

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

PAPER MARKED

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Report of **CHIEF CONSTABLE and CHIEF FINANCE OFFICER (OPCC)**
Subject **INTERNAL AUDIT RECOMMENDATIONS AND TRACKING**
Date **TUESDAY 26 JANUARY 2021**
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 shown highlighted as shown here.
3. The following table illustrates the number of outstanding and proposed completed:

Priority of Recommendation	Outstanding		Completed	Not agreed	Total
	RED	AMBER	GREEN	GREY	
Fundamental	-	2	-	-	2
Significant	-	6	2	2	10
Housekeeping	-	0	1	1	2
Total	0	8	3	3	14

4. The following table depicts the 3 audit recommendations proposed as completed and closed. A number have been considered by the Strategic Organisational Risk Board SORB and closed, and these are now for consideration by the panel for closure.

* Page numbers may vary due to individual format settings in Word.

Audit Title	Priority	Recommendation Reference	*Page N ⁰
Benefits Realisation	Significant	4.1 Closure Report	28
Estates Management	Housekeeping	4.1 Planned Maintenance	29
“	“	4.2 Incomplete Planned Maintenance – 5 year Plan	29

5. 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

6. For the panel to note the attached update on progress responses from business owners against the respective audit recommendations so far.

7. 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.

8. 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 :	Efficiency, Effectiveness and Value for Money.
Legal :	Compliance with Policy, Procedure and Guidance
Equality Impact Assessment :	No implications identified
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. Efficiency, Effectiveness and Value for Money.

List of Appendices N/A

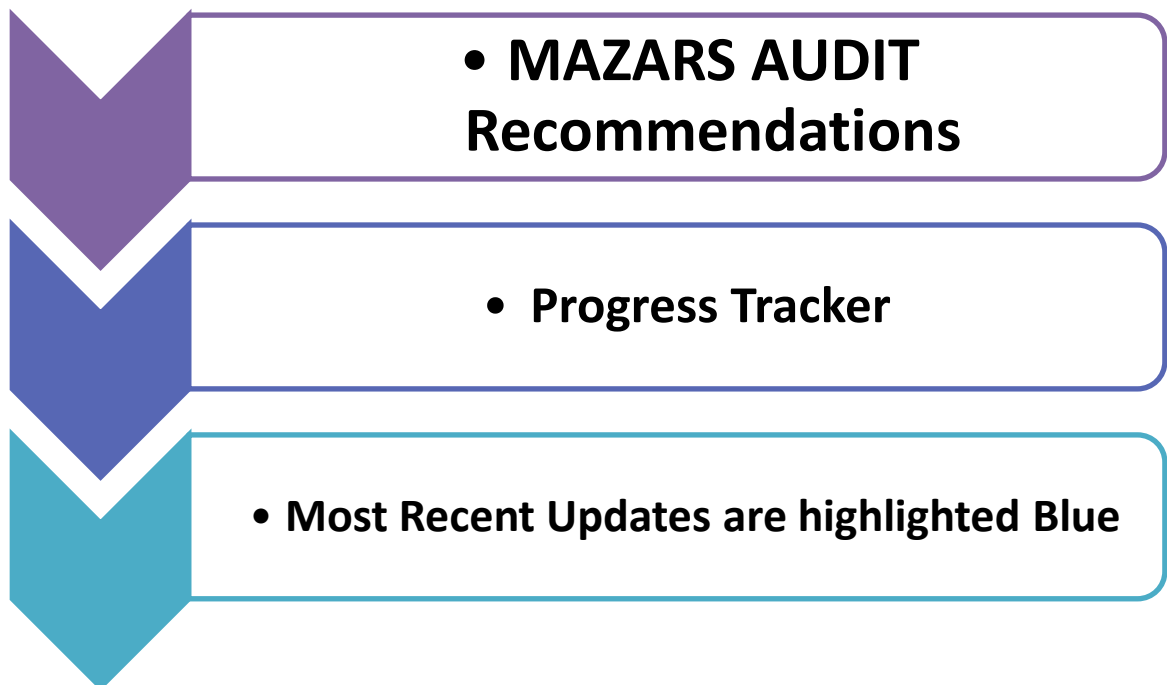
Background Papers N/A

Person to Contact

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ACC Kerry Smith – Head of SSD kerry.smith@leics.police.uk

Roy Mollett – Inspection Liaison and Project Officer roy.mollett@leicestershire.pnn.police.uk



	SEIZED & FOUND PROPERTY – LIMITED ASSURANCE		March 2018
	FUNDAMENTAL: 1	SIGNIFICANT: 4	HOUSEKEEPING: 2

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 Amie Peplow March to Sept 2018 December 2020 Revised 30th April 2021

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. 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.

AMBER

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 in the 1st quarter of 2020.
Work in progress with expected delivery and completion in the 1st quarter of 2020.

Update May 2020: 'Security and Training' have been completed and delivered and reported previously. Enforcement and the Property Performance Dashboard: This has previously been managed by the Evidential Property and Archives Team EPAT Manager supported by the Property Administrator. The move over to Niche meant that the extraction of data to support the dashboard proved difficult and the presenting of readable and useful data unexpectedly required specialist data extraction skills. Sophie Jennings from the Performance Analysis Team has now been appointed and allocated the task of data extraction and analytics to support the property performance dashboard. Work is to start on w/c 27th April 2020. The department anticipates having a set of useful statistics by June 2020. The components of the dashboard have previously been shared with the Performance Delivery Group PDG and the Specialist Support Directorate SMT. The dashboard is recognised as crucial to enable manager/administrator to analyse and understand the volume and nature of property being managed by the EPAC team, and any potential ongoing operational requirement for temporary staffing resources. The force is seeking to use the above management information to improve the efficiency and effectiveness in delivery property management services.

New Target Date: 30th June 2020 – **Amie Peplow EPAC Manager**

Update July 2020: The 'Security and Training' key elements of the Management Responses to the audit recommendations have been completed and delivered and reported previously – reconfirmed by EPAC Manager.

