

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

Paper
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Report of **CHIEF CONSTABLE and CHIEF FINANCE OFFICER (OPCC)**

Subject **INTERNAL AUDIT RECOMMENDATIONS AND TRACKING**

Date **WEDNESDAY 22ND JANUARY 2020 – 10:00AM**

Author : **ROY MOLLETT**

Purpose of Report

1. The following report provides the Panel with update progress responses from business owners in relation to internal audit recommendations awarded by external auditors Mazars.
2. Recommendations are reported in terms of priority as **Fundamental**, **Significant** and **Housekeeping** by Mazars; these priorities are highlighted as shown here.
3. The following table illustrates the number of outstanding and completed - Fundamental, Significant and Housekeeping recommendations for the Mazar's audits currently held.

Priority of Recommendation	Outstanding		Completed	Superseded	Total
	RED	AMBER	GREEN	GREY	
Fundamental	-	2	-	-	2
Significant	-	12	4	-	16
Housekeeping	-	1	-	-	1
Total	0	15	4	0	19

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

(a) Reporting to JARAP

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

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

- (c) A short annual report from Mazars on progress against the 'housekeeping' recommendations.
- (d) A chart/table indicating where the housekeeping recommendations have moved to as we move to the new process. Seven 'Housekeeping' recommendations have been omitted for consideration by SORB under the agreed reporting arrangements. These are listed at the end of Appendix A.
- (e) To close a recommendation that has been 'proposed closed' the update should state:
 - i. That the recommendation has been implemented.
 - ii. Evidence to prove that it is working successfully (facts and figures on dip-sampling etc).

Recommendation

- 5. For the panel to note the attached update on progress responses from business owners against the respective audit recommendations so far.
- 6. Where business owners have provided an update proposing closure these now require the agreement of the panel to close; there are 4 recommendations proposed closed.
- 7. Progress - For ease of reference the recommendations at Appendix A attached have been individually graded as follows down the left-hand column of the table:
 - I. **RED** – Outstanding and Exceeding the Target Date.
 - II. **AMBER** – In Progress and Within the Target Date.
 - III. **GREEN** – Completed and closed.
 - IV. **GREY** – Superseded / Not Adopted

Implications

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

List of Appendices

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

Background Papers

N/A

Person to Contact

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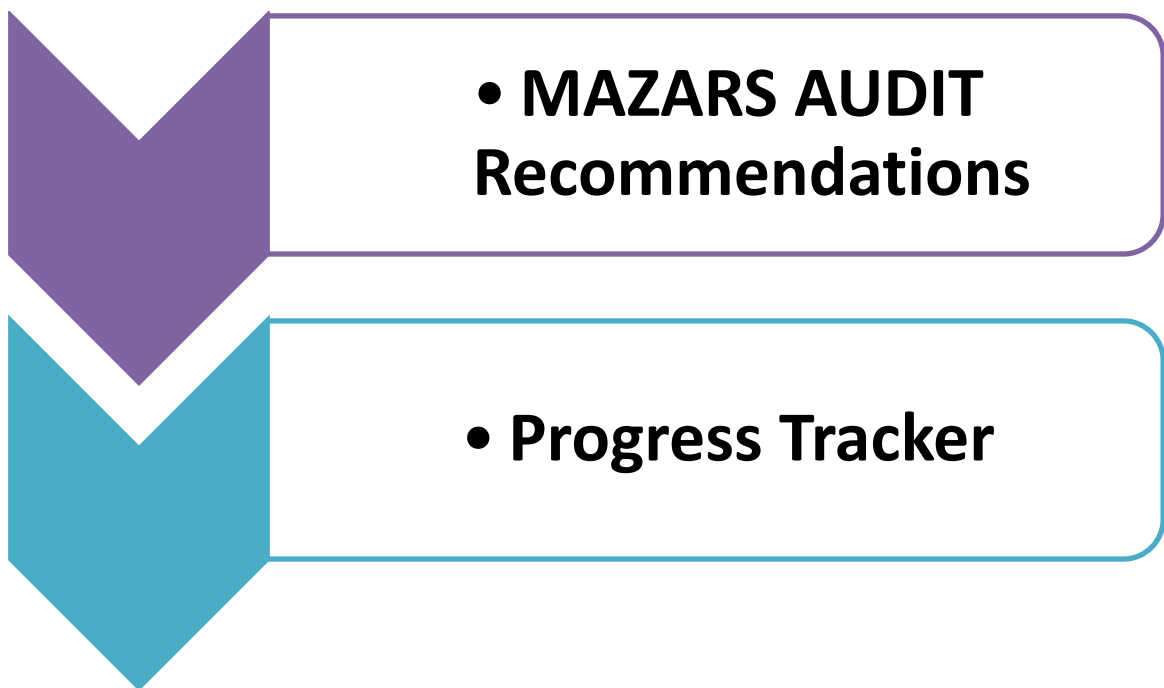
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	SEIZED & FOUND PROPERTY – LIMITED ASSURANCE		March 2018
	FUNDAMENTAL: 1	SIGNIFICANT: 4	HOUSEKEEPING: 2
AMBER	Fundamental – 4.1 Missing Firearm		
	Where missing firearms are identified and are being investigated, the property management system should be updated to reflect this. Management should investigate the location of the other missing firearm, update the property management system and review the reason for the discrepancy.		
	Person Responsible and Implementation Target Date: See below		
	Security Jez Leavesley End March 2018 excluding CCTV end June 2018 Revised target date June 2019		
	Training Amie Peplow/Shruti Pattani March/Sept 2018 Revised date June 2019 Revised to October 2019		
	Enforcement Jez Leavesley/Amie Peplow March to Sept 2018 Revised target date December 2019		
	Initial Management Response: One identified firearm (of 2 highlighted) - KiM had not been updated to reflect a new OIC (see response to 4.6) and also with the reason for removal from the temp store. This discrepancy would have been found by the monthly diarised internal audit process and rectified.		
	The second firearm was a BB gun. It was transferred to the main store at Keyham Lane and disposed of using the gun cutter on 7th Nov. KiM had not been updated, This issue has been raised with the couriers and property team. The process is being reviewed.		
	The force is working tirelessly to improve its evidential property management and has made numerous significant changes over the last 12 months including a new staff structure and dedicated posts. 9 new procedures have been introduced over the last year, however we acknowledge that		
	these significant improvements need further embedding within training and staff culture. The audit also came in the middle of significant procedural changes to both the PMS (Property Management System-KIM being replaced by NICHE) and also improvements to the Temporary Stores early 2018.		
	The force acknowledges and was already aware that currently the temporary stores are vulnerable for property removal without PMS update. The system is reliant upon officers (per procedure)		
	updating (currently) KiM PMS (due to be replaced by NICHE in March 2018) with all property movements. This is the case with the firearms outlined. The force had recognised this and is currently investing £43k in upgrading the temp stores now, which will be online end of March 2018.		
	The investment includes:		
	Security		
	1) New ammunition cabinets separating firearms from ammunition		
	2) New x plan locks on firearms/ammunition safe keys allowing audit of keys. Xplan locks (auditable) are already on all main temp store doors		
	3) New shelving colour coded to assist staff in correctly placing items and interior design and new signage. Warning signs to be introduced		
	4) CCTV in temporary stores to monitor activity/deterrent.		
	5) Introduction of NICHE property to replace KiM PMS in March 2018. This will link all property to incidents and allow easier tracking of individual items, also making it easier for officers to update property movement. However, individual compliance requirements by the officer will remain.		
	6) Temp stores w/e March the responsibility of new courier roles, currently the responsibility of LPD volunteers. This will tighten internal temp store procedures and provide clear ownership		
	7) Intro of the evidential. property audit procedure (Nov 2017) allows for much quicker identification of issues. These discrepancies would have been found in the audit the following week.		
	Training		
	8) i NCALT package for new PMS		
	ii NICHE property reinforces key messages		
	iii Probationer training package being reviewed and input		
	iv New training videos being prepared		
	v Experienced officer inputs		
	Enforcement		
	9) Proposal to include property on new force performance dashboard		
	10) Above to include performance monitoring?		
	11) Officer verbal warnings process to be introduced by Evidential Property Manager		
	12) Officer verbal warnings process to be introduced by Evidential Property Manager		
	13) Tighter in house management through evidential courier role		
	Update June 2018: Actions completed highlighted in green: 1, 2, 3, 5, 6, 7, 8i, 8ii, 11, 12, 13.		
	Work In Progress: 4, 8iii, iv, v, 9, 10,		
	Update August 2018: 8iv completed. 4) CCTV quotes being obtained. Work in progress for 8iii,v, 9,10.		

