➤ Force and OPCC – Fraud and Corruption Strategy ➤ Gifts and Gratuities ➤ Business Interests ➤ Whistle Blower Procedure ➤ Confidential Employee Reporting <p>The webinar has been actively communicated to personnel through the Team Leicestershire Academy bespoke webpage, with links to policy and guidance; an email message and link to the webinar circulated to managers, supervisors and team leaders in order for them to brief their teams accordingly.</p> <p>A follow up intranet message will shortly go out from the Head of PSD, again with links to the webinar, policy and guidance. A copy of the strategy and a screen-shot of the Webinar was provided at the last JARAP in April 2023.</p>
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					 <p>The screenshot shows the website for the Team Leicestershire Academy. The header includes the academy's name and navigation links. Below the header is a banner for 'Professional Standards - Counter Corruption + Anti Fraud' featuring a photo of a person. The main content area displays a presentation slide titled 'What is the ANTI FRAUD AND CORRUPTION STRATEGY'. The slide contains three text boxes:</p> <ul style="list-style-type: none">Box 1: The IPCC and the Chief Constable are determined that the culture and tone of their organisations, as well as honesty and openness to fraud and corruption.Box 2: there is an expectation and requirement that all individuals and organisations associated with the Force will act with integrity, and the Chief Constable and staff at all levels will lead by example in these matters.Box 3: Leicestershire Police employees are important in the police on fraud and corruption and are positively encouraged to raise any concerns that they may have on these levels.
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				<p>Professional Standards - Counter Corruption + Anti Fraud</p> <p>Alison Tompkins (4097) Detective Chief Inspector</p>  <p>What is left to achieve – Dip-sampling to test the effectiveness of the training rolled out in relation to the ‘Ten Standards of Professional Behaviour for Police Officers and Staff’.</p> <p>A suitable officer/staff sample will be selected, and direct contact made to test the effectiveness of the training provided.</p> <p>UPDATE end June 2023: – Dip-sampling results delayed due to other competing workstream demand - anticipated end September 2023. To be reported at the next JARAP meeting.</p> <p>Barriers to completion – None anticipated</p>
<p>PAYROLL SIGNIFICANT ASSURANCE February 2023</p>		<p>Receipt process</p>	<p><u>4.1 Expenses claims</u></p>	<p>Housekeeping Recommendation: The Force should remind individuals regularly of the significance of obtaining receipts for all expenses to be claimed and in ensuring that the claim amount equals the receipts total.</p> <p>Initial Management Response: It is accepted that in some circumstances it is not always possible for officers / staff to obtain receipts and in these situations, we would use our discretion. The team will be reminded to check that receipts are attached for claims processed on CMS (outside of express authorization) and if not available to record a comment. The guidelines for uploading the receipts on CMS will be reissued on Latest News as a reminder for all officers / staff.</p>

			<p>Target Date: February 2023 – Jane Timms Financial Services Manager</p> <p>UPDATE end June 2023: Expenses claims receipts – if a receipt is not received by Finance Operations the claim is now rejected in the first instance, often it is a technical issue of uploading the receipts to CMS due to the sized of the JPG if this is the case then Finance Operations Team advise the officer. In cases when the officer/staff has not been able to obtain a receipt we ask them to complete the attached form which is then uploaded with the claim – Proposed Closed.</p> <p>APPENDIX F – Missing Receipts Form</p> <div style="text-align: center;">  <p>APPENDIX F Missing Receipts Form.pdf</p> </div> <p>PROPOSED CLOSED</p>
“	Authorisation of overtime	<u>4.2 Overtime claims</u>	<p>Housekeeping Recommendation: The Force should ensure that checks are performed confirming authorisation of paper overtime claim forms.</p> <p>Initial Management Response: All paper overtime forms will be checked to ensure that these have been appropriately authorised, prior to processing.</p> <p>Target Date: March 2023 – Jane Timms Financial Services Manager</p> <p>UPDATE end June 2023: All clerks are aware that paper forms should be authorised by a supervisor, these are checked when they enter the office and returned if they do not have an authorised signature. Proposed Closed. Jane Timms Financial Services Manager</p> <p>PROPOSED CLOSED</p>
“	Fraud Prevention	<u>4.3 Comparison of employee bank details and supplier details</u>	<p>Significant Recommendation: The Force should implement regular and routine checks of employee bank details and supplier details.</p> <p>Initial Management Response: A quarterly check will be introduced to compare the bank details of employees and suppliers as set out in the recommendation.</p> <p>Target Date: June 2023 – Alice Davis Payroll Services Manager / Samantha Lamb Senior Accountant</p>