Performance Management Dashboard - An Analyst from the Performance Analysis Team has now been appointed and assigned to work with the Evidential Property Archive Centre EPAC Manager to develop the performance dashboard.

Work commenced on the 1st July 2020, through an initial scoping meeting with the analyst to determine precisely what data is required from the crucial field records held on the Niche Record Management System. This initial stage in the development will now enable the analyst in obtaining the full data set required for delivery of the performance dashboard using Power Bi. The EPAC Manager anticipates having a set of useful performance indicator [KPIs] statistics by December 2020.

The above development will automate what is currently a labour intensive manual data extraction process, thereby making the process considerably more efficient and effective in providing meaningful performance management information – **Amie Peplow EPAC Manager**

Progress update Oct 2020: Development of the performance dashboard has been delayed due to analytical demands due to the COVID-19 pandemic and competing demands and prioritisation being given to existing crime and serious crime dashboards that are being developed through PowerBi statistical software.

A request for the BOXI property related fields were included in the previous requests to IT. Unfortunately, some of those that were requested did not manifest in the initial data warehouse and as it stands the property fields are still missing some required fields.

A target date of the 31st October 2020 has been agreed for the EPAC Manager to provide the Specialist Support Directorate SSD Analyst with a meticulous and complete list of the precise fields required within the data warehouse.

A new build of Niche is due in October 2020 which will also see new fields that will need to be included within the scope. Unfortunately these cannot be included until the new version of Niche is released. **Target date: 30th April 2021** for the property dashboard; which is dependent upon delivery of the complete data warehouse by the IT department.

Update for January 2021: The force has worked tirelessly to improve its evidential property management and has made significant changes over the last 18 months including a new staff structure and dedicated posts and a £43,000 investment in the upgrade of our temporary property stores. This investment has been summarised in previous JARAP updates but has included investment in infrastructure and rigorous audit processes and training for staff.

In addition, the following key improvements have been delivered:

- > CCTV installation in the temporary stores
- > Regular audits have been undertaken with positive assurance received that no further missing items were identified.
- > A rolling training program has been in place since November 2019, overseen by the Manager of the Property and Archives Team.
- > New online guidance is available for all staff on a 24/7 basis and an online learning portal is live and able to be used.

> An upgrade to the NICHE crime database has been delivered as outlined in past updates. This has unlocked the opportunity to explore further analytical innovation.

Management Information Dashboard:

Development of Management Information - Key Performance Indicator KPI performance dashboard is actively being pursued through the application of the PowerBi statistical software.

PowerBi is recognised nationally as having innovative capabilities in the handling and portrayal of management information, thereby enabling and underpinning effective and efficient management decisions.

Project milestones:

> The Force IT department commissioned to provide the necessary BOXI property related fields necessary to complete the work – Target 30th March 2021

> The Niche upgrade was completed 18th November 2020 – **COMPLETED.**

Subsequently, the Niche Regional Lead met with the Regional Configuration Manager week commencing 23rd November 2020. The purpose of that meeting was to ensure that the Management Information delivers what is required by all 6 Evidential Property Managers across regional forces. This is a real positive step forward and promising work and is something that has been absent within Niche since its infancy.

> EPAC Manager to provide the Specialist Support Directorate SSD Analyst with a meticulous and complete list of fields required within the data warehouse – January 2021 **COMPLETED**

The complete list of precise required fields has now been shared with the Force Analyst Team within the Specialist Support Directorate SSD and development is being taken forward by the Senior Analyst - Target 30th April 2021

The target date of the 30th April 2021 – Amie Peplow EPAC Manager

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 June 2020~~ revised target date to April 2021 – reliant on external supplier – Civica / Head of Transport – new project manager appointed by Civica

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.

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.

Update May 2020: Work in conjunction with Civica has been carried out to review and agree the data the department is proposing to submit in relation to the new service maintenance scheduling system. It has been agreed that the data the department is proposing to submit is appropriate to ensure an efficient and effective maintenance scheduling system for the Force.

Due to the recent events, the remaining critical pieces of work to deliver the project have been rescheduled. It is expected the department will not be able to resume the work for 4-6 weeks. Expected timings of the project going forward:

1. **Scheduling work to resume in June 2020** to provide bespoke maintenance schedules based on an assessment of the:

- **Manufacturers guidelines;**
- **Vehicle type;**
- **Deployment strain which differs between vehicles and their utilisation;**
- **Engine type and unique engine configuration**

The above assessment is required for each of the vehicle configurations held by the force – around 90 in total. This is a significant task which the TU workshop technical staff will undertake as soon as is practicable.

2. **Schedules completed and checked by mid-July 2020**

3. **Schedules integrated into Tranman system – Early August**

4. **Training for personnel commences mid-August**

5. **Tranman scheduler operational mid-September 2020**

The above project task timeline assumes no further significant challenges impact on the ability to complete each staged and planned task – Taking into consideration the current lockdown environment due to coronavirus.

The revised scheduling system is critical to this action and the outcome will influence delivery of performance indicators in relation to item 4.4 further below – Nick Carvell Head of Fleet

Update July 2020: Milestones (1) and (2) the Schedule creation work is proving labour intensive along with allocating time from the mechanics normal daily workload to complete the work necessary. A push is going to take place to complete for the end of July. Any delay not expected to impact the overall completion of the programme of delivery – **Nick Carvell Head of Fleet**

Update October 2020: A session with Tranman was held at FHQ in late August. The initial service schedule data that was submitted based on 50+ vehicles was found to need significant change. This is a very large piece of work as a lifetime service schedule has to be created based on annual and mileage requirements which are sometimes at odds. The schedules are therefore complex.

There are around 120 schedules that need to be created to cover every make and model we have on the force fleet. We are currently working through creating these. It is expected to take 2 months at least as we need to take time out of the mechanics current workload; pulling them off their servicing work to work through the Autodata (an online system that contains the manufacturers service schedules) and translating that into a schedule which will work with the Tranman programme.

iR3 information to allow us to obtain current service requirements is being extended so the risk of losing access to that information is very low.