4.1 Missing Firearm... Continued

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

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

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

- i. An issue is brought to the attention of the Evidential Property Supervisor. The issue is usually flagged via a weekly audit review or by the daily collections from the Temp Evidential Stores by the Evidential Property Couriers.
- ii. The issue is risk assessed in terms of seriousness. If it is a minor breach of procedure it is dealt with by the Supervisor who liaises directly with the staff members' supervisor to bring the matter to a conclusion.
- iii. If it is a more serious matter then the Evidential Property Supervisor brings the issue to the attention of the Evidential Property Manager. Cash/firearms/drugs issues are always dealt with as serious matters.
- iv. The manager assesses the issue and either deals directly or informs PSD who would then take the investigative lead.
- v. If the manager deals directly, she initially contacts the officer/staff members' manager to request a local investigation of the issue. A report response is required. The large majority of issues are dealt with satisfactorily at this point, with the officer/staff members' line manager giving words of advice, PDR consideration etc in line with standard reprimand procedures. Unsatisfactory results at this point (to be honest rare) are referred to either PSD or for senior management consideration/intervention.

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

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

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

Aimee Peplow has advised the training consist of:

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

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

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

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

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

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

4.1 Missing Firearm... Continued

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

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

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

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

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

Update April 2019:

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

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

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

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

Update May 2019:

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

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

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

JARAP 17.05.19 Action Recommendation 4.1 sections 8iii and 8v and recommendation 4.4 - the only remaining sections iii and vi both cover Probationer training and experienced officer inputs. Confirmed that they have been amalgamated and taken forward with updates under 4.1 to avoid duplication.

UPDATE July 2019:

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

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

- An interactive Learning Portal is in the process of being created by Learning and Development (L&D). So far they have designed and created two modules, particularly in relation to Packaging and Temporary Stores. However, progress on this has slowed due to screenshots of Pronto not yet being available. The portal cannot be completed until the L&D team have an idea of what Pronto will look like; this will be resolved shortly.
- The Classroom based inputs have been observed and the new content needs to be mapped out and agreed. From initial observations, it is felt that this will not be as simple as originally anticipated. Currently, Student officers are provided with very short inputs and in some cases shortcuts in relation to Property and there is a great deal of work yet to be completed around really getting this right.
- Two Niche Property NCALT Packages have been mandated again with monthly reports on participation; these continue to be circulated to Department Heads to increase the uptake. Compliance is currently around 50%.
- Complimentary force intranet communications messages have been published in relation to the new Tigers Place Temporary Store opening and the new Evidential Property Archives Centre EPAC. This was identified as an opportunity to highlight good practice and promoting PRONTO as a tool that brings efficiencies for officers i.e. centralising the process in one place to create and manage property.

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

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

- The force has been working closely with other colleagues in the region with similar challenges, namely Nottinghamshire police and Northamptonshire police with a view to developing a suitable software search facility [Boxi software search facility]. This is ongoing.
- The imminent Force adoption of the Power BI software package now provides an opportunity to deliver a bespoke performance dashboard to help deliver reliable data to aid reporting and governance – timeframe for Power BI is end of July/beginning of August.

Update August 2019:

- 4. CCTV** is currently being installed into all temporary stores and this work will be completed by end of August. The equipment will record both video and audio. This action is almost complete.

8iii/v. Probationer/officer training. No further progress. See July update above

9 & 10 Performance Dashboard. The Specialist Support Directorate are progressing a new dashboard and have made some progress since July with a draft run completed; this is considered work in progress.

Update October 2019:

- 4. CCTV** in all Temporary Evidential property Stores is now completed and operational

8iii/v. Probationer/officer training. Amie Peplow - Manager Evidential Property and Archives Team (EPAT) and Sophie Law [Evidential Property Team Leader] met with Rob Chamberlain a Core Trainer from Learning and Development (L&D); Rob is in the process of amending and adapting the classroom based training input. The first COHORT of Officers will have an input from the EPAT on the 22nd November 2019. Amie Peplow arranging a meeting with Mark Bradshaw who runs the Tutors course. This is to ensure that an input around Evidential Property will be covered in the Tutors Course. L&D have created the first draft of the Evidential Property Training Website. This should be signed off and live by the end of October 2019.

9 & 10 Performance Dashboard. The data that has been provided so far is not accurate. Amie Peplow is liaising with Chris Newbold Principle Performance Analyst to provide a new set, so it can be checked for its accuracy – expected November 2019.

Update November 2019:

4. **CCTV** in all Temporary Evidential property Stores is now completed and operational. **Completed and considered closed**

8iii/v. **Probationer/officer training.** Evidential Property and Archives Team (EPAT) manager & team leader met with a Core Trainer from Learning and Development (L&D); Trainer has now amended (1st draft) and adapted the classroom based training input. The first COHORT of Officers will have an input from EPAT on the 22nd Nov 2019. EPAT Manager meeting with Tutors course trainer. This is to ensure that an input around Evidential Property will be covered in the Tutors Course.
L&D have created the second draft of the Evidential Property Training Website. This should be signed off and live by the end of October 2019. **On track.**

9 & 10 Performance Dashboard. Data provided so far is not accurate. Liaison on-going with Principle Performance Analyst to provide a new set, so it can be checked for its accuracy – expected November 2019. Issue is timeliness of data from Performance Review. Data was last provided in July 2019. **Work in progress.**

Update December 2019:

8iii/v. **Probationer/officer training.**

- Training material for Specials has been reviewed with L&D and implemented
- Training material for new recruits has been reviewed with L&D and implemented
- Training material for Staff has been reviewed with L&D and implemented
- The first COHORT of new recruits will be attending the EPAC for an input on the 22.11.19. This was cancelled by L&D. Next COHORT is expected in the New Year. Information booklet has been produced by the Evidential Property Team Leader and will be handed out to all new starters.
- The new learning portal is now live. So far the communications approach has been via latest news and L&D during the previously mentioned training inputs.
- Evidential Property Guidance Portal in situ and available to all personnel through the Force Intranet to provide advice on policy and procedure.

http://hq95t029/adw/emrnl&d/learning_portal/assets/evidential_property/index.html



- A presentation highlighting the main training areas has been created for the Target Operating Model TOM training inputs. Insp Baraclough Local Policing Directorate is leading on this.
- The portal will be communicated at the new TOM training inputs by Insp Baraclough.
- The EPAT will signpost the portal to those who require training/guidance

Considered Complete

9 & 10 Performance Dashboard.

- Input from the Performance Analyst Team is required. I understand that the team have a high work load at present, which has meant that they are not able to focus their efforts on the accuracy of the data and the presentation of the data. It is anticipated that this will be addressed and delivered early in 2020.

Work in progress with expected delivery and completion in early 2020.

	VICTIMS CODE OF PRACTICE – SATISFACTORY ASSURANCE	January 2017
	FUNDAMENTAL: 0	SIGNIFICANT: 2 HOUSEKEEPING: 1
AMBER	<p>Significant – Communication with Victims 4.3</p> <p>The Force should implement an appropriate process to ensure that each victim receives a written acknowledgement of the crime they have reported. This should include the basic details of the offence and confirmation of the communication with the victim should be recorded on the Niche system.</p> <p>Implementation Target Date: revised date October 2019</p> <p>Person Responsible: D/Supt Jonny Starbuck</p> <p>Initial Management Response: January 2017 The Force is in the process of signing up to the Track My Crime system, an online service provided by the Ministry of Justice for victims of crime and an innovative new way for the police to communicate with the public, which will make improvements in this area.</p> <p>Update February - November 2017: Due to Niche testing delaying implementation, this recommendation will be adopted but the implementation has been put back to allow a more realistic timeframe.</p> <p>Track My Crime is awaiting Information sharing ratification and once this is confirmed an implementation plan and date will be set and contracts with MOJ signed. This is now likely to be 1st July 2017.</p> <p>Chief Constable has signed TMC contract and now awaiting MOJ information to commence implementation; PCC briefed accordingly.</p> <p>Track My Crime was discussed at the last Demand Board which resulted in a meeting with key stakeholders to discuss implementation which took place on 7th November 2017. An options paper for TMC will be presented to the next demand board on 20th December.</p> <p>Update June 2018: It is recognised that the force needs to continue driving the compliance around the victim codes of practice and as such a victim codes of practice working group has been formed to look at best practice and address issue as they arise. As a result of these meetings the group identified that victims and officers were not always best equipped with the relevant information to ensure appropriate interaction which would result in the agreeing of in effect a crime contract between the victim and Leicestershire Police. A booklet currently used by Northants Police offered a solution to this issue and work has been undertaken to develop this booklet for Leicestershire officers so they are equipped appropriately and can supply victims with all necessary and relevant information. The force will also look to instigate the use of the following campaign:</p> <ul style="list-style-type: none"> • Leicestershire CARES - This is a simple mnemonic campaign to assist officers remembering what is important and to allow managers to drive home the message. This work is being delivered by DI Hubbard and DS Kate Beel. <p>It is also worthy of note that Pronto will also offer opportunities to improve compliance around VCOP if managed appropriately as will the use of Track my Crime which is being explored via the online crime project team being run by Natalie Profit.</p> <p>It should be the aim of the force to enter into a crime contract with all victims of crime which is both appropriate, viable and proportionate to the crime being investigated and the use of electronic communications will assist officers and victims with this process and as such the force will look to shift communication to electronic formats allowing contact to be initiated when either party is unavailable.</p> <p>Update August 2018: VCOP meetings have now reconvened and will be held monthly with representatives from all Force departments. Next meeting scheduled for 03.09.2018. D/Supt Starbuck is chair. Face to face crime queue reviews (between Supervisors and investigators in the NIUs) are now being re-embedded in working practices. They will focus on VCOP compliance, ensuring that updates are being given in agreed timescales with the victim as well as being recorded on the correct OEL within the occurrence. Messages have gone out Force wide to all Supervisors in relation to responsibilities under VCOP and a simplified power point sent for dissemination to staff.</p> <p>Crime desk staff are currently supplying details of crime numbers to victims on all occasions either through SMS or telephone call. 5 crimes per each member of staff are dip sampled monthly by Supervisors to ensure compliance. <u>Ongoing tasks:</u></p> <ul style="list-style-type: none"> • Detective Inspectors have been tasked with dip sampling 10 crimes per NIU per month to ensure VCOP compliance is embedded. The result will be factored into the IMM performance document and scrutinised at the monthly performance meeting chaired by D/Supt Starbuck. Target date to be fully embedded is November 2018 • Re-embedding of Face to face crime queue reviews (between Supervisors and investigators in the NIUs) – target date is November 2018 	

