	PAPER MARKED
POLICE & CRIME COMMISSIONER FOR LEICESTERSHIRE JOINT AUDIT, RISK & ASSURANCE PANEL	**D**

Subject	**INTERNAL – MAZARS AUDIT RECOMMENDATIONS AND TRACKING**
Date	**APRIL 2023**
Author:	**ROY MOLLETT – INSPECTION / AUDIT**

Brief Background

1. Mazars Auditors undertake an OPCC/Force commissioned annual programme of internal audits; for 2021-22 the following areas are subject of external scrutiny:

Core Financial Systems	Counter Fraud
Governance	Recruitment
Payroll	Workforce Wellbeing and Absence Management
Strategic & Operational	Health and Safety
Fleet Management	Complaints Management
Vetting	

Purpose of Report

2. The following report provides the panel with update progress responses from business owners in relation to recommendations made so far by external auditors Mazars.

3. Mazars assess and grade the recommendations in terms of **Fundamental**, **Significant** and **Housekeeping** risk and report specifically in terms of Risk Management; Value or Money and Sector Comparison.

4. The following table illustrates the number of outstanding/progressing and completed proposed closed - Fundamental, Significant and Housekeeping recommendations for the Mazar's audits for this reporting period:

Risk/Priority of Recommendation	Remaining			Total running	Completed and proposed closed	
	RED Fundamental	**AMBER Significant**	**GREEN Housekeeping**		Proposed Closed	Not Adopted proposed closed
Fundamental	2	-	-	2	-	-
Significant	-	18	-	18	4	-
Housekeeping	-	-	6	6	-	-
Total	2	18	6	26	4	-

5. **Audit Recommendations Proposed Closed:** The following four audit report recommendations are proposed closed.
   They are all **significant** recommendations in terms of the priority/risk score assigned. The table also depicts each report title, the section/recommendation reference and the page reference within this report.

Audit Title	Priority Score	Section/Recommendation Reference	Proposed Closed	Page
RECRUITMENT 2019	Significant	4.3 Reporting of all agreed KPIs	YES	8 - 10
RECRUITMENT 2021	Significant	4.2 SLA Reporting	YES	17-18
SEIZED PROPERTY	Significant	4.3 Officer Training	YES	23-25
IT RISK MANAGEMENT	Significant	4.1 Ongoing Management Review	YES	25-26

Recommendation

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

7. For the board to consider and where sufficiently evidenced agree those recommendations proposed closed.

Implications

Financial :   None

Legal :   None

Equality Impact Assessment :   None

Risks and Impact :   Risk to efficiency and effectiveness of business functions where agreed recommendations are not implemented in a timely manner.

Link to Police and Crime Plan :   Transparency and accountability for business functions.

List of Embedded Appendices

Appendix A – Internal Audit Tracker - This provides the business owner updates and is part of this document

Appendix B – Fortnightly Police Staff - Work Breakdown

Appendix C – Wellbeing Data

Appendix D – Menopause Data

Appendix E – Transport Strategy Sept 2022

Appendix F – EPAC Formal Audit Plan

Appendix G – EPAC Standardised Audit Template

Appendix H – Anti Fraud and Corruption Strategy Training

Background Papers

N/A

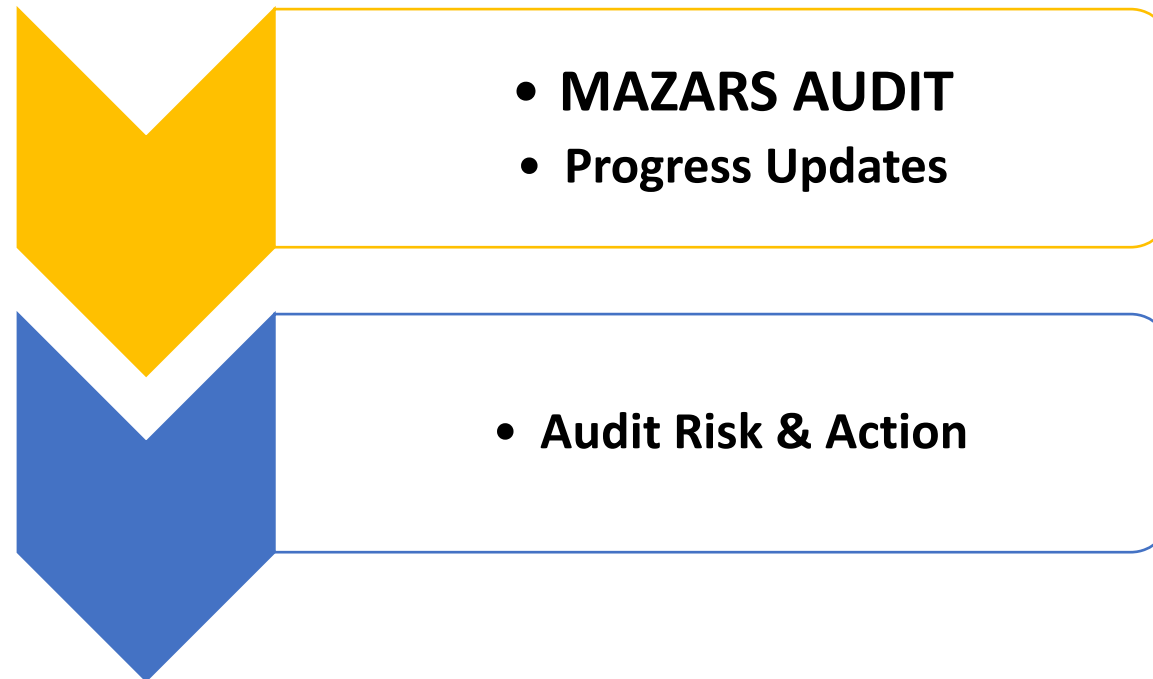## Contacts

C/Insp Siobhan Gorman - Specialist Support Directorate
Email: siobhan.gorman@leics.police.uk

Roy Mollett – External Inspection and Audit
Email: roy.mollett@leicestershire.pnn.police.uk

- **MAZARS AUDIT**
- **Progress Updates**

- **Audit Risk & Action**

RISK LEVEL	FUNDAMENTAL	SIGNIFICANT	LOW

Audit Title	Risk	Threat to Delivering	Recommendation Reference	Business Owner - Action Plan Updates
FLEET MANAGEMENT **SATISFACTORY ASSURANCE** September 2018		Improved Management Decision Making	4.2 Sample Check of Service Details	**Significant Recommendation:** Regular sample checks should be undertaken on the services carried out and the details recorded on TRANMAN. The data should be checked to ensure: • All details (including mileage) is recorded for the service; and • The annual servicing timeframe, or the 12,000 miles timeframe, have been met. **Historical Progress September 2018 – December 2021:** The Force IT department successfully rebuilt the computer system server housing the Tranman program software which is a crucial component in facilitating the future fleet system upgrade. 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. The server upgrade for the Tranman system was carried out on the 22nd February 2021. This has secured the safe operation of the system for many years. **Progress Update – Achievements to date:** The milestones for delivery of the programme of IT improvement have been updated and remain under continued review by ACO Paul Dawkins and Chief Inspector Andy Parkes Interim Head of Fleet. All cars are now fitted with Astra boxes and remedial actions are **COMPLETED.** On 9th July 2022 we moved to Tranman 9 and have been using real-time since then, snagging with Civica. Tranman Release 9 has a much improved interface, this will provide improvement to data recording, storage and searchability. Efficiency and effectiveness will be improved through improved service centre management information. Major milestones have been met with iR3 in terms of the - **wider force architecture implementation**, **reassurance**, **resilience** and **integrity and testing**. 1. Understand and snag test the new Tranman 9 and iR3 interface. **COMPLETED.** 2. Develop the test plan for live test of new iR3 with Storm (there is no Storm test environment) **COMPLETED.** 3. Test the new iR3 with Storm – iR3 live test due on the 11/10/22 **COMPLETED.** 4. Snag test and rectify Oct/Nov 2022 **COMPLETED.** 5. Install new solution for iR3 to report to Tranman (circa 5K LBA) **COMPLETED.** 6. Cleanse / improve Tranman data quality – Initial work **COMPLETED,** new codes added. **What is left to complete and Milestones?**