There has been a turnover of personnel at Tranman along with the restrictions imposed by COVID-19 which has meant the department have had to extend the expected completion dates.

It is also clear after the face to face meeting/training session that introducing the revisions will take some additional unavoidable time.

I am not expecting the new scheduling system to be implemented until the start of the new financial year – **Nick Carvell Head of Fleet**

Milestone Plan:

Data completion – (including loading into, and agreement from Tranman)	Dec 2020
Schedule confirmation and initial testing	Jan 2021
Run systems side by side - UAT	Feb-Mar 2021
Switch over to new service scheduling	April 2021

Update for January 2021: The Force IT department has successfully rebuilt the computer system server housing the Tranman program software which is a crucial component in facilitating the future fleet system upgrade.

Civica will be commencing the system upgrade toward the end of February 2021. Once this work is successfully completed, the next stage of uploading and implementing the scheduler and electronic job card modules can commence.

The force will be updating from Tranman version 8 to version 9 which will provide the necessary continued software technical support by Cervica; this is crucial in securing the continuity of service delivery.

The fleet senior management team have met with the Civica development team to project plan the significant pieces of necessary work identifying those critical milestones that have to be met sequentially for successful implementation.

A conference call with Civica and IT was held on the 17th of December to review the project in its entirety. The timetable outlined below has been agreed in principle.

Testing of the data feed from iR3 to Tranman will resume with a go live for the feed into Tranman on the 11th December 2020.

The fleet department team is collectively working with IT and Civica regarding the Tranman updates. The table below is the latest dated task list to achieve the timetabled milestones set.

The scheduler is a critical component in enabling the Fleet Management Department to improve efficiency and in producing the required Management Information. As can be seen, there are a number of critical steps before a conclusive implementation date can be confirmed. However, every effort is being made to implement the improvement expediently through project management techniques, whilst avoiding waste through haste.

The next stage in the program is to re-arrange the fleet maintenance schedule to flatten it out peaks and troughs in demand. From that we will be able to understand the effects of the changes and develop relevant performance data.

Activity	Involved	Date
Testing and confirmation of the feed of mileage data from iR3/New iR3 to Tranman	Hamish	11 th Dec - completed
Sign off of iR3 ready for go live	Leicestershire	11 th Dec - completed
Go Live with iR3	Civica/ Leicestershire IT	21 st Dec - completed
Building and loading to the live system, fleet maintenance schedules	Nick	Underway and progressing
Implementation of the scheduling module <u>Note:</u> This needs to move to live sequentially before the test server move.	Nick / Civica	TBC
Migration to the new build server – Test move	Civica/ Leicestershire IT	25 th Jan 2021
Testing that the test server move has not caused any errors	Leicestershire Tranman users	26 th Jan – 12 th Feb
Sign off that Live server move can take place	Nick	14 th Feb
Live server move takes place	Civica/ Leicestershire IT	22 nd Feb
Implementation of the Electronic Job Card module	Civica/ Leicestershire	TBC
Migration to Tranman release 9	Civica/ Leicestershire	TBC

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~~ ~~March 2020~~ revised target date TBC 2021

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.

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.

Update May 2020: Recommendations 4.2 and 4.4 are directly linked. Delivery of 4.4 is dependent on developments being completed within 4.2.

Ongoing work by the Head of Vehicle Fleet and the team to deliver improved service scheduling, job card processes and performance reporting via the Tranman system.

Civica, the supplier of the Tranman system is working closely with the force to resolve what has turned out to be a more complex challenging programme of improvement.

The work is ongoing in tandem with 4.2 above and the target date for completion is six months following the completion of 4.2 above.

Revised target date: March 2021 – Nick Carvell Head of Fleet

Update July 2020: This area of work relies on completion of 4.2 the previous recommendation in relation to the scheduling work. Target date remains March 2021.

Update for January 2021: This area of work relies on completion of 4.2 the previous recommendation in relation to the scheduling work. Target date to be confirmed – Nick Carvell Head of Fleet.

**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.d

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.

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.

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.

Update May 2020: Action 2 - The Force Records Manager has been completing the Information Asset Register IAR for the Specialist Support Directorate SSD and has created a detailed update [this is attached]. The Information Asset Register currently holds 163 Information Assets owned by sections within the SSD. Remaining stages for SSD, to complete:

Stage 2 – Data Types, Collection, Processing, Storage, and Transfer section for each Information Asset, this process is to be completed by the departmental Business users.

Stage 3 – Retention & Disposal section for each Information Asset, this process is to be completed by the Records Manager.

Stage 4 – Related Items section for each Information Asset, this process is to be completed by the departmental Business users.

The Records Manager predicts that the Information Asset Register process for SSD will be completed within approximately 8 weeks.

Identified Risks - The process has identified a large quantity of Paper Assets within the SSD, these Paper Assets are owed by Traffic Management, Information Management and Diversity & Equality. The Records Management department have provided Review, Retention and Disposal (RRD) advice to these departments and this will be followed up during the next stages of the project.

The next step will be to meet with Ch Supt Streets and begin mapping out the register for the LPD SSD will not be completed by 31st May with LPD being finished by 30 September – timescales to be further confirmed as per the embedded IAR update paper.

Target Date: To be confirmed going forward - **Steve Morris Head of Information Management**

Update July 2020: Full Report:



IAR update report
July 2020.docx

Executive summary:

SSD Information Asset Register (IAR) process

Final stage to be completed: The final stage is to complete the 'related items' section for each Information Asset, this process is to be completed by the departmental business users; at this stage the Processing event (Review Retention Deletion section) for each Information Asset will be completed. The Information Assets, Business Systems and Processing Events will be linked together.