Communication with Victims 4.3 Continued...

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

Communication with Victims 4.3 Continued...

Update May 2019:

Despite all the work completed to embed VCOP in processes and culture, the change to SOH and some emerging technological issues with Niche have caused problems requiring further work and scoping.

Two new challenges:

1 – change from force website to SOH means the VCOP booklet that was embedded in the hyperlink everyone uses now longer works (because the hyperlink points to the now defunct old force website)

Request sent to the SOH national working group on 03/05/19 for the link to be reinstated into the force website. In the interim the SMS template changed to go to the SOH Victim page which still provides the victim with information regarding the crime justice process, Victim First and a VPS.

2 – VCOP data entered on Pronto is not transferring effectively to Niche, making Niche appear defective in terms of VCOP compliance.

Dan Granger has liaised with the Niche team on 02/05/19 where this issue was confirmed. Further tests to be carried out to see what the percentage of the failure is for Niche/Pronto VCOP creations are to assess further.

Timescales at present are:

Baseline audit – by the end of June.

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

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

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



VCOP Audit -

- **Recommendation – Further communications to officers regarding the importance of compliance in this area, supported by further audit with additional analysis around units / teams / individual performance for targeted feedback and additional training requirements.**
- **Timescale – (1) Further communications to force by 31/7/19 (2) Further audit by 30/11/19 thereby allowing for 90 day period for communications to take effect**

Update August 2019: DSP Starbuck has asked that I give you a short update regarding the recommendation to further communicate with officers around the importance of VCOP by 31st July and then a follow up audit in Nov 19. - T/DI Esther Scott

Communication with Victims 4.3

The Force should implement an appropriate process to ensure that each victim receives a written acknowledgement of the crime they have reported. This should include the basic details of the offence and confirmation of the communication with the victim should be recorded on the Niche system.

The force has a SMS that gives each victim their crime number and embedded in the text is the link to both Victim First and that of the Victim Booklet. The Crime Bureau send these texts if no email is known to share the same information that is sent by email. The process described is already in place and working.

As part of the refreshed comms which had been set for 31/07/19, a further snippet of video has been commissioned with Corp Comms to show all officers who create a crime occurrence, how to send the SMS. This will then give coverage for all victims to have a written crime number, details of the Criminal Justice

process and sign posting to other victim services. This will include the need to update Niche that this has been completed.

- 1) Timeframe for the refreshed comms to all officers is still to be set but I would expect within the next 4wks.
- 2) Further audit by 30/11/19, allowing for 90 day period for communication to take effect

Update November 2019:

1) Refreshed and developed communications through the use of a video for officers. This demonstrates and highlights to officers the importance and value of sending an SMS with the crime reference number to the victim. In addition - embedded within the SMS is the link to the Victims Booklet which also explains and provides victims with information related to the criminal justice process - (completed 24/09/19).

The following Key Message were agreed with ACC Debenham to be circulated with the Video:

Important key messages that have been provided for personnel:-

The victim code is about delivering a high quality professional service to victims of crime.

To do this we need to understand the victim's needs, provide them with information about the CJS and keep them updated with the progress of their case.

We are still not getting this right first time.

You have got to do the following 4 things to meet the requirements of the victim code:-

1. *Give victims a physical victim information booklet or give them an electronic message that contains the link to the booklet. Whichever route you take, note their crime number on the booklet or in the message.*
2. *Carry out a needs assessment when taking their report of crime, by identifying and recording:*
 - *the method and frequency of updates required*
 - *what category of victim they are (drop down menu on Niche)*
 - *if the victim needs an interpreter*
 - *if the victim requires victim support (by updating their wishes on Niche, it automatically refers for you)*
3. *Put a **victim code OEL** (not just a standard OEL) on Niche to record what you've done and what you've agreed. Follow the template to ensure you don't miss anything.*
4. *Keep your victim updated in line with the agreed assessment, recording each contact on a victim code OEL.*

Officers are directed to the short video clip outlining how they can use the template SMS on the intranet to help meet a lot of the above requirements.

Timescales for delivery - Early November 2019

2) It is confirmed that a further audit has been commissioned for November 2019 to check performance in relation to the level of compliance.

Update December 2019

The November audit has been completed and the following are the highlights within the report which is also embedded further below:

- The number of reports available for the sample audit was significantly larger than the last audit, therefore there was more crime under investigation (23271 to 27261, increase of approx. 15%).
- While the 'quantity' of the completed VCOP's is virtually static, the 'quality' of them has significantly improved.
 - ~ Significant increase in the number of people signposted to support services and the expectations of criminal services explained to them.
 - ~ Significant improvement in the completion of the 'needs assessment'.
- There is still a shortfall on the mandatory completion of a VCOP on Niche which is not as expected as Pronto mandates completion of a VCOP. This has raised a number of questions - Why is this not reflected in the

results? Have officers found a way past it? And if so, how can we stop it? Further work is required to understand why this is possible.

- The explanation of the Victim Personal Statement is not being recorded. The two places being looked at under the audit are the MG11b and the Victim Update OEL template at the closure of the crime. A VPS would not be relevant if the case does not go to court.
- The VPS is explained in the Victim Booklet. If it is recorded that the Victim Booklet has been shared via email, SMS or physical copy, then it is compliant.
- Where the 28 days have fallen down, the overarching areas are those where the OIC is waiting for other 'things' to be returned i.e. forensics/phones etc. Officers can record an agreement with the victim that they will only be in touch when there is a significant update which will make that compliant.

Now that the audit is completed, the message agreed by COT can be circulated by DSP Starbuck to encompass the overarching message of how compliance can be covered by the SMS, Email or Physical copy of the Victims Booklet. In addition, the positives can be drawn out of the audit to give positive feedback in relation to the 'quality' of the Victim Contact that officers have been achieving.

Work in progress with expected date of completion in early 2020.



VCOP Audit Report-
November 2019.docx

Significant – Providing Information to Victims 4.4

In line with the Communication with Victims recommendation above, the Force should ensure that it provides victims of crime with information on what to expect from the criminal justice system in line with the VCOP. Consideration would be referral to online information through the email and text communications it sends to Victims.

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

Person Responsible: D/Supt Jonny Starbuck

Initial Management Response: January 2017

As per comments above, the Track My Crime system is designed to signpost victims to more information. The initial communication that is sent to victims should include direction to the Force website where the information is stored. Once the implication of Track my Crime are known this will be reviewed.

Update February 2017:

At the February meeting of the VCOP improvement group this recommendation was adopted and on-going work with the behavioural change team has commenced to roll out additional material at the implementation of Online recording and Track My Crime.

Update August 2017: Following Force Priority planning meetings Confidence and Satisfaction, including VCOP, is now a Force priority. A development plan incorporating several inter-dependant areas and this work in particular has been devised with ownership as above.

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

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

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

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

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

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

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

Ongoing tasks:

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

Providing Information to Victims 4.4 Continued...