				1. Determine the service scheduling solution, test, snag and implement – **Q1/Q2 2023** – training day with Civica to be arranged. 2. Complete the architecture and data flow schematics for T9 / iR3 / Storm / Airwave – **Apr 2023**. 3. Write Service Level Agreements SLAs and Contingency Plans based on the outcomes of the aforementioned tests – **Q1 2023** 4. Switch to new iR3 and decommission old IR3 – Soft launch of new Ir3 took place Mid Feb, full-out March. Decommissioning to follow. 5. The Force needs to determine its provision of computer tablets – **Ongoing work with IT due mid-April 2023**. 6. Understand and exploit new functionality (including tablets) – Dependent upon progress with previous milestones – **Q2 2023** **<u>Barriers to completion, and how these may be resolved where possible?</u>** 1. Workload demands on key personnel (no dedicated resource to IR3 / Tranman) – work underway to automate many processes. Partially completed – further revenue spend required. 2. Demand from other areas e.g. vehicle commissioning, staffing issues. 3. Additional personnel (PS) into TU to assist / take some workload following the departure of previous PS and ongoing absence of workshop manager. 4. Unforeseen IT commitments and their daily other demands (service failures etc). 5. Delay in IT securing tablets due to Intune requirements. 6. Further funding likely to be required for additional Tranman modules. **<u>Risk - The following mitigation is in place to ensure force vehicle service schedule points are met:</u>** 1. Cars with **Astra box** can be mileage tracked on new iR3 and called in for service. 2. **Service stickers** are applied to the cars interior after each service identifying the next mileage point the car is due in – these **<u>MUST</u>** be checked as part of daily vehicle check and adhered to. 3. Mileage data from **fuel cards** utilised to identify service mileage points. Correct mileage **<u>MUST</u>** be supplied to the cashier for accurate mileage data. 4. There is now an accurate feedback loop from iR3 to TranMan regards mileage and work is in progress to build service schedules – ongoing build Using the above four data sources, the TU are able to identify the service points for fleet vehicles. Messages have been published on the force intranet and through management teams instructing personnel to follow the above instructions to enable correct vehicle servicing to take place.
"		Improved Management Decision Making	<u>4.4 Performance Indicators</u>	**Significant Recommendation:** 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.

Progress Update relates to 4.2 above: Recommendations 4.2 and 4.4 are directly linked. Delivery of 4.4 is dependent on developments being completed within 4.2 above.

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

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 completed to date now means that we have an accurate picture of the state of the vehicle fleet in terms of:

- **Vehicles currently active**
- **Vehicles in the TU for service**
- **Vehicles in the TU for investigation**
- **Vehicles off-site for repair**

Once the fleet baseline is established, we will be able to know and show the percentage of the fleet that is off the road on a near real time basis. The work done to date as allowed us to have a much better understanding already.

The screenshot below is taken from Tranman and whilst some of the data is still to be cleansed to be 100% accurate, we can now see the availability of vehicles across the organisation.

Whilst this is a snapshot picture, the data in the tiles cycles through to show the daily position of each and every department. It is this information which be used to help prioritise vehicles in the TU. This same data will be published via PowerBi on the intranet in due course.
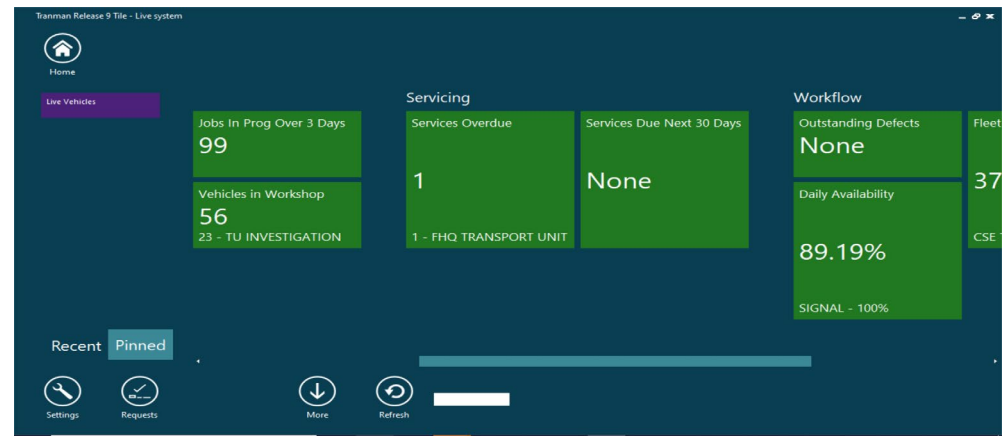
Progress Update – Achievements to date:

1.   Move to Tranman Version 9 **COMPLETED.**
2.   Where vehicles are identified as having a missing or non-functional black box, this is resolved promptly **COMPLETED**

				3. Plans developed around data capture for KPIs and improved processes **COMPLETED.** 4. Key data is now accurate within Tranman **COMPLETED.** 5. Ability to prioritise work in the TU more efficiently and effectively **COMPLETED.** 6. Processes are massively improved in the TU to ensure data is kept up to date and accurate **COMPLETED.** **What is left to complete?** 1. Complete the PowerBi Interface – **estimated late April 2023** 2. Complete the cleansing of the data in Tranman 3. Complete the baseline for the fleet – **Data all collected COMPLETED** 4. Determine Service Level Agreements SLAs for departments e.g. 85% of vehicles to be on the road 5. A vehicle servicing policy/procedure document is being created – this will include the mileage guidelines for servicing, information concerning exceptions and the permitted leeway in mileage, and how covert vehicles are dealt with – **In progress, and this relates to service scheduling** **Timeline for completion – End March 2023** **Barriers to completion, and how these may be resolved where possible?** 1. Demand on the DOIT Team who are doing the PowerBi work.
RECRUITMENT 2019 **SATISFACTORY ASSURANCE** **September 2019**		Improved Management Decision Making	4.3 Reporting of all agreed KPIs	**Significant Recommendation:** The Force should engage with Shared Human Resources Service Centre SHRSC to ensure that all agreed KPIs are reported to the Management Board on a monthly basis. **Historical Progress September 2019 – December 2021:** The challenges around the working environment surrounding the COVID-19 pandemic meant that many of the Human Resources Service Centre HRSC projects were delayed or put on hold in order for the department to concentrate on other priorities related to the impact of COVID-19. The Head of HRSC reported to the Management Board on 26th March 2021 where a business case was proposed for the board to consider in relation to funding some additional work around reporting which the department has been unable to complete over the last 12 months due to the pandemic. A copy of the report has been provided to JARAP previously. The additional funding proposed was not agreed by the board, however, the Head of HR Derbyshire and HR Director for Leicestershire have agreed to meet to discuss the matter further. **Remaining Development Required and Project Milestones:** A broad review is underway of HR Service Centre processes at the request of the Management Board. The head of department is looking to bring additional 'Transactional' work into the HRSC over the next 6 months. There are still pockets of transactional work which was not initially in scope which now need to transition into the HRSC.

