POLICE AND CRIME COMMISSIONER FOR LEICESTERSHIRE

JOINT AUDIT, RISK & ASSURANCE PANEL

PAPER MARKED

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Subject	**INTERNAL – MAZARS AUDIT RECOMMENDATIONS AND TRACKING**
Date	**THURSDAY 1 AUGUST 2024 14:00 – 16:00**
Author:	**ROY MOLLETT – INSPECTION / AUDIT**

Brief Background

1. Mazars Auditors undertake an OPCC/Force commissioned annual programme of internal audits; for 2022-23 and 2023-24 the following areas are subject of external scrutiny:

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

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 Accepted proposed closed
Fundamental	5	-	-	5	2	-
Significant	-	30	-	30	7	1
Housekeeping	-	-	20	20	10	-
Total	5	30	20	55	19	-

5. **Audit Recommendations Proposed Closed:** The following nineteen audit report recommendations are proposed closed.
   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
COUNTER FRAUD		4.1 Lack of awareness of anti-fraud and corruption strategy	Superseded by recent audit	20
"		4.3 Lack of fraud training	"	20-22
PARTNERSHIPS		4.1 End of contract arrangements	✓	23-24
ENVIRONMENTAL STRATEGY REVIEW		4.1 Environmental targets and outcomes	✓	26
"		4.2 Staff education and skills	✓	27
"		4.3 Environmental managements systems	✓	27
"		4.4 Environmental strategy and policy approval	✓	28
"		4.5 Public engagement	✓	29
"		4.6 Environmental strategy clarity	✓	30
PROCUREMENT MANAGEMENT		1. Out of date policies and procedures	✓	32
"		2. Declarations of interest	✓	33
"		3. Framework and direct awards are not uploaded to contract finder	✓	33
"		4. Equality impact assessments and supplier audits are not completed	✓	34
"		5. A formal procurement training programme has not been developed	✓	35
"		6. Contracts are not appropriately signed and dated	✓	35
"		7. Critical points of failure in the supply chain are not identified	✓	35-36
PAYROLL		1. Variations to employee working hours are not applied accurately	✓	36
"		2. Monthly checking of payroll inputs is not completed	✓	37
CORE FINANCIALS		1. Non-purchase order invoice payments	✓	38

Recommendation

6. For the board to note the attached summary action updates on progress from business owners against each respective audit recommendation at **Appendix A** below and the associated evidence embedded within the document.

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

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
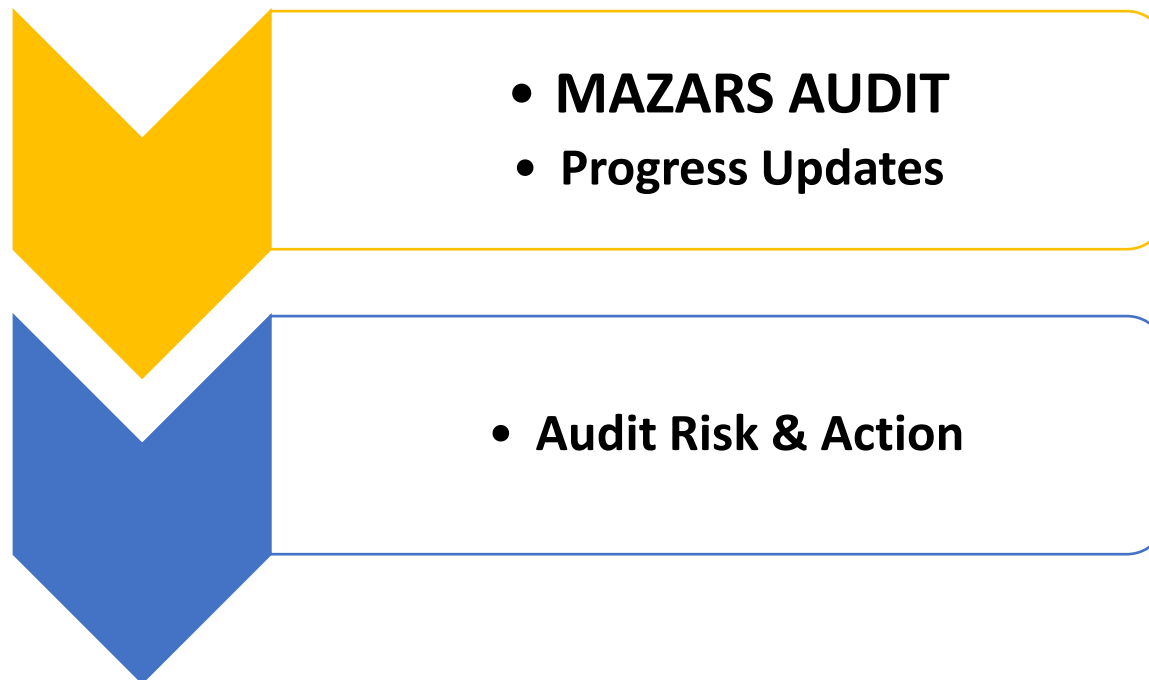   functions.