			<p>UPDATE end June 2023: For section 4.3 comparison of bank details – this is scheduled to be completed by 30th June 23 and quarterly thereafter. Every quarter the reconciliation report will be completed and saved by Corporate Finance with comments for any duplications i.e. Special and Staff member etc and audit will be able to review them where required – Proposed closed.</p> <p>PROPOSED CLOSED</p>
<p>OPCC RECRUITMENT LIMITED ASSURANCE January 2023</p>	Administration	<p><u>4.1 Interview Panel Member Forms</u></p>	<p>Fundamental Recommendation: The OPCC should ensure that all interview forms are completed and uploaded to E-Recruitment before a candidate is processed through to pre-employment checks. Where interview panel members are listed on E-Recruitment, mandatory upload fields should be generated that must be filled before a candidate can be processed through from the interview stage to pre-employment checks. The OPCC should generate a standardised template for interview panel members, which includes a field for their name.</p> <p>Initial Management Response: OPCC Recruitment Policy, Guidance and templates to be produced and implemented. Mandatory fields have been generated and implemented as per Resourcing Partner 1/12/22.</p> <p>Target Date: 31st March 2023 – Nimisha Padhiar OPCC Policy and Compliance Officer</p> <p>UPDATE end June 2023: Work is ongoing to produce the OPCC Recruitment Policy, Guidance and Templates; currently approximately 60% completed. Target revised to 31st October 2023.</p>
“	Recruitment Procedure	<p><u>4.2 OPCC Post Authorisation</u></p>	<p>Significant Recommendation: The OPCC should formally document their approach to recruitment, including all deviations from the Force procedures and agreed SLA with the SHRSC</p> <p>Initial Management Response: OPCC specific Recruitment Policy, guidance and templates to be produced and implemented.</p> <p>Target Date: 31st March 2023 – Nimisha Padhiar OPCC Policy and Compliance Officer</p> <p>UPDATE end June 2023: Work is ongoing to produce the OPCC Recruitment Policy, Guidance and Templates; currently approximately 60% completed. Target revised to 31st October 2023.</p>

“		Recruitment Process	4.3 Essential Criteria	<p>Significant Recommendation: The OPCC should ensure that candidates cannot be processed through E-Recruitment unless all mandatory essential criteria field are filled with 'met'. In exceptional circumstances where they are not 'met', sufficient supporting evidence to explain the selection of the candidate should be retained.</p> <p>Initial Management Response: There will be a warning message however it is still possible to progress to interview if one essential is “not met”. The rational for this is that each vacancy is unique and is based on the number of applicants and post. etc. HRSC will be looking at whether a warning message can appear if one of the essential criteria is not met and ensure a rational is uploaded.</p> <p>Target Date: 31st March 2023 – Niki Doyle, Resourcing Partner (HR Shared Service Centre)</p> <p>Update end of June 2023: There is indeed a warning message at the bottom of the shortlisting page which states that applicants who haven't met ALL essential criteria must not be progressed through to the next stage - Screen shot shown below:</p> <table border="1" data-bbox="958 703 1388 997"> <tr> <td>Outcome Desirables 4</td> <td>Partially Met</td> </tr> <tr> <td colspan="2">ITIL Foundation level qualification or equivalent</td> </tr> <tr> <td>Outcome Desirables 5</td> <td>Not Met</td> </tr> <tr> <td colspan="2">Working knowledge of large public sector and/or other complex organisations</td> </tr> <tr> <td>Outcome Desirables 6</td> <td>Met</td> </tr> <tr> <td>Desirables Score</td> <td>3</td> </tr> </table> <p>This candidate hasn't met one or more of the essential criteria to be considered for the next stage of the process as per the forces recruitment policy.</p> <p>I had a meeting with Nicky Streets last week and we discussed the importance of accuracy around not progressing applicants who have not met the shortlisting criteria or e.g. have not come top in interview scoring.</p> <p>There is a written process map, which is the same for all forces regarding data integrity within the recruitment portal please see Appendix J - Recruitment Line Manager Guide:</p>	Outcome Desirables 4	Partially Met	ITIL Foundation level qualification or equivalent		Outcome Desirables 5	Not Met	Working knowledge of large public sector and/or other complex organisations		Outcome Desirables 6	Met	Desirables Score	3
Outcome Desirables 4	Partially Met															
ITIL Foundation level qualification or equivalent																
Outcome Desirables 5	Not Met															
Working knowledge of large public sector and/or other complex organisations																
Outcome Desirables 6	Met															
Desirables Score	3															