Target completion date:

- Send final stage email/instructions to Business user's week commencing 13th July 2020 - 2 week deadline (2nd August).
- The Records Management Team review all the Processing Events, identify any RRD risks and offer any RRD advice - 1 week to complete (9th August).
- Follow up closure email sent out week commencing 10th August 2020 - SSD IAR process complete.

LPD/CAID Information Asset Register (IAR) process

Processes completed:

- Directorate structure charts for LPD and CAID obtained
- Basic IAR mapping for LPD and CAID completed
- Initial IAR meeting with Ch Supt Streets and Ch Supt O'Neill completed
 - Welcomed constructive feedback has resulted in the Information Asset Register being put on hold so that focus on the Information Asset Owner role and the ownership of Force business/IT systems

Target completion date: When the IAR work recommences it is predicted each directorate will take approximately 6 months to complete.

Information Asset Owner (IAO) role and the ownership of Force business/IT systems

Processes to be completed:

- Obtain a up to date list of the all Force business/IT systems
- Review and review the Information Management IAO PowerPoint presentation
- Review and review the Force IAO handbook
- Arrange a meeting with the heads of directorates:
 - Identify which directorate is responsible for which business system/IT system - appoint an Information Asset Owner

- Promote the IAO roles and responsibilities
- Arrange a meeting with Force Change Team:
 - Ensure the Project Managers understand how assign an appropriate Information Asset Owner to new Force projects

Aim to achieve:

- A culture change across the Force regarding the IAO role
- I real understanding of the IAO role and the responsibilities associated with the role
- Support from the IAO with the IAR process
- The IAR to be a more efficient process that works for all departments across the Force
- An IAR that is beneficial and effective for the whole of the Force

Target completion date: The Force Records Manager has set a target end date of October/November 2020 - regular progression updates to be provided and if the processes are achieved before the target date the Information Asset Register work will recommence with LPD or CAID – **Steve Morris Head of Information Management**

Update October 2020: Action 2

(1) Specialist Support Directorate SSD Information Asset Register (IAR) process

- Final stage has been completed by business users and reviewed by Records Management Team
- Records Management Team have reviewed the RRD options for each asset/processing activity
 - > RRD advice needs recording on the IAR for each asset/processing activity by Records Management Team
 - > This advice and any RRD exemptions also need to be provided directly to the business users for recording and implementation in departmental procedures

Target completion date: October/November 2020

(2) Local Policing Directorate LPD / Crime and Intelligence Directorate CAID Information Asset Register (IAR) process

No update since update in July 2020

(3) Information Asset Owner (IAO) role and the ownership of Force business/IT systems

- Met with the DCC 17/09;
 - > Identify what are the operational benefits
 - > Additional information requested from IT for the Force business/IT systems;
 - ~ A description for each system
 - ~ Volume of data held for each system
 - ~ Number of users for each system
- Follow up meeting to take place with the DCC;
 - > Following this meeting I will arrange a meeting with the heads of directorates to be chaired by the DCC
- Force IAO handbook/Information Management IAO PowerPoint presentation are still under review in preparation for the above heads of directorates meeting.

Target completion date: October/November 2020

Progress Update December 2020: Action 2

(1) Specialist Support Directorate SSD Information Asset Register (IAR) process

- Final stage has been completed by business users and reviewed by Records Management Team
- Records Management Team have reviewed the RRD options for each asset/processing activity
 - > RRD advice needs recording on the IAR for each asset/processing activity by Records Management Team
 - > This advice and any RRD exemptions also need to be provided directly to the business users for recording and implementation in departmental procedures

Target completion date: Due to competing demands, the records management team have had to prioritise the Regional RRD preparation work – Revised target completion date; Dec 2020/Jan 2021

(2) Local Policing Directorate LPD / Crime and Intelligence Directorate CAID Information Asset Register (IAR) process

No update since update in July 2020

(3) Information Asset Owner (IAO) role and the ownership of Force business/IT systems

- Met with the DCC 17/09;
 - > Identify what are the operational benefits
 - > Additional information requested from IT for the Force business/IT systems;

- ~ A description for each system
- ~ Volume of data held for each system
- ~ Number of users for each system
- Follow up meeting to take place with the DCC;
 - > Following this meeting I will arrange a meeting with the heads of directorates to be chaired by the DCC
- Force IAO handbook/Information Management IAO PowerPoint presentation are still under review in preparation for the above heads of directorates meeting.
- Draft IAO PowerPoint presentation has been completed for discussion with the DCC

Target completion date: Update Steven Morris briefly discussed the IAO operational benefits with the DCC on 16th November 2020 – Follow up meeting to take place between Amanda, Steven and DCC - target date for this meeting is December 2020.

Progress Update for January 2021:

Leicestershire Police continue to make significant inroads into this recommendation, and this has included monetary investment to enable a digital asset register provided by a 3rd party supplier. In addition, Leicestershire Police has funded the creation of a bespoke records management team that is responsible for delivering this recommendation.

Progress to date has been substantial and the following has currently been achieved:

1. The Information Asset Register has been redesigned to ensure that it can robustly manage assets and identify information risk. This will allow appointed asset owners the ability to understand the risk they carry in relation to their assets at any time.
2. 4 major information assets have been identified as suitable for archiving/ deletion with operationally relevant data being back record converted onto the NICHE crime database.
3. An Information Asset Register currently exists for the Specialist Support Directorate for both operational and non-operational assets. The Head of SSD has been briefed and all appointed business owners within SSD can now monitor their information risk.
4. A draft asset allocation list for major force databases and information assets that carry significant risk has been drawn up. The DCC will chair a meeting that will see these assets formally allocated to business owners by **Feb 2021**. A governance board will also be established to support this work.

By **March 2021**, work will begin on the creation of the information asset register for the Local Policing Directorate. This is a significant undertaking and, when combined with the SSD register, will see at least two-thirds of our operational assets contained on the register. Once completed, work will then begin on the CAID information asset register.

Should JARAP members wish to see this digital information asset register a demonstration can be arranged via our Information Management Team.