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

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

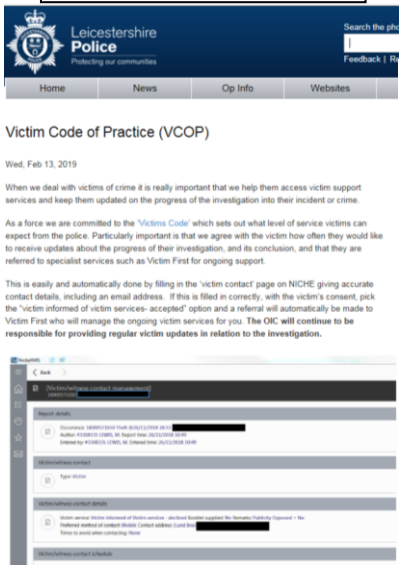
The decision has been made at the Design Authority on the 17th September not to progress with Track My Crime TMC.

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

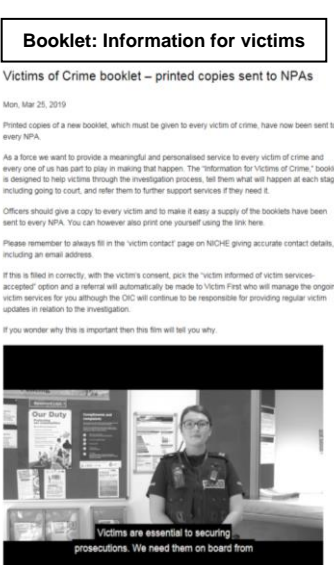
Crime desk staff are currently supplying details of crime numbers to victims on all occasions either through SMS or telephone call. 5 crimes per each member of staff are dip sampled monthly by Supervisors to ensure compliance.

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


DCC's Intranet message



Booklet: Information for victims



Force Website: Information for Victims



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

Physical copies are currently being printed with Force Reprographics.

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

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

Update April 2019:

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

Update July 19 – An appropriate and simple method of complying with this requirement is in place. The victim care booklet exists in physical and digital form (the latter was originally hosted on the force website but with the introduction of Single Online Home, has been transferred to the Victim First website). The link to the electronic booklet, along with physical copies, have been distributed to all officers and stations supported by a comprehensive communication package. An automated audit was completed by Corporate Services in June 2019. The audit indicated that officers were only compliant in 26.9% of cases (that is, the occurrence report was either endorsed that a booklet was supplied or that the victim was signposted to the electronic version on the website)

- **Recommendation – Further communications to officers re importance of compliance in this area, supported by further audit with additional analysis around units / teams / individual performance for targeted feedback and additional training.**
- **Timescale – (1) Further communication to force by 31/7/19 (2) Further audit by 30/11/19 thereby allowing for 90 day period for communication to take effect**

Update August 2019:

Providing Information to Victims 4.4

In line with the Communication with Victims recommendation above, the Force should ensure that it provides victims of crime with information on what to expect from the criminal justice system in line with the VCOP. Consideration would be referral to online information through the email and text communications it sends to Victims.

As above -

The force has a SMS that gives each victim their crime number and embedded in the text is the link to both Victim First and that of the Victim Booklet. The Crime Bureau send these text if no email is known to share the same information that is sent by email. Where neither email or SMS is available, physical copies of the Victim Booklet is available to send/hand to victims.

As part of the refreshed comms which had been set for 31/07/19, a further snippet of video has been commissioned with Corp Comms to show all officers who create a crime occurrence, how to send the SMS. This will then give coverage for all victims to have a written crime number, details of the Criminal Justice process and sign posting to other victim services. This will include the need to update Niche that this has been completed.

- 1) Timeframe for the refreshed comms to all officers is still to be set but I would expect within the next 4 weeks.**
- 2) Further audit by 30/11/19, allowing for 90 day period for communication to take effect**

Update November 2019:

1) Refreshed and developed communications through the use of a video for officers. This demonstrates and highlights to officers the importance and value of sending an SMS with the crime reference number to the victim. In addition - embedded within the SMS is the link to the Victims Booklet which also explains and provides victims with information related to the criminal justice process - (completed 24/09/19).

The following Key Message were agreed with ACC Debenham to be circulated with the Video:

Important key messages that have been provided for personnel:-

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1. Give victims a physical victim information booklet or give them an electronic message that contains the link to the booklet. Whichever route you take, note their crime number on the booklet or in the message.

2. **Carry out a needs assessment when taking their report of crime, by identifying and recording:**
 - *the method and frequency of updates required*
 - *what category of victim they are (drop down menu on Niche)*
 - *if the victim needs an interpreter*
 - *if the victim requires victim support (by updating their wishes on Niche, it automatically refers for you)*
3. **Put a victim code OEL (not just a standard OEL) on Niche to record what you've done and what you've agreed. Follow the template to ensure you don't miss anything.**
4. **Keep your victim updated in line with the agreed assessment, recording each contact on a victim code OEL.**

Officers are directed to the short video clip outlining how they can use the template SMS on the intranet to help meet a lot of the above requirements.

Timescales for delivery - Early November 2019

2) It is confirmed that a further audit has been commissioned for November 2019 to check performance in relation to the level of compliance.

Update December 2019

The November audit has been completed and the following are the highlights within the report which is also embedded further below:

- The number of reports available for the sample audit was significantly larger than the last audit, therefore there was more crime under investigation (23271 to 27261, increase of approx. 15%).
- While the 'quantity' of the completed VCOP's is virtually static, the 'quality' of them has significantly improved.
 - ~ Significant increase in the number of people signposted to support services and the expectations of criminal services explained to them.
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- There is still a shortfall on the mandatory completion of a VCOP on Niche which is not as expected as Pronto mandates completion of a VCOP. This has raised a number of questions - Why is this not reflected in the results? Have officers found a way past it? And if so, how can we stop it? Further work is required to understand why this is possible.
- The explanation of the Victim Personal Statement is not being recorded. The two places being looked at under the audit are the MG11b and the Victim Update OEL template at the closure of the crime. A VPS would not be relevant if the case does not go to court.
- The VPS is explained in the Victim Booklet. If it is recorded that the Victim Booklet has been shared via email, SMS or physical copy, then it is compliant.
- Where the 28 days have fallen down, the overarching areas are those where the OIC is waiting for other 'things' to be returned i.e. forensics/phones etc. Officers can record an agreement with the victim that they will only be in touch when there is a significant update which will make that compliant.

Now that the audit is completed, the message agreed by COT can be circulated by DSP Starbuck to encompass the overarching message of how compliance can be covered by the SMS, Email or Physical copy of the Victims Booklet. In addition, the positives can be drawn out of the audit to give positive feedback in relation to the 'quality' of the Victim Contact that officers have been having.

Expected date of completion – Early 2020.



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Housekeeping – Needs Assessment 4.5

The action group should look to implement a consistent procedure for recording the needs assessment of victims in Niche. They should consider a process map that shows how needs assessment should be recorded dependent on the situation.

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

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

Initial Management Response: January 2017 A process map that documents the process of VCOP compliance for needs assessment would be a useful tool and will be considered by the Action Group.

Update February 2017: At the February meeting of the VCOP improvement group this recommendation was adopted and on-going work with the behavioural change team has commenced to roll out additional material at the implementation of Online recording and Track My Crime.

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

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

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

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

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

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

Ongoing tasks:

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

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

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

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

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

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

Update April 2019:

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

Next steps:

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

Update July 19 – An appropriate procedure for recording Needs Assessments on Niche has been implemented. A process map was considered but deemed unnecessary as the Niche OEL template walks the officer through the process methodically. In the absence of definitive compliance criteria, Leicestershire Police considers a VCOP Needs Assessment complete if 4 key elements are present on the VCOP OEL. The elements are around preferred contact method, priority category, required update frequency and interpreter requirement. An automated audit was completed by Corporate Services in June 2019. Compliance rates are as follows:-

- preferred contact method – 79.3%
- priority category – 69.3%
- required update frequency – 85.8%
- interpreter requirement – 28.7%

It is inferred that a large amount of the non-compliance around 'interpreter requirement' is due to officers leaving the field blank when the victim has no need of one.

- **Recommendation – Further communications to force, thanking officers for efforts in areas where compliance is high and focusing attention on interpreter requirements**
- **Timescale – (1) Further communications to force by 31/7/19 (2) Further audit by 30/11/19, allowing for 90 day period for communication to take effect**

Update August 2019:

Needs Assessment 4.5

The action group should look to implement a consistent procedure for recording the needs assessment of victims in Niche. They should consider a process map that shows how needs assessment should be recorded dependent on the situation.

The introduction of Pronto crime recording has made this element of VCOP mandatory and all crime creators will have to fill in the following;

- preferred contact method
- priority category
- required update frequency
- interpreter requirement

It is expected that the compliance of the needs assessment to be nearer 100% in the next audit of all VCOP's created.

Included in the comms message will stress the mandatory nature of completing a VCOP and the need to be very specific in the recording yes/no box of the interpreter required.