			<div style="text-align: center;">  <p>APPENDIX J - Recruitment Line Mar</p> </div> <p>We don't have an example of where rationale has been uploaded. [This was requested]</p> <p>Further oversight checks are not in place, and I don't believe they are required. We have recruitment process maps for hirers and recruiters that cover everything we manage, and the do's and don'ts are clear for each stage. Proposed closed - Niki Doyle, Resourcing Partner (HR Shared Service Centre)</p> <p style="color: green; font-weight: bold; font-size: 1.2em;">PROPOSED CLOSED</p>
<p style="text-align: center; color: blue; font-weight: bold;">FIREARMS LICENSING</p> <p style="text-align: center; font-weight: bold;">LIMITED ASSURANCE</p> <p style="text-align: center;">March 2023</p>	<p style="text-align: center;">Processes</p>	<p style="text-align: center;"><u>4.1 Risk Assessments</u></p>	<p><u>Fundamental Recommendation:</u> The Force should ensure that:</p> <ul style="list-style-type: none"> • The risk assessments process is reviewed to include clearer and more consistent criteria. • A risk assessment and management procedure is produced. • FEOs receive further training on undertaking risk assessments and the importance of fully documenting why a particular risk rating was provided. • The cases identified in the recommendation should be reassessed. <p><u>Initial Management Response:</u></p> <p>1. The risk assessment process I recognise is a crucial aspect of the firearms licensing procedure. This process I have commenced reviewing, gathering examples nationally to consider best practise. Examples that I have collated to date show that there is no consistent practice nationally and I have evidenced this to the National Portfolio lead.</p> <p>Because of the Keyham report (Plymouth) it is anticipated that further guidance will be issued nationally. The review of Leicestershire's process has been added to the Departments delivery plan that will be reviewed regularly with ACC Streets.</p> <p>Initial Progress: Target one month – end April 2023 Firearms manager.</p> <p>UPDATE end June 2023: A new risk assessment procedure was initially submitted for review by the ACC strategic Chief Officer for Leicestershire Police and this was approved – see below -</p> <p style="background-color: #e0f0ff; padding: 5px;">COMPLETED</p> <p>2. The risk procedure provide by Mazars, was deemed as National best practise in 2015. I have accepted this Leicestershire's Risk Management procedure, with minor amendments to reflect our force policy and updated statutory guidance</p>

Initial Progress: COMPLETED. But this will be continually reviewed by monthly as part of the delivery plan.

UPDATE end June 2023: Embedded below the 'new' Firearms Licensing - Risk Management Procedure which has been approved by the ACC strategic Chief Officer for Leicestershire Police.

APPENDIX G - Firearms Licensing Risk Management Procedure



APPENDIX G -
Firearms Licensing Ri:

- COMPLETED

3. FEO training, all have been circulated the risk procedure and will meet on the 19th April to discuss. In addition, the force risk advisor is being invited to advise on the importance of risk management.

Initial Progress: 19th April Firearms manager. (dependent on availability of the Force Risk assessor).

UPDATE end June 2023:

The Firearms Licensing Manager has met with the FEOs to discuss Risk and to outline in detail the new force procedure to ensure much greater consistency. There will still be a degree of disparity as risk is a subjective procedure; however, the new force procedure and risk assessment form will indeed minimise and standardise the risk process as much as possible.


All staff have been advised on processes during a department team meeting and the requirement to adhere to the new force procedure and FEO enquiry form.

The challenge identified was that two members of staff, through work pressure had failed to adhere strictly to the existing force procedures. Both have been spoken to. In fairness, the unit manager had spotted this prior to the auditors arrival and had already addressed this occurrence.