RECRUITMENT – Satisfactory Assurance

September 2019

FUNDAMENTAL: 0

SIGNIFICANT: 3

HOUSEKEEPING: 0

Significant 4.3 Reporting of all agreed KPIs

The Force should engage with SHRSC to ensure that all agreed KPIs are reported to the Management Board on a monthly basis.

Implementation Target Date: ~~End October 2019 revised to 1st April 2020~~ 1st December 2020

Person Responsible: Mazhar Ahmed - Head of HRSC

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.

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.

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.

Update January 2020: The force has recently procured Power BI as a reporting tool and is currently being implemented across the force. The software has been made available to the HRSC and is currently being utilised for a number of reports for Home office purposes and general recruitment.

There is still work to be done to report on all the requirements of the HRSC SLA but the new SLA is still in draft format and did not go to the HRSC Management Board in Oct 2019 as originally planned but will now go in March 2020 for implementation from 1 April 2020. Mazhar Ahmed - Head of HRSC

Update May 2020: Since the last update in January there has been very little change to report. We have been concentrating on Operation Uplift, the government's programme of recruiting 20,000 new police officers in the next three years, and everything else has been Covid-19 related since March.

Due to the above, I did not submit a revised SLA to the Management Board in March as planned. We did however provide the usual data and update on the Service Centre. The HRSC also continues to provide data on a regular basis to both forces to help them manage their respective establishment during the current situation.

I mentioned last time that we had procured Power BI to be utilised as a reporting tool. This is still the case, we are using Power BI for reporting purposes and there are plans to develop it further through the use of dashboards. This is currently being piloted by a number of Departments.

I have attached a copy of March's Management Board Report and minutes for your information - Mazhar Ahmed Head of HRSC



2 - Report for SHRSC
Management Board M



Minutes Derbys Leics
Support Services Mtg

Update July 2020: The HRSC continues to provide management data to both Derbyshire Constabulary and Leicestershire Police on a regular and ad hoc basis. Regular recruitment and establishment data is provided but in recent months both forces have put in additional requests for data to allow them to coordinate and manage Operation Uplift as well as the issues around Coronavirus reporting. Since March the HRSC has provided a seven day a week services to ensure the forces data requirements are being met. The HRSC also extended its working hours from 8:00 -17:00 to 8:00 – 20:00 to ensure the organisation had robust and up to date data available.

Plans are still underway to submit a revised SLA to the HRSC Management Board in October 2020 which will include a sample of reports created utilising Power BI.

Operation Uplift is still on target with no issues currently being reported.

I would say that over the last 4 months some work-streams have slowed so that HRSC can provide all the data relating to Covid-19, Test and Trace etc. This has placed considerable pressure on the HRSC but we have managed to operate a 7 day a week service as opposed to our usual 5 day a week. The HRSC has also ensured social distancing measures have been put in place and all colleagues now have the ability to work from home and are doing so. Revised target date 1st December 2020 - Mazhar Ahmed Head of HRSC.

Update October 2020: In terms of an update on KPI's etc. I am currently in the process of pulling to together the biannual Management Board Report. This will be available on Wednesday of this week [6th October – not in time to submit] and I will forward you a copy.

There is no further update at this point since the last one in July. All the work the team are doing in relation to Covid-19 has taken priority over most other business as usual. However, I can report that we are continuing to provide recruitment services to both forces in line with their current recruitment plans - Mazhar Ahmed - Head of HRSC

Update for January 2021:

The HRSC continue to utilise PowerBi and is currently applied for a number of reports for the Home Office purposes and general recruitment.

The HRSC continues to provide management data to both Derbyshire Constabulary and Leicestershire Police on a regular and ad hoc basis. Regular recruitment and establishment data is provided and additional information has been supplied to assist with Operation Uplift.

A Service Level Agreement SLA is currently in draft format and it is envisaged that this will be signed off in March 2021. Attached are the papers from the last Management Board held in October.



2. Report for SHRSC
Management Board C

**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~~ December 2020 – In line with Policy and Procedure Log

Person Responsible: Alex Stacey-Midgley

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.**

Update May 2020: The table below depicts the position chart from the February SORB meeting.

Type	Title of Policy, Procedure, Form	Date of Next Review	Update
Procedure	HR Maternity Leave - Police Staff	1/3/2022	Now Published
Procedure	HR Sickness Procedure	Aug,19	Now Published
Procedure	HR Disability Leave	1/3/2022	Now Published
Procedure	HR Adoption Leave (Police Officers)	1/3/2022	Now Published
Procedure	HR Adoption Leave (Police Staff	1/3/2022	Now Published
Procedure	HR Death in Service	27/3/2022	Now Published
Procedure	HR Shared Parental Leave Procedure Officers	1/3/2022	Now Published
Procedure	HR Shared Parental Leave Procedure Staff	1/3/2022	Now Published
Procedure	HR Ordinary Parental Leave	1/3/2022	Now Published
Procedure	Requesting Time Off for Study or Training Procedure	Dec,15	Now Published

Update October 2020: Of the original 17 HR procedures identified as due for review and possible update, the following 7 remain outstanding; these are currently being actively worked upon in terms of consultation, refresh and update where necessary.

Type	Title of Policy, Procedure, Form	Date of Next Review	Update
Procedure	Police Officer Misconduct, Unsatisfactory Performance and Attendance Management (Home Office guidance)	Dec,19	Ongoing through consultation delayed by COVID-19
Procedure	HR Work Experience	Dec,19	Will be reviewed in the next quarter – unlikely to be significant changes
Procedure	HR Acting up and temporary promotion (Police Officers)	Aug,17	Ongoing through consultation delayed by COVID-19
Procedure	HR Police Staff Poor Performance and Attendance	Sep,16	Ongoing through consultation delayed by COVID-19
Procedure	HR Ill Health Retirement Police Officers	Dec,16	Being developed but changes affected by national pension changes
Procedure	HR Dismissal Procedure for Police Staff whilst in Probation	Jul,17	Ongoing through consultation
Procedure	On-Call Scheme Procedure	Apr,15	SSD lead completing report about new posts that may be eligible for inclusion – cannot publish until these decisions are made

Update for January 2021: The following table depicts progress with the outstanding Force procedures – of the original 17 procedures for review/refresh it is very encouraging that 14 or 82% have now been reviewed/refreshed. The remainder have moved forward, albeit they remain outstanding as there has been some delay due to COVID-19.