				In addition, the work around reporting is continuing and head of HRSC has been tasked to prioritise reporting over the coming months.
				The head of HRSC has confirmed that the department is continuing to provide recruitment services to both Derbyshire and Leicestershire forces in line with their current recruitment plans.
				Force: The force has requested a position statement in relation to those projects both on hold and progressing. The statement should outline in detail the objectives, anticipated impact and desired outcomes for Leicestershire Police.
				Currently Key Performance Indicators KPI's are reported twice annually via the Derbyshire & Leicestershire Support Services Board (Formerly HRSC Management Board). The recommendation from the audit report was for the HRSC to provide agreed KPI's on a 'regular basis'. The Human Resources Service Centre has been working to find a solution, however efforts have been hampered over the last 2 years by the additional work the team has been required to undertake during the pandemic and Operation Uplift which has been a priority for both forces. The additional work, coupled with losing two key members of the team has resulted in some pieces of work being delayed.
				The Head of the Human Resources Service Centre completely agrees with the audit report recommendation to provide regular KPI data, however the amount of time it currently takes to compile the data would mean a fulltime role is required for this purpose and that does not under current circumstances appear to provide value for money for either organisation.
				The underlying reason for this complexity in extracting data is the way in which the system stores data and the format of the extracted data, as it requires considerable manipulation to reflect the KPI's in the Service Level Agreement SLA. This is compounded by the fact that in some cases extraction of some of the basic data required is not possible.
				The Head of the Human Resources Service Centre is liaising with the system supplier again to press for a resolution which will allow the department to report on the KPI's without having to spend an inordinate amount of time and effort trying to understand the data. Disappointingly, the head of department has not had much success in this regard previously; though efforts to address continue.
				Progress Update - Achievements to date: The dashboards were finalised and signed off by ACO Alastair Kelly and Kat Eaton Head of HR at the end of February; with the first interactive dashboard made available to Leicestershire HR on 3rd March 2023. The dashboards will now be updated fortnightly and HR colleagues in Leicestershire Police will have the updated management information dashboard loaded into the shared drive every two weeks. The Head of HR Service Centre is unable to provide the dashboard itself as it is an interactive document which requires Power BI for access. However, embedded below Appendix B is a PDF version of the report. Although it is not interactive it provides an insight into what the dashboards can provide in terms of management information. The dashboard is likely to develop further as the

				breadth and depth of data available becomes clearer and the MI requirements are further established.
				If JARAP wish to see the live dashboard itself the Head of the HR Service Centre is happy to arrange a demonstration.
				APPENDIX B - Leicestershire Police S
				The ambition of the team is to continually look at improving the value of the reports on an ongoing basis. Indeed, the team has created an interactive dashboard style of reporting rather than merely a fixed style of reporting. In doing this the functionality has been expanded through the ability to drill down into the data according to specific requirements.
				PROPOSED CLOSED
VETTING **SATISFACTORY ASSURANCE** **February 2021**		Performance monitoring	4.3 Performance reporting	**Significant Recommendation:** The Force should ensure that performance information is produced for Vetting, with consideration made to enhancing the data that is included within the performance indicators. The vetting performance information that is produced should be presented at the Professional Standards Department (PSD) Senior Management Team (SMT) meetings. Examples of further indicators that will enhance the reporting are: - The number of cases received in the month - The number of cases processed in the month - The % of renewals processed prior to the expiry date - Exception reporting on significant outliers in cycle / touch time - The proportion of each type of vetting case received within the month - The turnaround time on vetting appeals that are processed. **Management Response**: Currently, MI reporting responsibility sits outside of the Vetting unit and therefore is not within the direct control of the Security Vetting Manager. **1)** Outstanding PSD performance reports for March 2020 – January 2021 have been obtained since the draft audit report was received. **COMPLETED -** Outstanding PSD Performance pack was obtained on the 8th February 2021 - Supt Rich Ward **2)** In line with the audit recommendations, the reporting categories and KPI's are to be reviewed by the Security Vetting Manager who will act as Subject Matter Expert to the SSD Performance Analyst lead, for the development of a Strategic and Operational Vetting dashboard.

Target Date: May 2022 - Mandy Bogle-Reilly (Security Vetting Manager)

Progress Update - Achievements to date:

New Corevet Version 5 vetting software was successfully installed on the 5th July 2022.

The vetting team have reviewed the standard Management Information MI reporting capabilities afforded by Corvet before moving into phase two which entails the development of an interface between Corevet, HR Gateway and Establishment records into a new front end Vetting Dashboard / Application App.

Progress is currently delayed due to a shortage of analytical resource within the Force PowerBi Analyst Team. The Vetting Unit, cannot as yet progress to the final stage of the project to create the Vetting Dashboard/App, therefore at the moment there is no change to the status.

In the interim, the Vetting Manager and a team member are developing a simplified suite of in house monthly reports to support the current manual audit and performance reporting, until such time a Power BI resource is made available.

The position has been escalated to the Analyst Team Manager and the Head of SSD.

The Analyst team manager and Senior Performance Analyst have met to scope out the future Power BI development work required. It is understood it is likely to be a challenging and complicated product with a need to cross-reference data from Derbyshire (recruitment), Leicestershire's HR and establishment systems.

What is left to complete?
- Secure the necessary PowerBi analytical resources to support development.
- Scope the system interfaces and the reporting dashboard.

Milestones - Timeline for completion:
- The timeline for completion is entirely dependent upon the availability of resource from the force Power BI team. Timeline for individual final workstreams are to be confirmed.

Barriers to completion, and how these may be resolved where possible?
- Failure to provide adequate resource from PowerBI or specialist support will prevent any progress with development of the dashboard.
- Complexities related to system interfaces and the reporting requirements for the dashboard.
  It is understood that it is unlikely that the system will be able to address the issue around notifying vetting of changes to personal circumstances that would require additional vetting. This may however be possible from the data fields in HR and Corevet; however, until the team start the process this remains an unknown.
- The size of the performance analyst team and their current commitments, means there are challenges around capacity to provide analytical support and development of the PowerBi App without the removal of support to another area of business elsewhere in force.

WELLBEING **SATISFACTORY ASSURANCE** **February 2021**		Improved understanding and Compliance	4.1 Review of Policies and Procedures	**Housekeeping Recommendation:** The HR procedures which have been identified as out of date through our review; the tracking of previous recommendation; and, the SORB [now the Organisational Risk Board ORB] monitoring activity should be reviewed and updated. The Force should ensure that policies and procedures are reviewed regularly; and, that this is noted in the document control sections even if no updates are made.