Currently there is no national standardised FEO enquiry risk assessment form for firearms licensing. Therefore, the unit manager has obtained examples from over 10 other forces and taken the best practice from each example. As a consequence, it is likely Leicestershire has a risk assessment form that is of the highest quality.

In addition, the manager has met with the Force Risk Advisor and reviewed the FEO enquiry form which has been amended to reflect the 'impact upon risk' - the new draft document is embedded here and will shortly be submitted for senior management team approval:

APPENDIX H – FEO Enquiry Form

			 <p>APPENDIX H - FEO Enquiry Form.docx</p> <p>Risk Advice: The Force Risk Advisor has volunteered to attend future planned Firearms Licensing Team meetings to provide an additional input on risk assessments.</p> <p>National Developments:</p> <ul style="list-style-type: none"> ➤ Draft Authorised Professional Practice APP has been circulated for national consultation and the finalised APP is to be released in the autumn 2023 to forces. ➤ New training for FEOs/decision makers is being developed by the College of Policing CoP; this is to commence Autumn 2023, following APP. Personnel within the force will of course be enrolled for the new training as soon as the training becomes available. <p>The Firearms Licensing Management Team are examining submissions much more carefully in order to strengthen oversight, governance and reassurance. - COMPLETED</p> <p>4. The cases identified by the auditor have been reassessed and amended. The cases identified by the auditor have been thoroughly reassessed and amended accordingly. Initial Progress: COMPLETED. Force Firearms Manager</p> <p>PROPOSED CLOSED</p>
“		Processes <u>4.2 Background Checks</u>	<p>Significant Recommendation: The Force should ensure that:</p> <ul style="list-style-type: none"> • Enquiry forms are fully completed. • Background checks are undertaken for the cases identified in the recommendation. • Staff should receive additional training / communication around the importance of undertaking background checks and noting these as completed on enquiry forms. <p>Initial Progress: Two staff members had already been identified by the Deputy manager as not fully completing the enquiry documents. The Firearms manager and deputy manager have met to discuss these findings to ensure they both review all forms in detail to ensure that these checks are completed in all cases. All staff have been advised on the importance of fulfilling these checks and the two staff individually spoken to following their return to work after long term illness. The two cases identified in the audit have been checked.</p> <p>UPDATE end June 2023: COMPLETED</p>

			<ol style="list-style-type: none"> 1. The firearms management team ensure that all forms are reviewed and ensure that all checks are completed - COMPLETED 2. The two cases identified in the audit have been checked please see above – COMPLETED 3. Training material – please see above update in relation to inputs and future training. - COMPLETED <p>PROPOSED CLOSED</p>
“	Governance	4.3 Performance Information	<p>Housekeeping Recommendation: The Force should implement and reporting on additional KPIs such as:</p> <ul style="list-style-type: none"> • Percentage of renewals completed prior to expiry. • Volumes of changes in circumstances / variations. • FEO visits per month. • Average turnaround times. <p>Initial Management Response: We accept the regular monitoring of KPI's is fundamental in recording the performance of the department to identify early potential risk to the public and the force reputation.</p> <p>Information suggested for collation would be abstracted from the National Firearms Licensing Management System (NFLMS), this data base is a legacy database and due for renewal in 2024. To extend its life management information has been reduced.</p> <ul style="list-style-type: none"> • Percentage of renewals prior to expiry information is not available. However, all our applications are processed prior to expiry. The exception would be those applicants where we have allowed a further 8 week extension whilst awaiting a GP letter. As an alternative a manual record could be created for recording how many people are awaiting GP letters or finalisation. • Volumes of changes in circumstances. This has commenced. • FEO visits, this is already produced. Average turnaround we have commenced this with figures from January 2023 <p>Initial Progress: Complete other than the percentage of renewals prior to expiry. Nationally the data required is how many permits are issued by the Firearms licensing Team as an enquiry has not been completed prior to expiry. In line with Home office Guidance February 2023 we do not issue permits and all enquiries whilst I have been in post are completed prior to expiry.</p> <p>UPDATE end June 2023: COMPLETED</p>