- 1) Timeframe for the refreshed comms to all officers is still to be set but I would expect within the next 4 weeks.**
- 2) Further audit by 30/11/19, allowing for 90 day period for communication to take effect**

Update November 2019:

1) Refreshed and developed communications through the use of a video for officers. This demonstrates and highlights to officers the importance and value of sending an SMS with the crime reference number to the victim. In addition - embedded within the SMS is the link to the Victims Booklet which also explains and provides victims with information related to the criminal justice process - (completed 24/09/19).

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Officers are directed to the short video clip outlining how they can use the template SMS on the intranet to help meet a lot of the above requirements.

Timescales for delivery - Early November 2019

2) It is confirmed that a further audit has been commissioned for November 2019 to check performance in relation to the level of compliance.

The audit commissioned for Nov 2019 will check to see if Pronto has delivered the perceived results from the mandatory completion of VCOP at the initial recording of a crime.

Additional question sets have been embedded in the Confidence and Satisfaction Surveying of victims of crime to check directly with victims that they having their needs assessed effectively.

Update December 2019

The November audit has been completed and the following are the highlights within the report which is also embedded further below:

- The number of reports available for the sample audit was significantly larger than the last audit, therefore there was more crime under investigation (23271 to 27261, increase of approx. 15%).
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Expected date of completion – Early 2020.



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	CODE OF GOVERNANCE – SATISFACTORY ASSURANCE		June 2018
	FUNDAMENTAL: 0	SIGNIFICANT: 2	HOUSEKEEPING: 1
AMBER	Significant – 4.1 Approval of the Corporate Governance Framework <p>The Corporate Governance Framework should be reviewed, updated where appropriate, and approved by the Strategic Assurances Board. The Framework should then be reviewed on a regular basis.</p> <p>Implementation Target Date: 31 December 2018 revised to 31st March 2019 30th September 2019 31st December 2019 revised to 31st January 2020</p> <p>Person Responsible: Martin Henry Paul Dawkins – OPCC Chief Officer Finance</p> <p>Initial Management Response: Agreed. The Corporate Governance Framework will be reviewed and updated where appropriate.</p> <p>Update August 2018: This action is ongoing with the target date still expected to be achieved.</p> <p>Update November 2018: This action is ongoing with the target date still expected to be achieved.</p> <p>Update January 2019: It is currently anticipated that this recommendation will be completed by the target date.</p> <p>Update April 2019: The Corporate Governance Framework still needs to be reviewed and updated and this will not be completed within the timelines envisaged above. A new target deadline of 30 September 2019 is now being proposed.</p> <p>Update July 2019: It is still anticipated that the deadline will be achieved.</p> <p>Update August 2019: Due to personnel changes within the team the new target date of 31/03/2020 has been proposed.</p> <p>Update October & November 2019: Paul Dawkins ACO / Chief Finance Officer has agreed with Paul Hindson (OPCC CEO) that this will be refreshed by 31 Dec 2019. Paul Dawkins and Paul Hindson to progress.</p> <p>Update December 2019: The Corporate Governance Framework has been reviewed and updated where necessary. It has been circulated for consultation and consideration. Once agreed the Framework will then be reviewed on a regular basis.</p>		
	FLEET MANAGEMENT – SATISFACTORY ASSURANCE		September 2018
	FUNDAMENTAL: 0	SIGNIFICANT: 4	HOUSEKEEPING: 1

Significant 4.2 Sample Check of Service Details

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

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

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

Person Responsible: Civica and Nick Carvell - Head of Transport

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

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

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

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

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

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

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

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

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

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



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Leicestershire Police



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Leicestershire Police

Update May 2019: This will be delayed until the revised mileage feed from iR3 has been tested and implemented and the new versions of Tranman Scheduler and Tranman Electronic job cards have been introduced. There will be significant changes to the way vehicles are scheduled, revisions to service patterns and changes to the way job cards are processed using tablets rather than paper. This is a huge change to the way things are being done presently. It will take at least 6 months to fully implement. Expected date for the new system to be fully operational and samples of jobs to be taken will be around October 2019

Process to introduce the revised modules have been delayed after the Civica training manager and account manager left the business. Significant revisions to servicing schedules required – work to be completed by senior mechanics but work load impeding their ability to complete.

Agreed at TUB that a formal process is not required. Fleet renewal is planned and presented at TUB and approved through that meeting. Standard replacement is viewed as BAU.

Update July 2019: Revisions to the service scheduling are still in progress after a bespoke service scheduling module was purchased for the Tranman system. TU are working with IT and Civica to introduce the scheduling process. This will refine the servicing process as we align the service regimes to the manufacturers' recommendations. This will reduce some servicing work which is currently carried out potentially unnecessarily. It will also create an advance service schedule – allowing better management of VOR (vehicle of road) increasing utilisation of police fleet. It will also clearly define the service content and make-up providing increased control of work carried out. This will make checking work quality/and conformity much easier in line with this particular objective.

Alongside this is the introduction of electronic job cards will reduce paperwork and administration and provide simpler, easier to access information on service and repair. We are in the process of rolling out the scheduler and electronic job card modules with Civica. It is anticipated that this will take 6-8 months from now as the feed of iR3 (vehicle tracking info) needed to be fed into Tranman. Expected to be operating the new scheduling and electronic job card system from 2020/21 FY. At this point, regular sampling can be carried out to ensure compliance.

Update August 2019: Revised service scheduling and job card process needs to be implemented. Work ongoing with the vehicle management system – Tranman with the supplier Civica.

These modules need to be launched and in place for some time before meaningful checks can be carried out. Rolling out of the modules and revising the service scheduling process is more complex than first considered.

It is expected that the system will be in place by the end of the 2019/20FY. A further 6 months would need to be allowed to ensure new processes were working correctly and producing meaningful data.

Completion of module integration into working practices - March 2020

Date extract of revised data

- October 2020

The new modules from Civica – part of Tranman system are critical to both of these deliverables.

We are realising the data required and process to get the modules working is far more involved than previously considered. I have therefore identified March 2020 for migration to using the new modules and a further 6 months to gain meaningful date.

Update November 2019: 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. Civica, the supplier of the Tranman system is working closely with the force to resolve what has turned out to be a more complex challenging programme of improvement. The work is ongoing and the target dates provided in August currently stand as achievable given the programme of development required.

Update December 2019: The Head of Transport met with the new account manager for Civica on 13th December. Due to changes at Civica in R&R's we were unable to meet the appropriate manager. There is an amount of work that needs to be done by the Traffic Unit to describe in detail the service schedules for every single type of vehicle we have. This is then put into a table that will be linked to Tranman to create the schedules.

The format we have been using has now been approved by Civica so we can progress the work to complete it. We have to wait for a project manager to be able to handle the data transfer and the work to enable use of the scheduler. The scheduler is key to changing the service operation and monitoring of performance. Due to these delays the expected go live date for scheduler is **September 2020**. The programme timeframe is as follows:

- **Completion of service data for Tranman March 2020**
- **Data transfer, user testing August 2020**
- **Implementation September 2020**

It will take some months after this to effectively evaluate the impact of the new system as it will bring with it changes to workshop loading and parts procurement, planning and management.

Meaningful data is not expected to be available until 2021 FY. Of course where this can be improved upon, it will be.

It is expected that bespoke performance reports will make the need for sample checks obsolete.

Significant 4.4 Performance Indicators

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

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

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

Person Responsible: Nick Carvell - Head of Transport

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

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

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

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

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

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



Insurance Repair
Status V1.xlsx



Vehicle Procurement
2018-2019 NICK Jan



Fleet P9 Budget
Monitoring v5.xlsm

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

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

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

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

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

Update August 2019: – Item 4.2 and 4.4 are directly linked. Delivery of 4.4 is dependent on 4.2.

Completion of module integration into working practices - March 2020

Date extract of revised data - October 2020

The new modules from Civica – part of Tranman system are critical to both of these deliverables. We are realising the data required and process to get the modules working is far more involved than previously considered.

I have therefore identified March 2020 for migration to using the new modules and a further 6 months to gain meaningful date.

Update November 2019: Item 4.2 and 4.4 are directly linked. Delivery of 4.4 is dependent on 4.2.

Ongoing work by the Head of Vehicle Fleet and the team to deliver improved service scheduling, job card processes and performance reporting via the Tranman system. Civica, the supplier of the Tranman system is working closely with the force to resolve what has turned out to be a more complex challenging programme of improvement.

The work is ongoing and the target dates provided in August currently stand as achievable given the programme of development required.

Update December 2019: Report update for November remains current and correct. Delivery of the new service scheduling module is critical to providing robust performance metrics. Details contained within 4.2 provide the timing for delivery of 4.4 Performance Indicators.

Work has restarted in delivering the new service scheduling module. Use of the tablets to improve the job card process has also been affected as Civica has changed the platform on which this sits. Revised tablets are now required. Work to deliver this module is underway and on track for delivery within the timescales set.