Initial Management response: The recommendation is accepted and the progression of the full range of policies, procedures and guidance is a huge task due to the sheer number of these. They will be moved forwards and the document which confirms what stage they are at will be updated as suggested regularly even if the updates are still being worked on. None of the procedures are out of kilter with current legislative compliance to provide some reassurance.
Target Date: End June 2023 - Kat Eaton Head of HR / Bharti Mistry HR Administration

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

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

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

Type	Title of Policy, Procedure, Form	Date of next review	Update	Current status
Procedure	HR - Redeployment as a Reasonable Adjustment; Police Staff	Nov, 20	Very Overdue	**Under review – however, review now nearing completion.** **Anticipated Date for completion of review is the end of June 2023**
Procedure	Sick Pay including Extension Framework; Police Officers	Nov, 20	Very Overdue	**COMPLETED** **No longer including/excluding Extension Framework. Only have Sick Pay Procedure for Staff and one for Officers. Both published Nov 21.**
Procedure	Sick Pay including Extension Framework; Police Officers	Nov, 20	Very Overdue	**COMPLETED** **No longer including/excluding Extension Framework. Only have Sick Pay**

					Procedure for Staff and one for Officers. Both published Nov 21.
Procedure	Honoraria; Police Staff	Sep, 20	Very Overdue		**Remains under review. Anticipated Date for completion of review is the end of June 2023**
Procedure	Unsatisfactory Attendance; Police Officers	Sep, 20	Very Overdue		**COMPLETED Published 23/12/21**
Procedure	Unsatisfactory Performance; Police Officers	Sep, 20	Very Overdue		**COMPLETED Published 23/12/21**
Procedure	Work Experience	Dec, 19	Very Overdue		**COMPLETED Published 04/01/22**
Procedure	Ill Health Retirement; Police Staff	Mar, 20	Very Overdue		**COMPLETED Published 08/03/23**
Procedure	Acting Up and Temporary Promotion (Police Staff)	Jun, 20	Very Overdue		**COMPLETED Published 01/02/23**
Policy	Pay, Pensions and Benefits	Jun, 20	Very Overdue		**COMPLETED Published 08/07/21**
Policy	Performance and Development	Jun, 20	Very Overdue		**COMPLETED Published 08/07/21**
Policy	Recruitment, Development and Planning	Jun, 20	Very Overdue		**COMPLETED Published 08/07/21**
Policy	Health and Wellbeing	Jun, 20	Very Overdue		**COMPLETED Published 08/07/21**
Procedure	Career Break; Police Officers	Jul, 20	Very Overdue		**COMPLETED Published August 2022**
Policy	Leave	Aug, 20	Very Overdue		**COMPLETED Published 08/07/21**

Progress Update - Achievements to date: Clearly, there has been a great deal of development and review work completed in relation to processes and practices related to force policies and procedures. The force recognises that this is a suitable moment to apply some of the design

				development and improvement work to make the process more efficient and effective in supporting personnel across the force. All the Policies are now published as shown in the table above. Eight Procedures have been successfully reviewed and republished with the two remaining procedures undergoing the consultative review process to ensure that they appropriately support personnel across the force in delivering a high quality of service to the people of Leicester, Leicestershire and Rutland LLR. The Procedures are taking longer to review as they outline more complex matters concerning the expectations of the force and other stakeholders such as unions and staff associations - **Target Date: End June 2023**
"		Monitoring and governance	<u>4.2 Review of Thematic Data and Data Analysis</u>	**Significant Recommendation:** The Force should ensure that data, outlined on each working group's Plan on a Page, is being reviewed regularly and that any data analysis requested is being carried out effectively and shared with all relevant governance bodies. **Achievements to date:** The 5 Wellbeing Boards are developing data analysis against their plans and to also incorporate the benefits assessment of initiatives and working practices alongside a more developed wellbeing assessment of the Force. There are data packs for the Wellbeing Board for Mental Health and Physical Health Data. These are currently produced by HR until such time as the Power Bi work has moved forwards which is looking to develop the overall workforce strategic wellbeing assessment. The wellbeing KPIs were taken to the Chief Officer - Executive Group and it was agreed that further work was required. The force is currently refining the workforce wellbeing enabling strategy and the associated KPIs; when these are agreed by departmental/directorate heads and the chief officer team the KPIs will be part of the Power BI build and GAIN modelling tool. Force Performance Analysts - the work associated with replicating and enhancing the HR GAIN assessment in Power BI is considered in conjunction with the development of other apps. The analysts are acutely aware that various pieces of work will come together and contribute to the final product. It is recognised that the app will be the most complicated app built thus far. Therefore, the iterative creation of the component parts (i.e. PSD, Rest Days, Sickness, Workload etc.) will aid phased development. Estimated completion time 18 months. The wellbeing KPIs remain in development however in the interim, a Wellbeing Data Pack is submitted to the quarterly Wellbeing Leadership Board to provide an overview of all wellbeing activity under the 4 strands of wellbeing and against the national framework. The wellbeing boards continue to provide information and data regarding wellbeing initiatives undertaken. Latest Wellbeing data November 2022: APPENDIX C - Wellbeing Data V2 NO APPENDIX D - Menopause Wellbeing

				A new Head of Occupational Health and Wellbeing OHW is due to commence in January 2023 at which time strategic responsibility for wellbeing with transfer to this role and the KPIs will be further developed in conjunction with the chief officer team - Kat Eaton Head of HR **Progress Update:** A new Head of Occupational Health and Wellbeing has been appointed and the following update has been provided. We are in a holding position at present on this. It is not fully scoped out yet what the Wellbeing offerings will be. Data / KPI's and performance are being addressed by the HR position on implementation of Power BI. Also, governance boards are to be reconfigured with the possibility of a wider 'People' board to include wellbeing (and others) is being considered. This development is a positive position as it will make things more streamlined and in time enable us to focus on what matters most to our organisation. Tim Ellis – Head of Occupational Health and Wellbeing **Target date:** The new head of OHW is meeting with the Head of HR Kat Eaton this Friday the 31st March 2023, to discuss and agree a suitable target date as there are still many crossovers with HR activities and it will be necessary to ensure alignment.
WORKFORCE PLANNING **SATISFACTORY ASSURANCE** **May 2021**		Resource Mapping	4.1 Key roles mapping	**Significant Recommendation:** The Force should complete a mapping exercise and produce a centralised log of all key staff roles across the organisation, including non-leadership roles which are critical or specialised. Alongside this exercise, individuals who are able to assume these positions in a short / medium / long term capacity should be highlighted. **Initial Management response:** Accepted. It is noted the observation is in relation to 'staff roles'. The Force has a relatively flat hierarchy for staff roles typified by significant distance between roles at a senior level. The Force will create a framework for succession planning that will identify the scope of senior and other critical roles. The framework will identify for each role individuals capable to step in on a short term/emergency cover basis, and those who are anticipated to be ready in medium and longer timeframe. This will allow for targeted development and plans to manage where succession gaps are evident – ACO HR Alastair Kelly **Background May 2021 – March 2023:** A Working Group has been established to scope, develop and implement a Succession Planning Framework focused specifically on senior and critical police staff roles within the Force. This stage has been completed and piloted in areas of the business including within Specialist Support Services and the force Change Team. The force certainly recognises the business benefits of the Succession Planning Framework for police staff in that it will:

1. Enable management to identify areas of staffing risk and how the force might best mitigate that risk;
2. Provide a mechanism for line managers to identify which police staff roles within their area of business would be considered as 'key', critical posts;
3. identify possible successors and when these successors might be ready to progress into roles; plus, any development requirements required to achieve this;
4. Where successors are not apparent in the short and/or longer term, it also enables managers to start considering other means of planning e.g. through more proactive recruitment, development of regional networks that might help mitigate any risk through key personnel leaving the organisation;
5. Identify individuals that may be able to develop into a particular role in the short, medium and long term;
6. Identify where other outside resources may be required in the event of unforeseen loss of key personnel if a role cannot reasonably be undertaken by those in the existing staffing model.