			<p>1. We do not issue permits and all enquiries are completed prior to expiry - COMPLETED</p> <p>2. There is a bi-monthly meeting between the Firearms Licensing Unit management team and the C/Supt. This meeting focusses upon performance, continuous improvement, training and capacity and capability. COMPLETED</p> <p>APPENDIX I - National Firearms Licensing Performance document embedded here:</p> <div style="text-align: center;">  <p>APPENDIX I - National Firearms Lic</p> </div> <p>The Force Management Statement FMS also assesses the Firearms Licensing business function both strategically and tactically in terms of demand, capability and capacity and developments necessary going forward to both maintain and continually improve the service. The FMS has only recently been refreshed and has indeed been shared with His Majesty's Inspectorate of Constabulary HMIC</p> <p style="text-align: center;">- COMPLETED</p> <p>PROPOSED CLOSED</p>
<p>CORE FINANCIALS SIGNIFICANT ASSURANCE March 2023</p>	Processes	<p><u>4.1 Non-Purchase Order Invoices</u></p>	<p>Housekeeping Recommendation: Leicestershire should ensure all non-PO invoices are paid by their due date and in a timely manner, following authorisation.</p> <p>Initial Management Response: The Team will be reminded of the need to ensure that invoices are processed in a timely manner, to avoid undue delays.</p> <p>Jane Timms Financial Services Manager – Target 31st March 2023</p> <p>UPDATE end June 2023: A daily call is carried out every morning with the Team to discuss all priorities which include any outstanding invoices. The Team are also exploring an exception report which will highlight overdue invoices and therefore reduce the delays in payment.</p>
“	Processes	<p><u>4.2 Feeder-system reconciliations</u></p>	<p>Housekeeping Recommendation: Leicestershire should ensure that feeder system reconciliations of payroll are performed in a timely manner.</p>

			<p>Initial Management Response: The Department strives to ensure the timely reconciliation of the control accounts. However, during the course of the year there are times where we are managing a number of priorities with limited resources and it is not therefore always possible.</p> <p>Samantha Lamb Senior Accountant – Target 2023/24 Financial Year</p> <p>UPDATE end June 2023: Reconciliation of control accounts form part of the monthly Performance File. A monthly deadline is now set during the weekly meetings with the Team for the Performance File, and any conflicting deadlines are discussed to ensure the Performance File is prioritised. However, there are times during the year such as preparation of the final accounts - resources are heavily weighted and therefore take priority over the Performance File.</p> <p>PROPOSED CLOSED</p>
“	Processes	4.3 Clear Double-Signature regarding Banking Deposit Transactions	<p>Housekeeping Recommendation: Leicestershire should ensure that all paying-in vouchers are clearly double signed, this is to ensure appropriate review of all received monies.</p> <p>Initial Management Response: The Team will be reminded of the need to ensure that the ‘Paying - In’ vouchers are signed by 2 members of the Team</p> <p>Jane Timms Financial Services Manager – Target 31st March 2023</p> <p>UPDATE end June 2023: The Team are regularly reminded that the paying-in vouchers need to be signed by two members of the Team.</p> <p>PROPOSED CLOSED</p>
COMMISSIONING SATISFACTORY ASSURANCE January 2023	Governance	4.1 Evidence of Governance Meetings	<p>Significant Recommendation: The Force should ensure that meetings of the Senior Management Team and Planner’s Meetings are appropriately minuted to evidence and support decision making.</p> <p>Initial Management Response: SMT will be routinely meetings are minuted and a decision log will be implemented to capture all decisions relating to approval of business cases. Planners meetings are informal pipeline meetings and therefore not a decision-making forum.</p> <p>Target - Immediately Head of Governance and Performance</p> <p>UPDATE end June 2023:</p> <p>I can confirm all our SMT meetings are minuted and have agendas. We have a forward plan, decision log and action log.</p> <p>I will have to check with our CEO if a set of these notes can be shared as I’m not sure they should go in the public domain - Lizzie Star Head of Governance and Performance</p>