Forthcoming PEEL Inspection – A prompt has been circulated from Corporate Services to remind directorate and departmental heads of the need to refresh / update the policies and procedures as expediently as possible. HMI will be issuing a pre-inspection document request [likely the 1st quarter of 2021] to capture these documents as part of the continuous assessment on force performance.

Type	Title of Policy, Procedure, Form	Date of Next Review	Update
Procedure	Police Officer Misconduct, Unsatisfactory Performance and Attendance Management (Home Office guidance)	Dec,19	Ongoing through consultation delayed by COVID-19
Procedure	HR Police Staff Poor Performance and Attendance	Sep,16	Ongoing through consultation delayed by COVID-19
Procedure	HR III Health Retirement Police Officers	Dec,16	Being developed but changes affected by national pension changes

LEADERSHIP and MANAGEMENT DEVELOPMENT- Satisfactory Assurance

January 2020

FUNDAMENTAL: 0

SIGNIFICANT: 1

HOUSEKEEPING: 1

Significant 4.1 People Strategy

The Force should review the Strategy and annual development plan to ensure that the following key items are clearly included:

- Roles and responsibilities of those individuals involved in the delivery of L&M
- SMART targets attached to the goals that have been listed.
- What supporting documents are in place which relate to L&M
- What boards / forums are in place for L&M / how L&M is governed

Implementation Target Date: ~~30th April 2020~~ revised target date 31st July 2020 revised target date 31st March 2021.

Person Responsible: Alastair Kelly ACO HR and Jan Jeffs - HR Business Partner Leadership and Management Development

Initial Management Response: The People Strategy is the overarching strategy for the business which incorporates a number of areas in HR. There is a business plan that sits below this that focuses on delivery. The business plan data is reported on a quarterly basis to the Strategic Assurance Board and People Board. The People Strategy will be reviewed once the new ACO for HR is appointed.

A detailed plan is being mapped out to create a leadership and learning skills academy. This will identify the key components of the Academy, who is responsible for which areas, outcomes that need to be achieved, the resources required and the policies and procedures that will support the delivery of the Academy.

Update May 2020: The Specific Action is incomplete, suggest carry over to next meeting.

A new ACO for HR has been appointed. He has created a Workforce Development Board which brings together the oversight of Recruitment, Learning & Development, and Leadership and Management (L&M) informed by data analytics.

The Board met for the first time on 22nd April 2020. Leadership & Management will have its own sub structure governance which will allow for clear oversight, join up with other areas e.g. data and Learning and Development, with clearer roles for those involved in commissioning, creation, and delivery.

The ACO will work with the Interim Head of Organisational Development and other stakeholders to put the work plan and governance in place during the next three months.

The following specific aspects referring to L&M in the recommendation will be addressed:

- Roles and responsibilities of those individuals involved in the delivery of L&M
- SMART targets attached to the goals that have been listed.
- What supporting documents are in place which relate to L&M
- What boards / forums are in place for L&M / how L&M is governed

New Target Date: 31st July 2020 – Alastair Kelly ACO HR, Janine Jeffs – HR Leadership and Management Development.

Update July 2020: Leadership and management forms part of the careers pillar within the workforce development programme. Programme documents set out clear organisational imperatives and desired outcomes to inform plans and timelines.

The Workforce Development Board oversees the entirety of the programme and is chaired by the ACO HR, with the DCC acting as Deputy Chair.

The Careers pillar is led by the Interim Head of Organisational and Strategic Development (also the programme director for workforce development) and the regional Head of Learning and Development (EMCHRS). The regional head of L&D is also part of the national L&D group that owns national College of Policing L&D strategy.

The careers pillar is broken down into a number of areas with a group overseeing the entirety of the Force's Learning and Development L&D offer and delivery including Leadership and Management L&M. This includes the individuals above, the Leicestershire Police Senior Learning and Development Manager and the lead for leadership and management. The lead for leadership and management development is responsible for the day to day management, design and delivery of provision.

A separate group considers the Force's skill and capability requirements (including leadership) which inform L&D/L&M content design and delivery. Among other tasks, this group led by an Assistant Chief Constable ensures posts have role profiles that set out the capabilities required enabling these to be mapped to an associated learning solution.

Documents supporting L&M include a skills framework linked to national management standards setting out the skills and capabilities the force wants leaders and managers to have, various insight and other data sources that assess current capabilities including PDR, surveying and learning needs analysis, delivery plans and

programme content plans. These are owned and managed by the lead for leadership and management development. – **Alastair Kelly ACO HR, Janine Jeffs – HR Leadership and Management Development.**

Update for January 2021: The Workforce Development Board, chaired by ACO HR, oversees the entirety of the candidate and career journey for police officers, staff and volunteers.

The Workforce Development Programme has three pillars:

- **Pipeline**
- **Workplace**
- **Careers;** and three cross-cutting themes focussed on data analytics, diversity and inclusion and Leadership and Management Development sits primarily within the careers pillar and has both a strategic and delivery focus. The strategic element covers, skills and capability, succession planning and deployment, performance and talent identification. Within this work is the creation of the Team Leicestershire Academy which brings together the previously discrete Leadership & Management and Learning & Development teams to develop and deliver the holistic careers offer within the Force.

The structural moves occur from 5th October. Roles and responsibilities have been scoped and an interim structure implemented. An Interim Director will oversee the development and implementation of the Team Leicestershire Academy Target Operating Model over the next six months. The Senior Learning and Development Manager reports to the Director, maintains day to day oversight of all activity and manages the Senior HR Business Partner for Leadership.