A presentation that outlined the initial draft Succession Planning Toolkit has previously been shared with the JARAP panel.

The toolkit has been presented to, and is supported by the Assistant Chief Officer ACO for Human Resources HR.

The force is committed in going forward in introducing the toolkit across all police staff departments/roles and embed it into an annual programme that considers and reviews key roles in order to identify risk and inform appropriate plans for development, recruitment and business continuity.

Progress Update: Due to a long term absence a new Leadership and Management Business Partner within the Team Leicestershire Academy TLA has been appointed to lead on this important piece of work.

The lead has met with those staff previously supporting the original pilots of the succession planning for police staff from a HR perspective to understand the findings from the pilots. One of the key points of note was the need to simplify the process from its original 6 steps. The team have identified which steps were of most value and recommendations have been made in favour of a simplified 3 step process, outlined as follows:

Step 1 – Identify Critical Roles - This enables a manager to look at the police staff roles within their team and identify critical roles through a scoring matrix with a focus on those that are at high risk of becoming vacant within the next 2 years.

Step 2 – **Identify Specialist Skills –** Where a high risk critical role is identified, build a role profile to identify specialist skill sets of that role.

				Step 3 – Create a succession plan – Initially reviewing the aspirations of people within their team for potential successors with whom you can implement a development plan. Where a high risk critical role does not have an identified successor, this should be flagged on the FMS ORA and consideration to alternate succession planning options such as the Career Aspirations for Police Staff or an external attraction plan. Next steps include the development of an electronic version of the revised form to be piloted within the TLA with a view to a Force wide launch by September 2023. A meeting was held with both the Chief Constable and Assistant Chief Officer ACO Human Resources on the 13th March 2023 to provide a full update on the proposed Leadership and Management Development, strategy, structure and offer of which this workstream was also presented. The proposal and direction of travel was met with a positive response. **What is left to complete?** • Following further feedback from force business areas further refinements are to be made to the SPMT • The finalised toolkit 'Go live' target date: **September 2023** – a copy of the succession planning toolkit will be provided to JARAP on completion. • Briefing HR Business Practitioners to support suitable communications and engagement across the force. **Milestones - Timeline for completion:** • Target 'Go Live' **September 2023** • Head of Team Leicestershire Academy TLA and Head of Human Resources HR will review and monitor each quarter. **Barriers to completion, and how these may be resolved where possible?** • None
RECRUITMENT **SATISFACTORY ASSURANCE** September 2021		Performance against Service Level Agreements	4.2 SLA Reporting	**Significant recommendation:** The Force should establish a routine reporting mechanism against recruitment SLAs. **Initial Management Response:** Supported. 1.The SLA should accurately reflect the KPIs that are in fact being monitored to assess performance. 2. Aspirational KPIs that are not currently monitored for whatever reason should either not appear on the SLA, or be clearly marked as such. KPIs are provided to the twice yearly HRSC Board meeting. However, this is recognized as too infrequent to allow early resolution and is not the intention. Monitoring of KPIs to occur at regular client liaison meetings on a monthly basis. It is recognized that some KPIs may be updated more frequently than others. Maz Ahmad, Kat Eaton to effect from **end July 2022**
				Progress Update: Please see bottom of page 8 to top of page 10 above as this is a duplicate - Mazars have revisited this recommendation and reiterated the need for regular reporting of KPIs.

				The dashboards were finalised and signed off by ACO Alastair Kelly and Kat Eaton Head of HR at the end of February; with the first interactive dashboard made available to Leicestershire HR on 3rd March 2023. The dashboards will now be updated fortnightly and HR colleagues in Leicestershire Police will have the updated dashboard loaded into the shared drive every two weeks. The Head of HR Service Centre is unable to provide the dashboard itself as it is an interactive document which requires Power BI for access. However, embedded below Appendix B is a PDF version of the report. Although it is not interactive it provides an insight into what the dashboards can provide in terms of management information. The dashboard is likely to develop further as the breadth and depth of data available becomes clearer and the MI requirements are further established. If JARAP wish to see the live dashboard itself the Head of the HR Service Centre is happy to arrange a demonstration. The ambition of the team is to continually look at improving the value of the reports on an ongoing basis. Indeed, the team has created an interactive dashboard style of reporting rather than merely a fixed style of reporting. In doing this the functionality has been expanded through the ability to drill down into the data according to specific requirements. **PROPOSED CLOSED**
FLEET MANAGEMENT **SATISFACTORY ASSURANCE** November 2021		Performance against Business Plan	4.1 Performance Information	**Significant recommendation:** Performance Indicators for the Fleet Management department should be developed. These should be used to assess performance against delivery of the Transport Unit Business Plan 2021/2022. Performance should be reported to the appropriate Force and OPCC forums on a regular basis. **Initial Management Response:** The Transport Unit will commit to creating KPI's that are meaningful, provide valuable management information and that can add value. Workshop KPI's are an important part of this. Some of the proposed KPI's will be dependent on a fully working and effective iR3 system, which has yet to be resolved, along with any process refinements. Any proposed KPI's will be taken through and ratified by TUB (Transport Utilisation Board). **This is a revisit repeat recommendation** **For the update please see 4.4 Performance Indicators above starting page 6 and ending on page 8**
"		Monitoring of Servicing	4.2 Sample check of service detail	**Significant recommendation:** It should be ensured that: ➢ Where a vehicle has a missing or non-functional black box, this is resolved promptly.

				➢ A process is put in place to allow for the mileage of covert vehicles to be made available promptly upon request. ➢ A vehicle servicing policy or procedure document should be created, this should include the mileage guidelines for servicing, information around exceptions such as the allowed leeway in mileage, and how covert vehicles are dealt with. **Initial Management Response:** A fully functioning tracking system along with the replication of the vehicle service schedule within iR3 will overcome potential issues with service intervals being missed. Vehicles that do not have tracking systems fitted, covert/surveillance vehicles, have tended to adhere to the appropriate service regime but it is recognised that a clearer defined process for reporting mileage will help avoid missing any service intervals. An appropriate servicing guideline document will be created for submission and ratification by TUB. **This is a revisit repeat recommendation** **For the update please see 4.2 Sample Check of Service Details above starting page 5 and ending on page 6**
"		Planning, Strategy and reporting eco-efficiency	4.4 Alignment of Strategies and Delivery Plans	**Significant recommendation:** The Force should ensure annual business plans are aligned to the overall Transport Strategy. The Force should review how it will report on delivery of the 'eco-efficient transport solutions'. **Initial Management Response:** The annual Transport Unit business plan is largely aligned to the Transport Strategy. The strategy of an Eco-efficient transport strategy has to be balanced against the needs of the police force and its operational requirements, appropriate vehicles in the marketplace, infrastructure and budget considerations. As part of the vehicle procurement strategy adopted thorough discussions with force fleet leads and Transport User Board, the decision was made to move away from diesel vehicles for general response vehicles. The need for inclusion of this target in the Transport Unit business plan is noted and will form part of future plans. Reporting around the environmental impact of the fleet was withdrawn as accurate data on vehicle use was not available. This will be reinstated when the tracking system roll out has been completed and accurate data can be referenced. Reducing the carbon emissions associated with the force's fleet is included within the draft environment and sustainability enabling strategy. **Progress Update:** The work that has been largely completed within TranMan and iR3 will now be able to form the basis of the business plan going forwards. With accurate vehicle utilisation data now available, work can begin to understand the future fleet and infrastructure requirements. This will also allow us to better understand our environmental impact as the data is far more accurate. **Achievements to date:**