**GENERAL DATA PROTECTION REGULATION (GDPR) –
SATISFACTORY ASSURANCE**

February 2019

FUNDAMENTAL 1

SIGNIFICANT 0

HOUSEKEEPING 3

Fundamental 4.1 Implementation of Action Plan

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

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

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

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

Person Responsible: Steven Morris – Head of Information Management

Initial Management Response:

- (1) The information Management department will undertake a summary report of overall GDPR compliance for the DCC and SORB which will be ready by the next SORB (March approx).
- (2) The Info Asset Register is business as usual and is a long term work. A roll out plan has been formalised and will be presented to the DCC for approval. The plan now includes back office functions.

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

Update May 2019:

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

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

Update August 2019:

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



20190528-IM_GDPR
_Analysis_Report-O.docx

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

Update November 2019: Action 2 Two Staff members have been working to ensure that the corporate structure is embedded into the new database and this has been completed.

We are now undertaking a manual process of uploading all previous versions of the information asset register so that it is as up to date as it can be before launching a rolling programme of visits to departments.

The OPCC Information Asset Register has been used as a 'test' database and this is likely to be completed before the end of October and the lessons learned in its creation will be vital to roll out within the Force.

Advent IM (Private Company) have been approached for a quote to deliver Information Asset Owner training to all force business leads and information owners. This would enable training to be delivered quickly and efficiently and to a high standard (Advent IM have been used in other forces). **On track.**

Update December 2019: Action 2 - The skeleton information asset owner has now been created and the historic data has been added.

The OPCC asset register has been created, however further progress was delayed due to staff absence and the need to recruit a new records manager. The new records manager has now been recruited and will take up the appointment in the new year on the 6th January.

	<p>The aim is to have the Specialist Support Directorate (SSD) completed by 31st March and then complete other departments sequentially through a roll out programme.</p> <p>Advent IM have provided a quote for information asset owner training but there is preliminary work to do before they can come and deliver the training. The preliminary work is linked to updating our current assets so that the training is linked to practical examples and focuses on the asset owner's area of business. There is some anticipated slippage in this work as the records management team may be assisting with replicating Her Majesty's Inspectorate of Constabulary's (HMIC) crime recording audit connected to the Crime and Data Integrity (CDI) inspection last year and the resultant recommendations.</p>		
	PAYROLL – SATISFACTORY ASSURANCE		February 2019
	FUNDAMENTAL: 0	SIGNIFICANT: 1	HOUSEKEEPING: 2
AMBER	<p>Significant 4.1 Performance</p> <p>Effective monitoring and analysis of issues is key to driving performance and this should be resumed through use of the advances and overpayments spreadsheet. In addition to this, management should review the reporting capabilities of iTrent to enhance the level of analysis at a more granular level</p> <p>Implementation Target Date: 30th September 2019 revised target date March 2020</p> <p>Person Responsible: Alice Davis – Payroll Services Manager</p> <p>Initial Management Response: The new payroll system was not fully implemented until December 2018. The Internal Audit review took place in January 2019. During the implementation period resources were focussed on the implementation. The performance indicators on advances and overpayments are now up to date.</p> <p>As the payroll system is embedded the Payroll Services Manager will review the reporting capabilities within the new software to determine whether there is any additional performance information that can be produced.</p> <p>Update May 2019: The advances and overpayments performance monitoring through an Excel spreadsheet has resumed. Performance monitoring and reporting to the Head of Finance takes place on a monthly basis and performance reported averages are at the following levels - 99.34% for Advances and 99.89% for Overpayments.</p> <p>The Payroll Services Manager will be reviewing the reporting functionality of iTrent, the new payroll system. This review will ascertain whether there is any additional performance information to add value and support a high level of efficiency and effectiveness.</p> <p>Update July 2019: The Kier Payroll Consultant has spent some time explaining the various reporting/auditing functions available to the Payroll Services Manager and we are now exploring the possibility of using a more detailed audit function which may or may not have a cost attached – expected update by 31st August 2019.</p> <p>UPDATE August 2019: The payroll team provide services to both Leicestershire and Derbyshire through a collaboration agreement. Derbyshire has now confirmed what performance indicators it would like reported on regular basis. This will now be developed.</p> <p>Update October 2019: The over and underpayments spreadsheet is now being updated monthly. Derbyshire has confirmed that in addition to the over and underpayments analysis the only other reportable event required is in relation to complaints.</p> <p>The Payroll Services Manager has received from Kier (payroll provider) a summary of the reports available through the audit pack. Discussions continue on how these can be accessed by the Leicestershire Payroll Department.</p> <p>Update November 2019: The monitoring, analysis and reporting of any issues related to advances and overpayments has been resumed through the application of the advances and overpayment spreadsheet.</p> <p>The finance department has requested a price from KIER for the Payroll Services Manager to be able to directly access and report from the 'audit pack'. In the interim Kier can run any report we require and transfer the output to the Force via the secure data portal.</p>		
	<p>Update December 2019: KIER have set up the Audit Pack for the Payroll Services Manager and reports have been created in excel and for specific dates times they are easily identified.</p> <p>However to run reports for individual Users is proving more difficult and alternative options are being explored including manipulating data within excel spreadsheets – Work in progress within target date.</p>		

GREEN	PAYROLL PROVIDER – SATISFACTORY ASSURANCE		April 2019
	FUNDAMENTAL: 0	SIGNIFICANT: 2	HOUSEKEEPING: 0
	<p>Significant 4.1 Reporting of Quarterly KPIs</p> <p>The Force, in discussion with Kier, should review and amend the Quarterly KPIs that are in place. The Quarterly KPIs should provide sufficient transparency on the performance of Kier.</p> <p>Implementation Target Date: 31st May 2019</p> <p>Person Responsible: Ruth Gilbert Head of Finance and Alice Davis – Payroll Services Manager</p> <p>Initial Management Response: A meeting has been arranged with Kier on the 1st May to review the Service Level Agreement and KPIs.</p> <p>Update July 2019: The Service Level Agreement and KPIs have been reviewed, updated and agreed between the Force and Kier. The first quarterly KPI's period to be reported will be May 19 to July 19 inclusive with a performance meeting early September for review.</p> <p>UPDATE August 2019: The amended Service Level Agreement and KPIs are now being formalised through a contract variation note. The performance meeting has now been scheduled for the 9th October 2019.</p> <p>Update October 2019: The first report on the KPIs (May to August) has been received. Kier has asked to discuss these at the contract performance meeting on the 9th October 2019 prior to the contract variation note being finalised.</p> <p>UPDATE November 2019: The Force, in conjunction with Kier have successfully reviewed and developed a suitable suite of Key Performance Indicators (KPIs) and these now provide sufficient transparency on the performance of Kier. The KPIs were discussed at the Contract Performance Meeting on the 9th October 2019 and approved.</p> <p>The KPIs cover:</p> <ul style="list-style-type: none"> Accuracy of Payroll Payments Regulatory changes Resolution of calls to the helpdesk Number of calls to helpdesk escalated Availability of payroll system Attendance of supplier at contract performance meetings Accuracy of System Access / vetting reports delivered in accordance with the established schedule Pension scheme accuracy <p>Action in relation to this recommendation is now considered completed, therefore it is proposed closed – Paul Dawkins, Assistant Chief Officer (Finance & Resources) and Ruth Gilbert Head of Finance - Leicestershire Police.</p> <p>PROPOSED CLOSED</p>		
	SEIZED AND FOUND PROPERTY – SATISFACTORY ASSURANCE		May 2019
	FUNDAMENTAL: 0	SIGNIFICANT: 1	HOUSEKEEPING: 2

Significant 4.2 Officers and Property Officers Training

Although mandatory training has been introduced for new starters, refresher training and importance of Evidential Property Management should be regularly re-iterated.

The Force should work with the Officers to address any difficulties or confusion experienced by the officers with the process.

Implementation Target Date: (1) May 2020 (2) May 2020

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

Initial Management Response:

- (1) The auditor has correctly identified that training remains an issue with evidential property procedures. This issue has been highlighted by auditors previously and remains a cultural issue that persists and is taking time, despite numerous and continuing inputs using various formats.
- (2) Work has been progressing on training but project staff focus has been on the new EPAC build and remains so at this critical time. A training programme of work is in place but if training is to be prioritised then a training lead is required until the build/move completes late 2019.

The programme includes:

- 1) Mandatory Niche training
- 2) Pronto property module go live
- 3) An interactive Learning Portal
- 4) Revised classroom inputs
- 5) Tutors high level input
- 6) Officer Development days
- 7) Monthly newsletter (advice and tips)

Update July 2019: The project staffs focus remains on the new EPAC build and this will be picked up in Phase 2.

Update August 2019: The Evidential Property project staff remain fully committed and deployed to the EPAC move at this time which is a significant piece of urgent work taking all project team resources. Discussions will take place in house within Specialist Support to attempt to identify resources to assist Learning and Development on the outstanding elements above.