The intention is to create three faculties: Crime & intelligence, Operational Policing and Leadership, Innovation and Business Skills to meet the current and future skills needs of the Force. Objectives have been set for the short, medium and long term, and these are focused on communicating the academy concept; mapping out the existing provision; identifying gaps and scoping out the longer term priorities. Detailed programme plans and arrangements for governance of the final Academy TOM are currently in development.

Interdependent elements of the workforce development programme and careers pillar are steered and progressed through the following boards:

- **Strategic Placement Board**
- **PDR and Talent Identification Board**
- **Skills and Capability Board**

Each of the above boards are chaired by a Chief Officer and have Terms of Reference. Progress is reported to the Workforce Development Board in regular highlight reports, which also consider risks and issues.

All meetings have an agenda, minutes and progress is checked against an action log. Professional governance advice and support is supplied by Change team project officers and a programme manager. An initial suite of key performance indicators, aligned with defined organisational imperatives, has been developed for the entirety of the workforce development programme. These KPIs are reviewed at each meeting of the Workforce Development Board and will be further refined as the programme evolves.

New target date: 31st March 2021 – **Alastair Kelly ACO HR, Janine Jeffs – HR Leadership and Management Development.**



Workforce
Development Program

BENEFITS REALISATION Satisfactory Assurance

July 2020

FUNDAMENTAL: 0

SIGNIFICANT: 1

HOUSEKEEPING: 0

Significant 4.1 Closure Report: The Force should produce at minimum a condensed closure report for the Missing Persons Team change.

Implementation Target Date: October 2020

Person Responsible: Force Head of Change

Management Response: It is recognised that the force is on a journey with assessing change delivery formally to produce lessons learned reports and evaluate benefits. Work is ongoing to improve this. The nature and pace of policing often means this is challenging with frequent changes to roles and responsibilities and ever changing demands on policing resources.

The recommendation to create and present a Lessons Learnt Report for the Missing Persons Team project will be followed up, completed and presented to the next Change Board on the 9th October 2020. Following this, the report and associated governance documentation will be provided to the auditors to confirm this has been completed.

Update October 2020: Recent finalised report, with report going to the Change Board on the 9th October; update to be provided at the next JARAP.

Update for January 2021: The embedded Missing Persons End Project and Lessons Learnt Report was presented at the October Change Board - Agenda (embedded), and with associated meeting notes embedded for reference.

Rapid progress has been achieved in achieving the requirements of this recommendation. This was overseen by our change team and was formally closed at the December SORB meeting. Attached are the documents to support this decision for JARAP member's consideration.



1.1 Agenda Change Board Oct 2020 v1.pdf
Change Board Action Sheet 09102020.pdf
Misper End Project and Lessons Learned

PROPOSED CLOSED

Agreed closed at December SORB

Follow Up of Action Plan from 2018 Procurement Audit

August 2020

FUNDAMENTAL: 0

SIGNIFICANT: 1

HOUSEKEEPING: 0

Significant 4.1 Spend Review: Upon closure of the accounts and the availability of relevant information, a review of annual spend per supplier should be undertaken in order to identify where the level of expenditure would warrant consideration be given to putting a contract in place. Evidence of this review should be retained. Follow up from 2018 - Not Implemented

It was confirmed that this did not take place for 2018-2019, however audit were informed that this would take place for the 2019-2020 annual spend once the data was available to do so.

Implementation Target Date: October 2020

Person Responsible: Ian Fraser Head of Procurement

Management Response: When the information is available from the Finance Department then the Procurement Department will complete this recommendation to identify contract opportunities should spend not be covered by an existing contract – **Ian Fraser Head of Procurement**

Update for January 2021: The necessary financial information was provided to the Head of Procurement within 3 months of this recommendation being registered. Work is now taking place to review the spend to understand if any new contractual arrangements can be identified. It is anticipated that this will be completed in January 2021.

The remaining two recommendations from the 2018 report have been assessed and assurance given that they have been implemented.

	Estates Management – Significant Assurance		December 2020
	FUNDAMENTAL: 0	SIGNIFICANT: 3	HOUSEKEEPING: 2
GREEN	<p>Significant 4.1 Planned Maintenance: The Force should ensure that the Planned Maintenance 5 year plan is accurately updated to reflect the Force's present intentions. Where changes are made to the Plan, the Estates team should ensure there is a clear audit trail documenting the reasons for the changes. Furthermore, the Force should ensure that digital copies of stock condition surveys are retained.</p> <p>Implementation Target Date: Completed</p> <p>Person Responsible: Andrew Wroe Head of Estates</p> <p>Management Response: Yes, this has been implemented and will be carried out from now on. The paper surveys from 2012 have been destroyed as they have no relevance now as all the buildings have been resurveyed since at least twice. All electronic surveys have always been retained and will continue to be so – Andrew Wroe Head of Estates</p> <p>PROPOSED CLOSED</p>		
GREEN	<p>Housekeeping 4.2 Incomplete Planned Maintenance – 5 year Plan: The Force should ensure the Planned Maintenance 5 year plan is completed in a timely manner, to enable the Force to accurately monitor the spend and progress throughout the year. Furthermore, this will allow the Force to assess its performance at year end.</p> <p>Implementation Target Date: Completed</p> <p>Person Responsible: Andrew Wroe Head of Estates</p> <p>Management Response: The four years previous to 19/20 had been completed so this was a clerical error for this year only. We will make sure the box on the form is completed from now on. The information is still available elsewhere if required. The plan isn't inaccurately monitored as it is brought in on budget every year – Andrew Wroe Head of Estates</p> <p>PROPOSED CLOSED</p>		
Not Agreed	<p>Significant 4.3 Formal priority ratings of repair works</p> <p>The Force should introduce formal priority ratings for repair works, which are assigned to repair works based on the urgency of the repair.</p> <p>This should be in line with service level agreements the Force agrees with its contractors, which should be monitored to effectively scrutinise contractor performance.</p> <p>Furthermore, the Force should ensure that the management of repair works is monitored centrally by the Estates helpdesk to ensure compliance with the SLA and effectively scrutinise contractor performance.</p> <p>Implementation Target Date: Not applicable</p> <p>Person Responsible: Andrew Wroe Head of Estates</p> <p>Management Response: <u>Not agreed</u>. As we are a small department we very quickly become aware of contractors who are not performing. Maintenance work is so varied with many unforeseen reasons why particular jobs cannot be progressed. A priority rating system would add no value and just become a bureaucratic box filling exercise. Staff in the department have a close relationship with all our contractors and as a result we rarely have an issue with contractor performance or suffer complaints from our "clients" either. If we do, it is normally to do with something outside the contractor's control. I see no risk to the Force from continuing to monitor contractor performance the way we always have – Andrew Wroe Head of Estates</p>		