				1. All new General Response Vehicles GRVs and high performance vehicles are petrol or MHT **COMPLETED** 2. New interim Head of Fleet appointed who has attended national meetings and conferences relating to the move to EV **COMPLETED** 3. CC's new car is petrol-electric hybrid and a charging point has been installed at FHQ **COMPLETED** 4. Demos and tests are being arranged for EV / PHEV etc **COMPLETED** 5. Head of TU and estates have had several discussions around future infrastructure requirement. 6. A Sec106 bid has been put forward for 5 electric vehicles, (4 enquiry cars and 1 cell van and associated charging infrastructure). 7. Refresh of the Fleet Strategy **COMPLETED** APPENDIX E - Transport Strategy S **What is left to complete?** 1. Create a Business Plan for the move towards fleet electrification – WIP. 2. TranMan data cleansing should be complete by **end of financial year 2022-23** 3. Awaiting decision on S106 funding bid – due by **end of financial year 2022-23** 4. Development of deployment plan for EVs to be shared with TUB and JARAP pending completion of item 3. **Timeline for completion – End of financial year 2022-23** **Barriers to completion, and how these may be resolved where possible?** 1. Complexity of the issue and maturity of understanding nationwide. 2. Lack of EVs on national framework. 3. Financial challenges as capital costs for EVs are considerably higher. Interim Head of Fleet Chief Inspector Andy Parkes.
"		Tranman Standardised Roles	4.5 Tranman User Access	**Housekeeping recommendation:** A review of user roles within Tranman should take place, and a new standardised set of user roles should be implemented. **Initial Management Response:** As part of the new TU Transport office managers role, reviewing systems and processes has been assigned as an objective. A review of Tranman was already underway at the time of the audit. This should be implemented within the next few months when Civica, the supplier, can accommodate the change request. **Progress Update:** **Achievements to date:** 1. Move to Tranman Version 9 **COMPLETED**

				2. Vast improvement in data quality in TranMan **COMPLETED** 3. Civica attended FHQ to make changes to TranMan and compile improve report - **report now received and assessing the cost options** **What is left to complete?** 1. Understand and exploit the capabilities of Tranman to maximise efficiency and effectiveness 2. Introduce tablets and move to paperless job cards. **Timeline for completion - End of April 2023** **Barriers to completion, and how these may be resolved where possible?** 1. As previously outlined above - workload and staffing. Interim Head of Fleet Chief Inspector Andy Parkes
SEIZED PROPERTY **SATISFACTORY ASSURANCE** **January 2022**		Oversight and Governance	4.2 Audit Regime – Main Store	**Significant recommendation:** Leicestershire should develop a formal audit plan in order to ensure that all main store items are audited in line with the Property Management Policy Leicestershire should also review the current approach to property audits at the EPAC, to ensure policy can be adhered to. **Initial Management Response:** The force recognises that it is some time since the new force EPAC facility was completed and that policies and working practices are due for review and refresh where necessary. This will ensure the safe keeping, and accountability of property stored; whilst minimising risk for the force. The Force is actively pursuing the following actions in relation to audits generally within the force and particularly within the Force Evidential Property Archive Centre: **Achievements to date:** 1. <u>Review the Force Audit requirement and Strategy</u> as a whole force function. A draft proposed corporate audit schedule has recently been presented to ACC Smith for consideration prior to submission to the chief officer Exec Group. The following further work has been undertaken: ➢ Further consultation across the areas of the business before finalisation of the proposal. ➢ Completion of the revised policies and procedures for the EPAC – **COMPLETED** – Agreed and published, copy available where required. ➢ Consult and outline the internal compliance regime that will operate within EPAC prior to endorsement of any Corporate Audit EPAC Audits. The internal compliance regime is to be the first line of defence; with this being fed into the Corporate Audit regime as this will enable the force as a whole to prioritise areas for audit. ➢ A meeting was held with the Force Audit Manager in September 2022. Unfortunately, the team have not secured the uplift in staff hoped for, and therefore haven't been able to offer any auditing support and implement the audit plan previously been agreed at the Exec Group. 2. <u>Audit standardisation</u> **-** It was recognised that Evidential Property Officers were carrying out audits in different ways. Therefore, training has been rolled out to the team, with the expectation

				that audits will be carried out in a standardised way – **please see Appendix G standard audit template, embedded below.** 3. <u>Development of an EPAC 'Formal Audit Plan'</u> The EPAC management team have received some guidance and support from the Force Audit Manager around what an internal compliance regime should look like for the EPAC. As a result of this, the following Formal Audit Plan has been developed for implementation. The plan is contained within the Property Policy/Procedure but is extracted for convenience here: APPENDIX F - Formal Audit Plan.d APPENDIX G - Std Audit template L-15· **What is left to complete?** 4. <u>Measures taken to address the backlog of accumulated property</u> within the EPAC due to the COVID-19 pandemic – The Evidential Property Review recommended that a backlog team be secured to clear the pend-disposals [approximately 80,000] and then complete a full audit of the main store. The force Executive Group approved a small team of 6 who will be responsible for the disposal of all evidence that is in append-disposal state. Once that is complete they will move on to a full physical audit of the EPAC, including an audit of the property management system. ➤ **3 FTE agency staff are now in post – disposal for 1 year** ➤ **3 FT permanent Property Officers are now in post. Addressing the disposal backlog and audits are being completed concurrently as part of everyday business.** The backlog has been significantly reduced from just over 80,000 to approximately 17,000 disposals remaining to be processed [down from 27,000 at the last JARAP]. Estimated time or target date for completion – **30th June 2023**
"		Process Efficiency	4.3 Officer Training	**Significant recommendation:** Evidential Property Archive Team EPAT should communicate with The Academy to develop an appropriate and proportionate approach to training for all Officers. This could include but not be limited to: • A set period for refresher training. **Initial Management Response:** 1. EPAT has communicated with the Team Leicestershire Academy. A review of the course content for the new recruits and operational staff has commenced and it will be upgraded to include a specific scene management section and training around RRD of evidence. The system management and accuracy of this will also be taught at the stage by the IT Trainers. Short videos will be made to bridge the gaps in the skills training for the serving officer's and operational staff. Evidence Management is not mandatory training governed by the College of Policing or linked to an accreditation. Skills training is managed by the LPD and CAID directorates. Any changes

in legislation or guidance will be included in the directorates skills training sessions. This will be open-ended and orchestrated by the EPAT Manager.

Mandated NCALT type training will be designed and developed to ensure that the recent changes in packaging and retention will be covered. A record of who has completed this training will be held.
EPAT Manager Amie Peplow - assisted by the Force Academy - Collette Porter

Update - Achievements to date: The EPAT supervisors provide a 2 hour input to the new COHORTs. The Academy has vastly improved the training that is provided to the new recruits, involving scene management scenario days, which cover seizure, packaging, temporary store management and RRD.
NPO Training days now include an EPAT section where the most common errors are covered.

The Evidential Property Officers have received an input around evidence packaging. This has upskilled and empowered the EPAT staff to feel confident in tackling poor packing and offer good quality advice to the seizing officers.