Update November 2019: Probationer/officer training Evidential Property and Archives Team (EPAT) manager and team leader met with a Core Trainer from Learning and Development (L&D).

The trainer has now amended (1st draft) and adapted the classroom based training input. The first COHORT of Officers will have an input from EPAT on the 22nd November 2019. EPAT Manager meeting with Tutors course trainer. This is to ensure that an input around Evidential Property will be covered in the Tutors Course.

L&D have created the second draft of the Evidential Property Training Website. This should be signed off and live by the end of October 2019. **Currently progressing and on track to meet target date.**

EPAC position update paper is embedded here and provided at **Appendix A (a):**

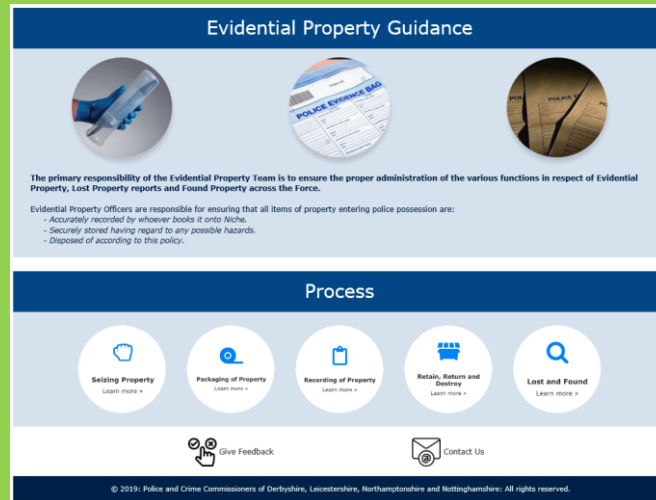


Update December 2019:

8iii/v. Probationer/officer training.

- Training material for Specials has been reviewed with L&D and implemented
- Training material for new recruits has been reviewed with L&D and implemented
- Training material for Staff has been reviewed with L&D and implemented

- The first COHORT of new recruits will be attending the EPAC for an input on the 22.11.19. This was cancelled by L&D. Next COHORT is expected in the New Year. Information booklet has been produced by the Evidential Property Team Leader and will be handed out to all new starters.
- The new learning portal is now live. So far the communications approach has been via latest news and L&D during the previously mentioned training inputs.
- Evidential Property Guidance Portal in situ and available to all personnel through the Force Intranet to provide advice on policy and procedure.
http://hq95t029/adw/emrnl&d/learning_portal/assets/evidential_property/index.html



- A presentation highlighting the main training areas has been created for the TOM training inputs. T/Insp 2920 Baraclough is leading on this.
- The portal will be communicated at the new TOM training inputs by T/Insp Baraclough.
- The EPAT will signpost the portal to those who require training/guidance
Considered Complete

PROPOSED CLOSED

CUSTODY ARRANGEMENTS – SATISFACTORY ASSURANCE

August 2019

FUNDAMENTAL: 0

SIGNIFICANT: 2

HOUSEKEEPING: 1

Significant 4.2 Demand Management

The Force should consider which governance forum will regularly review demand management and the relevant escalation routes that need to be followed.

The Force should consider enduring demand management is a standing agenda item at the relevant governance forum.

Implementation Target Date: April 2020

Person Responsible: Custody Managers working with Samantha Lilly-Brown Business Support Manager

Initial Management Response:

The Force custody senior management team recognises the importance of having sufficient resources to carry out the custody functions. This is essential in order to ensure both the safety and well-being of detainees and the health and wellbeing of custody personnel.

Oversight in relation to demand will be an enduring reported agenda item at the Operational Custody Group Meeting.

It has also been agreed to establish a review of all the demand data currently held and identify any gaps which will be addressed in the scorecard reported in relation to demand.

The data will be detailed and granulated down to individual custody suite, and where relevant will detail partnership data also. This work will commence immediately with updates on progress to the Operational Custody Group meeting.

Update October 2019: Recently finalised report – update will be provided for the next JARAP / SORB meeting.

Update November 2019: Demand is now an Agenda item on the regional Ops Custody leads meeting which meets monthly. We are in the process of reviewing our custody scorecard to identify all of the demand elements within it and to create a new demand tab within the scorecard. This will enable us to identify where our gaps are and to then scope how to resolve them.

We have had a slight delay due to our custody analyst reporting sick for the last 2 weeks but it is hoped he will return next week w/b 11th November.

The scorecard will be discussed at our next Ops Custody meeting at the beginning of December. In addition to this the CDO remodelling project team are also looking at our current demand with regards to the specification required for when we go out to tender for the new CDO contract which will replace the current one at the end of September 2020. Mark Harrison – EMCJS **In progress**

Update December 2019: In relation to 4.2 - demand management now features in the custody score card which is now part of the agenda and circulated monthly to members of the Operational Custody Leads meeting.

The scorecard which now includes demand data was presented to the December - Operational Custody Leads meeting. The scorecard was discussed and it was agreed that further work is required to refine the way the data is portrayed, this will make the data more meaningful for each custody suite thereby supporting any necessary strategic and operational decision making. **Work in progress and within target date** - Mark Harrison / Sam Lilly-Brown EMCJS

RECRUITMENT – Satisfactory Assurance

September 2019

FUNDAMENTAL: 0

SIGNIFICANT: 3

HOUSEKEEPING: 0

Significant 4.1 Retention of recruitment documentation

The Force should ensure that all documentation is retained either in working folders or, preferably, on e-recruitment. This includes interview notes; scoring sheets; and, copies of evidence used to verify identity, address and/or qualifications.

Implementation Target Date: See below for each stage.

Person Responsible: (1) End of October 2019 - Mazhar Ahmad Head of HRSC (2) End of November 2019 - Kat Eaton SHRPB (3) End of September 2019 - Kat Eaton SHRPB

Initial Management Response:

When cohort recruitment takes place, the HRSSC upload and input the results and associated paperwork into e-recruitment. The instances reported relate to staff recruitment exercises where Hiring Managers are responsible for uploading the interview results, notes etc. We considered whether updating the documentation could be a mandatory field so that applicants could not be progressed to the next stage without this but there are occasions whereby the HRSSC need to be able to move candidates forward prior to this information being received so that is not a workable solution.

- (1) The HRSSC will receive further training about the importance of checking that all relevant documentation is submitted and attached to records before progressing applicants. In terms of vetting and qualification, the pre-employment checklist will be revisited to ensure that each stage is clearly documented for the team to refer to and that it adheres to the relevant procedures.

Update November 2019: Further team training has been provided to HRSSC personnel to reiterate the importance of checking all relevant documentation has been submitted and attached to applicants' records.

The pre-employment checklist has been reviewed to clearly guide personnel to ensure that each stage is clearly referenced for the team to follow; this is also now in line with relevant procedures. – Tracey Taylor Senior Resourcing Manager HR Shared Services Derbyshire/Leicestershire **Completed but exploring need for testing**

Note: Progress update requested from Mr Mazhar Ahmed Head of HRSC on the 28/10/19, however he is currently out of office until the 11th November. Update has been provided by Tracy Taylor Senior Resourcing Manager. Discussion to take place as to whether dip-sampling could be carried out and necessary for action (1) to reassure that process is being adhered too.

(1)

Update December 2019:

Note: Update request from Mazhar Ahmad Regional Head of HRSC – however due to extended leave over the festive period update will be provided at the next JARAP.

- (2) Guidance and communications to Hiring Managers will also be reviewed to emphasise the expectation that they are required to upload interview notes etc and take/submit pre-employment check documentation as part of the recruitment process so that this is clear.

Update November 2019: The Guidance Pack for Hiring Managers has been reviewed to underscore the expectation that interview notes and pre-employment check documentation etc are uploaded. The necessity to follow the guidance has been communicated through e-mail to Hiring Managers. – Tracey Taylor/Kat Eaton. **Completed**

- (3) Only IT have student placements currently. A briefing to be provided to the IT SLT by retained HR to ensure that they are clear that any requirement to recruit a further placement student must go through the usual post authorisation/e-recruitment process.

Update November 2019: A briefing has been provided to the Information Technology – Senior Leadership Team to provide clarity around the recruitment of placement students and the need to go through the usual authorisation/e-recruitment process. – Tracey Taylor/Kat Eaton. **Completed**

Significant 4.2 Narrative explanation for process overrides

The Force should ensure where deviations in the e-recruitment process occur, or processes have been overridden, that explanations for any deviations are provided and are subject to approval by retained HR/SHRSC.

Implementation Target Date: See below for each stage.

Person Responsible: (1) End of September 2019 – Mazhar Ahmad Head of HRSC (2) End of September 2019 - K Eaton SHRBP

Initial Management Response:

- (1) HRSSC to introduce a decision log to record any decisions that mean that an applicant is progressed outside of normal process.