			PROPOSED CLOSED
“		Governance <u>4.2 Corporate Governance Framework</u>	<p>Significant Recommendation: The Force should review the Corporate Governance Framework and update as appropriate. They should also ensure that the publicly available version is updated as well.</p> <p>Initial Management Response: Corporate Governance Framework is currently being reviewed.</p> <p>Target - March 2023 Chief Finance Officer</p> <p>UPDATE end June 2023: The Corporate Governance Framework CGF has been updated and is with the Commissioner to be reviewed. It will be going to the Chief Officer team in due course for consultation. The revised target date is 31st July 2023</p>
PARTNERSHIPS LIMITED ASSURANCE June 2023		Contract Governance <u>4.1 End of Contract Arrangements</u>	<p>Fundamental Recommendation: The OPCC should ensure that, as laid out in the Commissioning Strategy 2021-2024, a final exit/lessons learned stage is conducted for expiring contracts. This should involve consideration of the effectiveness of the provider in achieving the objectives of the partnership, the performance of the provider in relation to general procurement criteria, and lessons learned assessment. An effective audit trail should be maintained for this process, including a final decision regarding any decisions to re-commission the incumbent provider.</p> <p>Initial Management Response: Documents and process are in place but not currently used in existing contracts, going forward will plan in with providers at the start of all new contracts. The process will be implemented for expiring contracts and relevant dates will be set in place to plan for this.</p> <p>Target - Implemented by May 2023 Charlotte Highcock – Commissioning Manager</p> <p>UPDATE end June 2023: Contract management meetings will be in place for all quarters for all contracts by the end of July. The final quarter meetings are either a review of the previous year, if a multi-year contract, or if the contract has come to an end; a lessons-learned exit interview takes place with the provider. – update provided by CI Nicola Streets as the Commissioning Manager is currently away.</p>
“		Governance <u>4.2 Governance of partnerships</u>	<p>Fundamental Recommendation: The OPCC should ensure that for all Partnerships the governance arrangements are formally agreed. This should include but not limited to:</p> <ul style="list-style-type: none"> • Roles and responsibilities of all the partners. • Decision making powers • Funding arrangements • Regularity of partnership meetings

			<ul style="list-style-type: none"> • Performance measures for the partnership <p>Initial Management Response: WALL and LWA are direct contracts with the LA's and are therefore managed by them and outside the control of the OPCC. The OPCC has no role in their management and oversight and are not responsible for managing the risks relating to those 2 contracts. Governance arrangements for all DA partnerships are already formally agreed.</p> <p>Target: COMPLETED</p> <p>PROPOSED CLOSED</p>
“	Compliance	<u>4.3 Compliance agreements</u>	<p>Significant Recommendation: The OPCC should ensure that meeting and reporting requirements are clearly laid out in the contract/JWA. A standard terms schedule should be developed and applied to all partnership contracts, which include but not limited to; meeting requirements, contract management, exiting contract and arbitration for poor performance. The OPCC should maintain a risk register for any primary governance arrangements for all partnerships, which should be updated at each meeting and include seminal risks that would inhibit the stated objectives of the partnership or the wider objectives of the OPCC</p> <p>Initial Management Response: As above relating to the contract/JWA. A new risk register started April 2023 for CARA contract in line with new contract term.</p> <p>Target: June 2023 Charlotte Highcock – Commissioning Manager</p> <p>UPDATE end June 2023: The commissioning risk register is updated each quarter, unless any urgent issues arise where a more dynamic response is required. The new 2023/2024 contracts have KPIs within them that are managed on a quarterly basis with monitoring information and contract management meetings. This process will continue for all new contracts going forward and we will have additional support to manage this with an external consultant who will ensure that systems and processes are implemented. - update provided by CI Nicola Streets as the Commissioning Manager is currently away.</p>
“	Performance oversight	<u>4.4 Performance Monitoring</u>	<p>Significant Recommendation: The OPCC should ensure that they are provided with regular, timely and comprehensive reports and updates regarding the performance of providers associated with their partnerships.</p> <p>Initial Management Response: Performance framework due to be completed for commissioned services. Expectation of partners to be reviewed and clarified as above.</p> <p>Target: May 2023 Charlotte Highcock – Commissioning Manager</p> <p>UPDATE end June 2023: An external consultant has been commissioned by the OPCC to assist with the design and implementation of the performance framework and contract management system. The contract for</p>