The Evidential property Review - recommended that a Sergeant leads a six-month operation to include:
- A full analysis of current training and knowledge gaps in processes and procedures, including
- To work with the Academy and regional CSI trainer in shaping the future training offer to new recruits based around a cycle of continuous improvement and lessons learned.
- To build and deliver a training package that upskills officers in areas identified through analysis.
- To build a process through knowledge checks that ensures we can maintain a level of confidence in our knowledge and practices moving forward.
- Directly tackle bad habits and provide feedback where required.
- An aim to change the culture of property by ensuring officers and supervisors see it as a priority and therefore dedicate the appropriate time and resources.
- A conscious avoidance of latest news articles and posters / literature.

A Sergeant has now been allocated on attachment to the EPAC. She will be leading a six-month operation to tackle non-compliance and the training development outlined above.

Training for student officers - has really progressed with the Academy developing their course content to include scene scenario days. Training for operational staff and officers is still in the strategy stage and is being led by the Academy.
EPAT Supervisors are still providing an input and tour of the EPAC to new recruits, and we are still working closely with the Academy, to ensure the training offered to student officers remains fresh and relevant. **COMPLETED**

Communications and Engagement - The force has launched a series of videos, which can be accessed day or night, to give officers all the information they need to ensure our investigative standards remain high, this includes important aspects related to property.
The online tutorials are designed as *'how to'* guides but will help all officers keep up to date with the latest investigative developments.

				(evidence provided at last JARAP – Intranet publication - short videos improving Investigation - including property) **COMPLETED**
				Oversight and Governance – The department is looking have an agenda item on the STEPS meeting chaired by the Head of the Local Policing Directorate, where data will be presented from Power-Bi and evidence through their own findings, in order to address areas of concern. So far, it has been difficult to extract the information required from Power-Bi, however, empirical evidence suggests that non-compliance has reduced since the introduction of the above Sergeant role. Should non-compliance increase in the future, then the position will be reconsidered by the EPAC manager.
				Evidence Champions - Consideration is being given to having 'Evidence Champions' out on area. It is hoped that these officers would attend a bespoke training day, and then become a SPOC for their shift/team, for example by disseminating any changes in Evidential Property procedures to their colleagues, and ensuring local packaging stocks are maintained. March update - With the implementation of Initial Police Learning and Development Programme IPLDP, the Team Leicestershire Academy have not had the capacity to begin this piece of work. From April 2023, the TLA will be allocating a trainer resource to commence this work. A PowerPoint presentation has been developed by the non-compliance Sergeant in conjunction with the Team Leicestershire Academy TLA. Training will be provided on the next available 10 week cycle of NPO training and the Tutor courses – next cycle commences 16th May 2023.
				IT to support officers - Work is on-going to create QR codes, which will direct officers to relevant training videos/specific parts of the property procedure document. The department are also considering the inclusion of a property element on the 'At the Scene' App. This would allow officers to access the right information, at the right time. The non-compliance Sergeant is progressing this, but has been focussing on the NPO training as a priority.
				Target date – end March 2023 Officer Training has improved significantly and now forms part of everyday business, therefore the above recommendation is proposed closed - Sophie Law EPAT T/Evidential Property and Archives Manager.
				PROPOSED CLOSED
GOVERNANCE **SATISFACTORY ASSURANCE** **May 2022**		Documentation compliance	4.1 Review of Corporate Governance Framework	**Significant Recommendation:** Leicestershire should ensure that the Corporate Governance Framework is reviewed and updated in a timely manner. **Initial Management Response:** Agreed Timescale and Responsibility: Immediately – Paul Dawkins Assistant Chief Officer ACO (Finance & Resources) Kira Hughes Interim Chief Finance Officer CFO (OPCC) **Progress Update:** The review of the Corporate Governance Framework has commenced and currently ongoing; however, it will shortly be going through for consultation with the PCC, OPCC SMT, COT and Legal – Revised **Target date for completion is the 30th April 2023** – Kira Hughes Interim Chief finance Officer OPCC.

IT RISK MANAGEMENT **SIGNIFICANT ASSURANCE** **August 2022**		Risk Management Process Review	4.1 Ongoing Risk Management review	**Significant Recommendation:** We support the ongoing work to review the risk management process, which should ensure greater consistency in completion of risk assessments and we recommend that a timetable for completion is established. **Initial Management Response:** Since publication of this draft audit report, the Information Management team have met with Health and Safety and developed the review of Information Security risks. These are being graded and will be delivered at the next ORB. A regular meeting will also be set up to ensure that IM risks are reviewed and identified regularly with appropriate management plans in place. **Target Date: March 2023** – all risks will not only be graded but improved management of these risks at a local departmental level will have been embedded also. **Update - Achievements to date:** Information Security Risk Updates are a core part of the Organisational Risk Board and are held quarterly where they are subject to review and escalated to Strategic Risks where required. An example of this recently is in regards to our Cyber Security risks following a spate of attacks on partner organisations. The risk was evaluated at ORB and was subject to a Gold Group (Op Chocaholic) that ultimately culminated in a paper being submitted to the Force Executive on the 20th December regarding our long term planning in this area. As such we have confidence that the IT related risks such as information security are now being reviewed adequately at this stage. However, 1-2-1 meetings with the SIRO can take place at any time to escalate an Information Security risk as required. The current SIRO is ACC Kerry Smith. **March Update:** The Digital and Data Board has now been established and is chaired by the Ch Supt for SSD who also chairs the Organisational Risk Board. As such we now have confidence that there a significant grip of risk management processes across the Force and monthly highlight reports will be taken to the Force Executive to ensure they also remain sighted on this area. No actions left outstanding and this has now transitioned to business as usual. Example papers requested from Steve Morris Head of Information Management 07/03/23 and reminder sent 16/03/23 **Timeline for completion** – Target Date – **end March 2023** **PROPOSED CLOSED**
HEALTH AND SAFETY **SATISFACTORY ASSURANCE** **September 2022**		Process improvement	4.1 Completion of manager violent incident follow up	**Significant Recommendation:** The responsibilities of managers should be updated to reflect the new form and a process implemented to chase missing forms. The Force should ensure that Managers complete follow up forms. **Initial Management Response:** This will be written into the revised health and safety procedure when reviewed.