Update November 2019: A decision log has been introduced and is utilised whereby deviations from the process are explained in the log and approved by the HR/SHRSC. – Tracey Taylor. **Completed**

- (2) Retained HR to be made aware of any deviation from the process and provide advice if required. Discussion to take place at Client Liaison meetings.

Update November 2019: Retained HR are made aware through the decision log process; advice is available where required. It is understood a discussion has taken place at the Client Liaison meeting between HRSSC and Leicestershire, however the attendee is currently absent and Kat Eaton is not in a position to update on the outcome of discussions – update to be provided for JARAP where this may if the update suggests be proposed closed. **On track**

Update December 2019: Process is in place to update retained HR in the event of any deviation from the agreed process and a decision log is completed. Retained HR are notified and advice sought primarily through email contact from HRSSC, usually via the HR Services Team Leader for Recruitment where this occurs. This process will continue to be reviewed at Client Liaison meetings if necessary. Kat Eaton - **I consider this action as completed.**

PROPOSED CLOSED

AMBER	<p>Significant 4.3 Reporting of all agreed KPIs</p> <p>The Force should engage with SHRSC to ensure that all agreed KPIs are reported to the Management Board on a monthly basis.</p> <p>Implementation Target Date: End October 2019</p> <p>Person Responsible: Mazhar Ahmad - Head of HRSC</p> <p>Initial Management Response: Since the implementation of the E-Recruitment system we have been unable to report of some aspects of the recruit SLA due to the way the system records data. We have however, continued to report what we can.</p> <p>We are still working with the supplier to develop a better reporting tool which will allow us to report in more detail. The work to revise the SLA to reflect what we can report and what we can't. A draft revised SLA will go to the Management Board in October 2019.</p> <p>Update November 2019: The supplier has provided an overview of the new and improved reporting tool options and the associated costs. The force is currently considering the business case in terms of cost and benefit to the organisation. In progress - Tracey Taylor.</p> <p>Update December 2019: Note: Update request from Mazhar Ahmad Regional Head of HRSC – however due to extended leave over the festive period update will be provided at the next JARAP.</p>		
	WORKFORCE WELLBEING & ABSENCE MANAGEMENT SATISFACTORY ASSURANCE		September 2019
	FUNDAMENTAL: 0	SIGNIFICANT: 2	HOUSEKEEPING: 0

Significant 4.1 Review of Policies and Procedures

The HR procedures which have been identified as out of date should be reviewed and updated.

Implementation Target Date: 31st March 2020 – In line with Policy and Procedure Log

Person Responsible: Alex Stacey-Midgley

Initial Management Response:

A policy and procedure log exists and is reviewed regularly. There is both an HR log which is managed within HR and a corporate log which the Specialist Services Directorate manage.

All of the highlighted procedures are being actively worked on but due to a combination of resource levels and the time it takes to actively consult on changes these take time. Other work such as the HR Strategy team doing job evaluations may need to cease if this needs to be prioritised.

Update November 2019: Update report submitted by Alex Stacey-Midgley HR Strategy – please see **Appendix A (b)**.

Also embedded here:



Annendix A (r

Update December 2019:

There are 7 procedures relating to Ordinary Parental Leave, Shared Parental Leave, Maternity and Adoption Leave which have been consulted on where the period of consultation closed on the 13th December 2019. There are 7 procedures because these apply slightly differently to Police Officers and Police Staff. The procedures themselves are now updated however ahead of re-publishing each now requires an Equality Impact Assessment to be completed which is being progressed.

The Sickness Procedure is prioritised and is likely to be concluded and republished in the Spring 2020 along with Police Staff Poor Performance and Police Staff Poor Attendance Procedures.

The Flexible Working Application Procedure is also likely to be published in the 1st quarter of 2020. The target date is 31st March in line with the Policy and Procedure review log. **Work in progress and on track within target completion date.**

Significant 4.2 Wellbeing Groups Terms of Reference

The ToR for both the Wellbeing Leadership Group and Wellbeing Working Group should be updated to include meeting frequency requirements.

Compliance should be monitored to ensure the groups are completing their duties.

Implementation Target Date: 31st October 2019

Person Responsible: Alex Stacey-Midgley SHRBP

Initial Management Response:

This is managed and the new Wellbeing Leadership group WLG (Gold) has meetings scheduled quarterly.

The Wellbeing Silver and Bronze Groups will meet bi monthly and report into the WLG.

The new TOR will be shared at the next meetings.

Update November 2019: 1st Part TOR - The Terms of Reference for the Wellbeing Leadership Group and Wellbeing Working Group have been updated to include meeting frequency. **This part is Considered Completed.**

TOR embedded here:



Wellbeing Leadership
Group - Terms of Refe

2nd Part Compliance – Next Wellbeing Leadership Group booked for 3rd December 2019. A new wellbeing strategy is to be considered and agreed at the meeting. The meetings for 2020 will be programmed quarterly with the first being held on the 11th February 2020. Measures will need to be put in place to ensure the groups are completing their duties.

Update December 2019:

The Wellbeing Leadership Group has meetings scheduled as listed below for 2020 and into 2021:

Date	Meeting	Chair	Venue
11/02/2020	Wellbeing Leadership Group	DCC Nixon	Command Conference Room
07/04/2020	Wellbeing Leadership Group	DCC Nixon	Main Conference Room
08/07/2020	Wellbeing Leadership Group	DCC Nixon	Main Conference Room
21/10/2020	Wellbeing Leadership Group	DCC Nixon	Main Conference Room
13/01/2021	Wellbeing Leadership Group	DCC Nixon	Main Conference Room

The meeting is Chaired by the DCC and attendees include representatives from all Departments/Directorates; Police Federation; UNISON; Equality and Diversity; EMCHRS Learning and Development L&D & Occupational Health Unit OHU; East Midlands Criminal Justice Service EMCJS; TRiM Co-ordinator and the Communications and Engagement department.

Note: Query sent in reply to the update as to whether the new Wellbeing Strategy had been agreed and signed off - awaiting update.

BUDGET MONITORING – Satisfactory Assurance

December 2019

FUNDAMENTAL: 0

SIGNIFICANT: 1

HOUSEKEEPING: 0

Significant 4.1 Financial Handbook

The Financial Handbook and supporting scheme of delegation should be updated and then reviewed annually after the update has taken place.

Implementation Target Date: 31st December 2019 revised target 31st January 2020

Person Responsible: Paul Dawkins Assistant Chief Officer (Finance & Resources).

Temporary Chief Finance Officer: OPCC for Leicestershire

Initial Management Response: The review of the OPCC's Financial Handbook and the Supplementary Scheme of Delegation commenced in October and is scheduled to be completed by the target date specified.

Update December 2019: The Financial Handbook and supporting scheme of delegation has been reviewed and updated where appropriate. It has been circulated for consultation. Once agreed the Handbook will be reviewed annually. **Work almost completed.**

CORE FINANCIALS – Significant Assurance			January 2020
	FUNDAMENTAL: 0	SIGNIFICANT: 1	HOUSEKEEPING: 0
GREEN	<p>Significant 4.1 Fraud checks on requests to add/change supplier details</p> <p>The Force should ensure that fraud checks are carried out and documented in line with its processes for all new suppliers and requests to change supplier details.</p> <p>Implementation Target Date: Completed Person Responsible: Samantha Lamb – Finance Manager</p> <p>Initial Management Response: We have explored the possibility of an amendment to the BACS report which would automatically incorporate the comments section from the supplier account, highlighting where the fraud checks have been carried out. However, this is not possible due to the Agresso system configuration.</p> <p>We have therefore included an additional step in the review and authorisation of the BACS report, which now includes a manual check of the Agresso system to ensure the fraud check has been documented on the supplier account. This is considered completed and proposed closed.</p> <p>PROPOSED CLOSED</p>		
	END		

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

Audit	Assessment level	Recommendation	Progress monitored through
Estates Management	Housekeeping	Standing Orders Update 4.2 The Standing Orders should be updated to reflect the change in procedure with regards to quotes obtained by the Estates Team.	SORB
Seized and Found Property	Housekeeping	Unknown Cash amounts stored 4.1 The Property Management Team should ensure that all cash reaching the main store is counted and updated on the property management system. Where cash is removed, the amount removed and amount remaining should also be recorded.	SORB
Custody Arrangements	Housekeeping	4.3 Performance Data The Force should consider if Leicestershire have addressed the gaps that were noted at other Forces. The Force should review the current performance data provided at each forum to confirm if they allow each group to meet its objectives in relation to oversight and scrutiny of custody.	SORB
Payroll	Housekeeping Jan 2020	4.1 Performance Analysis Management should review the reporting capabilities of iTrent to enhance the level of analysis at a more granular level. To ensure completion a timetable should be set for completing the outstanding action.	SORB