			<p>this service lasts until the end of 2023. We are also supported by the OPCC performance team data analyst to provide practical solutions to monitoring of contract performance, which will be used for the quarterly meetings. - update provided by CI Nicola Streets as the Commissioning Manager currently away.</p>
<p>ENVIRONMENTAL STRATEGY REVIEW June 2023</p>	<p>Performance oversight</p>	<p><u>4.1 Environmental Targets & Outcomes</u></p>	<p>Significant Recommendation: (1) Once the Force has gained the capability to comprehensively measure its carbon footprint, it should ensure that SMART targets are set with milestones (e.g. 25% reduction in CO2e by 2030) for KPIs and outcomes within an action plan linked to or included in the Strategy. Initial Management Response: Accepted Peter Coogan - Head of Safety, Sustainability and Risk, Target March 2024.</p> <p>(2) Responsible persons / departments should be assigned for achieving outcomes within an action plan where possible. Initial Management Response: Accepted Enabling board, March 2024.</p> <p>(3) The Force should establish how delivery of outcomes will be effectively monitored. Initial Management Response: Accepted Enabling Board, March 2024.</p> <p>Recently finalised audit report therefore progress update will be provided at the next JARAP</p>
<p>“</p>	<p>Capability</p>	<p><u>4.2 Staff Education and Skills</u></p>	<p>Significant Recommendation: (1) The Force should ensure that an action plan is produced and linked to the Strategy detailing how the Force plans to educate and engage staff. Initial Management Response: Accepted Peter Coogan - Head of Safety, Sustainability and Risk, Target March 2024.</p> <p>(2) The Force should consider hiring an environmental officer to assist in the implementation of the Strategy. Initial Management Response: Accepted and currently being progressed Peter Coogan - Head of Safety, Sustainability and Risk, Target December 2023.</p> <p>Recently finalised audit report therefore progress update will be provided at the next JARAP</p>

“		Systems	<u>4.3 Environmental Management Systems</u>	<p>Housekeeping Recommendation: The Force should work towards implementing an Environmental Management System based on a recognised standard, such as ISO 14001. Alternatively, the Force should consider developing and documenting its own EMS, based on similar principles of existing standards.</p> <p>Initial Management Response: Accepted, the organisation will work to the structure of this EMS but has already decided not to adopt a formal EMS. Peter Coogan - Head of Safety, Sustainability and Risk, Target March 2024.</p> <p>Recently finalised audit report therefore progress update will be provided at the next JARAP</p>
“		Strategy	<u>4.4 Environmental Strategy & Policy Approval</u>	<p>Housekeeping Recommendation:</p> <p>(1) The Force should ensure that the Environmental Strategy is ratified as soon as possible.</p> <p>Initial Management Response: Accepted Enabling board, September 2023.</p> <p>(2) Once the Strategy has been ratified, the Sustainability Policy and Procedure should also be completed and ratified.</p> <p>Initial Management Response: Accepted Enabling Board, November 2023.</p> <p>Recently finalised audit report therefore progress update will be provided at the next JARAP</p>
“		Engagement	<u>4.5 Public Engagement</u>	<p>Housekeeping Recommendation:</p> <p>(1) The Force should review how they can best engage with the public.</p> <p>(2) The Force should also ensure that the environmental strategy is well publicised, for example, through the local media.</p> <p>Initial Management Response: Accepted Peter Coogan - Head of Safety, Sustainability and Risk, Target November 2023.</p> <p>Recently finalised audit report therefore progress update will be provided at the next JARAP</p>
“		Strategy	<u>4.6 Environmental Strategy Clarity</u>	<p>Housekeeping Recommendation:</p> <p>The Strategy Summary should be amended to provide a more concise overview of the key elements of the Environmental Strategy.</p> <p>Initial Management Response: Accepted Peter Coogan - Head of Safety, Sustainability and Risk, Target September 2023.</p> <p>Recently finalised audit report therefore progress update will be provided at the next JARAP</p>