				Achievements to date – The form has been amended but this work is being led by the Assaults Working Group now. **What is left to achieve** – The recommendation has not been progressed to date as the Health and Safety Procedure is currently with the force Executive Group for consideration and sign-off. **Timeline for completion** – **March 2023** **Barriers to completion** – none identified.
"		Process improvement and quality control	4.4 H&S risk assessments	**Housekeeping recommendation:** Managers should ensure that risk assessments are resubmitted and amendments made in a timely manner to ensure they pass quality control. **Initial Management Response:** The unit will be designing a new risk assessment form which will allow more of the risk assessment to be undertaken by individuals who aren't trained risk assessors. The support provided by the unit through bow tie meetings which will be expanded to include h&s risk assessment to further facilitate progress. The unit does not ratify risk assessments as identified in the report, they have a quality assurance role. The unit will supply specific updates to the committees based on the progress of the bow tie exercises. They will also provide feedback from risk communication and accident/near miss investigation regarding where risk assessments need to be created, reviewed or ratified. This will allow directorate/departmental heads to take appropriate action where gaps have been identified. **Target Date:** H&S Unit/Change Team, Directorate and departmental Heads **July 2023.**
				Achievements to date – The work has been scoped out and it is apparent that the work will have to be split into a task list form, followed by an assessment form. **What is left to achieve** – The two forms will have to be designed. **Timeline for completion** – **July 2023**. **Barriers to completion** – The unit is currently under review and under strength. A member of staff has left to take up a temporary role and the new assistant advisor has only recently returned to the unit after not being available for the majority of 2022. This staff member is still yet to complete their H&S qualification and therefore currently has limited ability to contribute to the units workload. There is a significant amount of work involved in designing the form and ensuring that the branching is provided correctly. This will be attempted with significantly limited resources and is also dependent on the amount of time that the Microsoft 365 project manager has available.
COUNTER FRAUD **LIMITED ASSURANCE** November 2022		Strategic Direction	4.1 Lack of Awareness of the Anti-Fraud & Corruption Strategy	**Housekeeping Recommendation:** The Force/OPCC should undertake activities to ensure that there is an appropriate level of awareness of the Anti-Fraud and Corruption Strategy. The Force/OPCC should clearly separate the Anti-Fraud and Corruption Strategy from within the Corporate Governance Framework to provide greater awareness of the strategy. **Initial Management Response:** Agreed: The force is in the process of developing activities to support awareness amongst personnel of the Force/OPCC Anti-Fraud and Corruption Strategy. **Update:** The review of the Corporate Governance Framework has commenced and currently ongoing; however, it will shortly be going through for consultation with the PCC, OPCC SMT, COT and Legal – Revised **Target date for completion is the 30th April 2023** – Kira Hughes Interim Chief finance Officer OPCC.

		Training	4.3 Lack of Fraud Training	**Fundamental Recommendation:** In deciding what the appropriate level of training is, the Force/OPCC should carry out a training needs analysis to establish which areas of the organisation have a higher risk of fraud and corruption and then tailor training as necessary. The Force should then ensure that there is an appropriate provision of training to meet the needs of the organisation highlighted from the training needs analysis. The delivery of all training should be monitored for its effectiveness and be regularly reviewed to ensure it is meeting the needs of the organisation.
				Target Date: mid-July 2023 Supt Rich Ward – Head of PSD
				Update: The DCC has agreed with the Head of the Force's Professional Standards Department PSD a comprehensive, detailed and specific webinar as the way forward.
				The force already has 'formal' inputs around this for new recruits that tests knowledge and understanding. The force will test wider knowledge and understanding at a suitable time following the comprehensive webinar previously stated.
				His Majesty's Inspectorate of Constabulary HMIC will also test knowledge around this theme as part of the PEEL 2022-23 continuous assessment process and Mazars will review and test implementation within a future revisit audit.
				A comprehensive and detailed Briefing Pack and Webinar has been produced which actually covers the following wider spectrum of themes related to standards of professional behaviour:
				➢ **Force and OPCC - Fraud and Corruption Strategy**
				➢ **Gifts and Gratuities**
				➢ **Business Interests**
				➢ **Whistle Blower Procedure**
				➢ **Confidential Employee Reporting**
				The webinar has been actively communicated to personnel through the Team Leicestershire Academy bespoke webpage, with links to policy and guidance; an email message and link to the webinar circulated to managers, supervisors and team leaders in order for them to brief their teams accordingly.
				A follow up intranet message will shortly go out from the Head of PSD, again with links to the webinar, policy and guidance. A copy of the strategy is embedded here and a screen-shot of the Webinar below:
				APPENDIX H - ANTI FRAUD AND CORRU

What is left to achieve – Dip-sampling to test the effectiveness of the training rolled out in relation to the 'Ten Standards of Professional Behaviour for Police Officers and Staff'.

A suitable officer/staff sample will be selected and direct contact made to test the effectiveness of the training provided.

Timeline for completion – **results mid-July 2023**.
Barriers to completion – None anticipated

PAYROLL **SIGNIFICANT ASSURANCE** **February 2023**		Receipt process	4.1 Expenses claims	**Housekeeping Recommendation:** The Force should remind individuals regularly of the significance of obtaining receipts for all expenses to be claimed and in ensuring that the claim amount equals the receipts total. **Initial Management Response:** It is accepted that in some circumstances it is not always possible for officers / staff to obtain receipts and in these situations, we would use our discretion. The team will be reminded to check that receipts are attached for claims processed on CMS (outside of express authorization) and if not available to record a comment. The guidelines for uploading the receipts on CMS will be reissued on Latest News as a reminder for all officers / staff. **Target Date:** **February 2023 – Jane Timms Financial Services Manager**

	🟩			**Recently finalised and published report – update will be provided for the next JARAP meeting**
"	🟩	Authorisation of overtime	4.2 Overtime claims	**Housekeeping Recommendation:** The Force should ensure that checks are performed confirming authorisation of paper overtime claim forms. **Initial Management Response:** All paper overtime forms will be checked to ensure that these have been appropriately authorised, prior to processing. **Target Date: March 2023 – Jane Timms Financial Services Manager** **Recently finalised and published report – update will be provided for the next JARAP meeting**
"	🟧	Fraud Prevention	4.3 Comparison of employee bank details and supplier deatils	**Significant Recommendation:** The Force should implement regular and routine checks of employee bank details and supplier details. **Initial Management Response:** A quarterly check will be introduced to compare the bank details of employees and suppliers as set out in the recommendation. **Target Date: June 2023 – Alice Davis Payroll Services Manager / Samantha Lamb Senior Accountant** **Recently finalised and published report – update will be provided for the next JARAP meeting**
OPCC RECRUITMENT LIMITED ASSURANCE January 2023	🟥	Administration	4.1 Interview Panel Member Forms	**Fundamental Recommendation:** The OPCC should ensure that all interview forms are completed and uploaded to E-Recruitment before a candidate is processed through to pre-employment checks. Where interview panel members are listed on E-Recruitment, mandatory upload fields should be generated that must be filled before a candidate can be processed through from the interview stage to pre-employment checks. The OPCC should generate a standardised template for interview panel members, which includes a field for their name. **Initial Management Response:** OPCC Recruitment Policy, Guidance and templates to be produced and implemented. Mandatory fields have been generated and implemented as per Resourcing Partner 1/12/22. **Target Date: 31st March 2023 – Nimisha Padhiar OPCC Policy and Compliance Officer** **Recently finalised and published report – update will be provided for the next JARAP meeting**
"	🟧	Recruitment Procedure	4.2 OPCC Post Authorisation	**Significant Recommendation:** The OPCC should formally document their approach to recruitment, including all deviations from the Force procedures and agreed SLA with the SHRSC **Initial Management Response:** OPCC specific Recruitment Policy, guidance and templates to be produced and implemented. **Target Date: 31st March 2023 – Nimisha Padhiar OPCC Policy and Compliance Officer**

				Recently finalised and published report – update will be provided for the next JARAP meeting
"		Recruitment Process	4.3 Essential Criteria	**Significant Recommendation:** The OPCC should ensure that candidates cannot be processed through E-Recruitment unless all mandatory essential criteria field are filled with 'met'. In exceptional circumstances where they are not 'met', sufficient supporting evidence to explain the selection of the candidate should be retained. **Initial Management Response:** There will be a warning message however it is still possible to progress to interview if one essential is "not met". The rational for this is that each vacancy is unique and is based on the number of applicants and post. etc. HRSC will be looking at whether a warning message can appear if one of the essential criteria is not met and ensure a rational is uploaded. **Target Date:** 31st March 2023 – Niki Doyle, Resourcing Partner (HR Shared Service Centre) **Recently finalised and published report – update will be provided for the next JARAP meeting**
				END