Not Agreed	<p>Significant 4.4 No central oversight over repair works</p> <p>The Force should introduce a process whereby repair jobs carried out by the contractors are monitored centrally, in addition to being monitored by the Facilities Officers. This will allow the Force to ensure the necessary oversight and scrutiny of contractor performance takes place.</p> <p>Implementation Target Date: Not applicable</p> <p>Person Responsible: Andrew Wroe Head of Estates</p> <p>Management Response: As above. Again, would add little or no value to our knowledge of contractors' performance but be just another bureaucratic burden. Our Facilities Officers role is to monitor contractors and they disseminate information regarding this to the rest of the team at team meetings. I can see no risk in this as the contractors are being monitored – Andrew Wroe Head of Estates</p>		
Not Agreed	<p>Housekeeping 4.5 Insufficient performance metrics</p> <p>There should be a comprehensive suite of KPI's which the Force uses to assess the performance of the various functions performed by the Estates department. This could include but not be limited to:</p> <ul style="list-style-type: none"> Monitoring the number of repair works completed within the service level agreement agreed with the Force's contractors; The number of repairs completed right the first time; Monitoring the number of repairs completed for newly built or refurbished buildings to evaluate the performance of the contractors used to complete the new build or refurbishment and; The number of stock condition surveys completed in the year versus the target for the year. <p>Implementation Target Date: Not applicable</p> <p>Person Responsible: Andrew Wroe Head of Estates</p> <p>Management Response: <u>Not agreed.</u> The Force already has the Home Office Value for Money tables and the NPEG comprehensive Bench Marking schemes in place. Comments are the same regarding points 4.3 and 4.4. The information that Mazars are suggesting we kpi would add no benefit to the department and again would just create bureaucracy. The risk states, not having this in place prevents the Force from achieving its strategic objectives, but this is simply not the case.</p>		
	Estates Audit 2017 - Follow Up of Action Plan		December 2020
	FUNDAMENTAL: 0	SIGNIFICANT: 0	HOUSEKEEPING: 0
Implemented	<p>Housekeeping 4.1 Stock Condition Survey Schedule</p> <p>Follow up findings 2020: Implemented – Auditor was advised by the Head of Estates that this recommendation has been completed since the date the report was issued to the Force. Since then the Force has undertaken stock condition surveys on all its buildings.</p> <p>Determined as implemented by the Auditor.</p>		
Implemented	<p>Housekeeping 4.2 Standing Orders Update</p> <p>Follow up findings 2020: Implemented - Audit reviewed the updated Corporate Governance Framework which were last approved in July 2020 by the Strategic Assurance Board and noted that the Contract Standing Orders have been updated to reflect the extension afforded to the Estates team for purchases up to £10,000.</p> <p>Determined as implemented by the Auditor.</p>		
	END		

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

Audit	Assessment level	Recommendation	Progress monitored through
Partnerships	Housekeeping	4.1 Partnership Information	SORB

		<p>1. The OPCC should update its Partnership Map to ensure it has clearly documented all the Partnerships it is engaged with.</p> <p>2. Once updates have been completed the OPCC should consider updating its website to provide clarity.</p> <p>3. The out of date partnerships briefing document should be removed from the website.</p>	
Partnerships	Housekeeping	<p>4.3 Partnership Resources</p> <p>1. The Force & OPCC should consider mapping out who attends partnership meetings to allow a quick reference guide and also assist in monitoring the use of resources.</p> <p>2. The OPCC should also consider developing a central database of all the Partnership activity that it participates in.</p>	SORB
Procurement	Housekeeping	<p>4.2 Performance Monitoring</p> <p>Leicestershire should ensure that the performance monitoring completed is in line with what has been formally agreed in the signed contract.</p> <p>This can be achieved by either updating the KPI schedule document, or altering the performance monitoring that is completed.</p>	SORB
Payroll	Housekeeping	<p>4.1 Expense Claims</p> <p>Individuals should be reminded of the significance of attaching receipts to all claims made and in ensuring that the claim amount is in line with the receipt.</p>	SORB
Payroll	Housekeeping	<p>4.2 Action Log</p> <p>Leicestershire should maintain a log of issues following receipt of incorrect PIM requests from the Derbyshire Human Resource Service Centre (HRSC). Responses should be obtained from the HRSC and recorded on the log.</p>	SORB
Payroll <u>Follow up of</u> <u>Action Plan</u>	Housekeeping	<p>4.1 Voluntary Deductions</p> <p>Management should review the reporting capabilities of iTrent to enhance the level of analysis at a more granular level.</p> <p>To ensure completion a timetable should be set for completing the outstanding action.</p> <p>For Information:</p> <p>Auditor Findings: Implemented</p> <p>Audit have reviewed the report that is generated from data held on the iTrent system. It has been noted that the report includes each entry that has been made on the iTrent system. Audit have confirmed that this is produced on a monthly basis and is reviewed by the Payroll Manager.</p>	SORB