<p style="text-align: center;">IT STRATEGY SATISFACTORY ASSURANCE July 2023</p>	<p style="text-align: center;">Strategy</p>	<p><u>4.1 Content of the DDaT Strategy</u></p>	<p><u>Significant Recommendation:</u> At the next annual review point for the DDaT strategy, management should include the following elements:</p> <ul style="list-style-type: none"> • A summary of current technology against current business objectives. • A list of all current suppliers and partners that will aid the IT strategy, as well as the strategy of these suppliers and how this aligns with the Force corporate strategy of the organisation. • IT resources (staff/skills, costs and budgeting). • ICT Governance covering governance boards/committees, policies, project and financial control arrangements. • Information security and information governance; and • Risk management to highlight risks that the strategy mitigates and those to the implementation of the strategy. <p><u>Initial Management Response:</u> Our goal is to ensure that the strategy is a document itself suitable for consumption by the Chief Officer Team, OPCC and wider stakeholders. Too much detail will detract from the key messages and themes of the strategy. But, it is accepted that we need to demonstrate how the current service portfolio supports the strategic business objectives of the force, that we have resources to maintain and enhance the service portfolio, and that we understand the role of suppliers and partners in the delivery. This information is maintained elsewhere and will be referenced, for the next revision of the strategy, with any relevant risks and issues brought forward into the strategy for action. Information security and information management issues, risk management issues will also be picked up in a separate documentation set, most likely the Force Management Statement (FMS), where key issues and risks are identified and addressed. Utilising the FMS format will reduce the need to create additional documentation sets. Governance arrangements of the force are changing, they will be documented elsewhere but referenced in the next version of the strategy when they have been agreed.</p> <p>Head of Information Technology April 2024</p> <p style="background-color: #e0f0ff; padding: 2px;">Recently finalised audit report therefore progress update will be provided at the next JARAP</p>
<p>“</p>	<p style="text-align: center;">Strategy</p>	<p><u>4.2 Assessment of broader OTOP initiatives which impact the DDaT Strategy</u></p>	<p><u>Significant Recommendation:</u></p> <ol style="list-style-type: none"> 1. The Force should assess initiatives from the OTOP to identify those that could hinder the planning and delivery of the IT Strategy, or that impact the strategy themes. A clear linkage between the DDaT and these initiatives should be defined, maintained and communicated. 2. At the DDaT Strategy's next update, initiatives driven by DDaT but included in the OTOP should be included in its scope supported by adequate justification. <p><u>Initial Management Response:</u> OTOP) programme, this will provide the force with a single work programme, ensuring that all projects with digital and data elements are identified and that there is</p>

			<p>one comprehensive programme. This work has already commenced post the audit. Any issues or risks identified for action with resultant tasks and projects are identified in the FMS and included in the OTOP</p> <p>Head of Information Technology April 2024</p> <p>Recently finalised audit report therefore progress update will be provided at the next JARAP</p>
“	Strategy	<u>4.3 Delivery of Strategy</u>	<p><u>Housekeeping Recommendation:</u> The Force should look to re-baseline the roadmap to allow for more realistic timelines in completing the initiatives or look to prioritise the completion of each project as stated in their roadmap.</p> <p><u>Initial Management Response:</u> The unified work programme will facilitate aligning all projects and tasks against force priorities and their relative scheduling</p> <p>Head of Information Technology April 2024</p> <p>Recently finalised audit report therefore progress update will be provided at the next JARAP</p>
ESTATES MANAGEMENT SATISFACTORY ASSURANCE July 2023	Stock control	<u>4.1 Stock Control Condition Surveys</u>	<p><u>Significant Recommendation:</u> Stock condition surveys should be completed for the overdue buildings as soon as possible and survey completion dates should be agreed where not in place.</p> <p><u>Initial Management Response:</u> Agreed. The surveying of buildings got behind due to COVID. When this period was over, we lost our Electrical Engineer so still we were unable to carry out the surveys. This post is still vacant and will remain so for some months. When this post is filled the surveys will resume.</p> <p>Target: Within 12 to 18 months [July 2024 – Jan 2025] Head of Estates</p>
“	Benchmarking	<u>4.2 Annual Benchmarking</u>	<p><u>Housekeeping Recommendation:</u> The Force should ensure that it participates in NPEG benchmarking this year and that the results are reported back to the relevant board such as the Estates Utilisation Board (EUB).</p> <p><u>Initial Management Response:</u> Agreed. The post of Office Manager left the organization a few weeks prior to the submission date for Benchmarking data for the previous year. This post has now been filled so we will be submitting the data for last year shortly.</p> <p>Target: This financial year 2023-24 Head of Estates.</p>
			END