Background Papers
N/A

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

- **Audit Risk & Action**

RISK LEVEL	FUNDAMENTAL	SIGNIFICANT	LOW

Audit Title	Risk	Recommendation Reference	Business Owner – Action Plan Updates
FLEET MANAGEMENT **SATISFACTORY ASSURANCE** **September 2018**		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. **Update July 2024 – Achievements to date: [blue text are updates for July]** The milestones for delivery of the programme of IT improvement have been updated and remain under continued review by ACO Paul Dawkins and Supt 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. 7. Switch to new iR3 and decommission old IR3 – Soft launch of new Ir3 took place Mid Feb, full-out March. Decommissioning to follow. **Decommissioning COMPLETED** **What is left to complete and Milestones?** 1. Determine the service scheduling solution, test, snag and implement – Q2 2023 – training day with Civica to be arranged. Work in progress – **estimated March 2024 (IT delays)** This has been put back to end of 2024. The current TranMan

			system is due to be phased out over the coming years and we are assessing other options rather than investing in the older system although funding challenges may limit our options. 2. Complete the architecture and data flow schematics for T9 / iR3 / Storm / Airwave. **Completed** 3. Write Service Level Agreements SLAs and Contingency Plans based on the outcomes of the aforementioned tests – TBC– **linked to 1 above.** 4. The Force needs to determine its provision of computer tablets – **Testing complete – awaiting delivery of right tablets (wrong ones were delivered / ordered by IT – due imminently- still waiting, correct ones ordered Jan 2024)** The Tablets have now been received, and the department are in negotiations with Civica over final implementation (linked in part to 1, above) and costs – aimed to be completed by the end of August 2024. 5. Understand and exploit new functionality (including tablets) – Dependent upon progress with previous milestones – **Q1/2 2024** **Barriers to completion, and how these may be resolved where possible?** 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. Still pending. **Not now possible due to requirements from other Departments.** 4. Unforeseen IT commitments and their daily other demands (service failures etc). 5. Delay in IT securing tablets due to Intune requirements. **Now in possession of the tablets.** 6. Further funding likely to be required for additional Tranman modules. **Still in negotiation as per above.** 7. Challenges with provider external access to the necessary force systems – currently with IT to resolve. **Resolved for Ir3.** **Risk – The following mitigation is in place to ensure force vehicle service schedule points are met:** 1. Cars with **Astra box** can be mileage tracked on new iR3 and called in for service. 2. **Service stickers** are applied to the car's interior after each service identifying the next mileage point the car is due in – these **MUST** be checked as part of daily vehicle check and adhered to. 3. Mileage data from **fuel cards** utilised to identify service mileage points. Correct mileage **MUST** be supplied to the cashier for accurate mileage data. 4. 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.
"		4.4 Performance Indicators	**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.
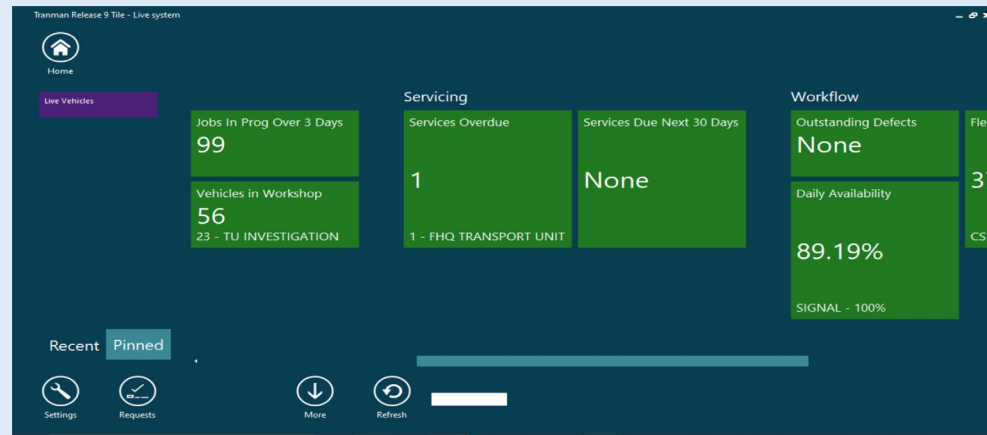
Progress Update – Achievements to date:

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 KPIs have been discussed with the performance team and options have been identified. Work is ongoing with the Transport Unit,**

			Performance Analysts and the DOIT team (where capacity allows) to automate the data from TranMan. Delay is purely due to capacity of analytical team. 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 – Initial version done, awaiting final version Nov 2023 (**Completed – Now available to all officers** 2. Complete the cleansing of the data in Tranman. **COMPLETED** 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 **COMPLETED** 5. A vehicle servicing policy/procedure document is being created – this will include the mileage guidelines for servicing, information concerning exceptions and the permitted leeway in mileage, and how covert vehicles are dealt with – **In progress, and this relates to service scheduling** **Timeline for completion – Currently in draft – awaiting Tranman service scheduling work, Work pushed back to end of the year as per above** **Barriers to completion, and how these may be resolved where possible?** 1. Demand on the DOIT Team who are undertaking the PowerBi work.
VETTING **SATISFACTORY ASSURANCE** **February 2021**		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 of 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)

Achievements:
New Corevet Version 5 vetting software was successfully installed on the 5th of 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.

Update January 2024: The D/Supt head of department met with the forces' Corporate Services Analyst Manager and the Principal Analyst on Friday 12th January 2024 regarding 'Service Layer' work that they are undertaking.

			The outcome of the meeting was that as part of the service layer work, the force vetting unit have been assigned an SSD Performance Analyst to support the development of both PSD and Vetting Power BI dashboards. PowerBi should be able to extract all the required data from the various sources and present into a constructed real time dashboard/App. The Head of Department and I will meet with the assigned analyst very soon to take this forward but in the interim I attach a copy of the latest monthly Vetting dashboard, Refusal data and Disproportionality report that we created in house which provides basic performance reporting. I've redacted the Refusal data to anonymise names – Mandy Bogle-Reilly Force Vetting Manager. [Documents Monthly Vetting Stats; Protected Characteristics and Disproportionality removed as these were submitted for the last JARAP.
			UPDATE July 2024: No change – The force Vetting Unit are still waiting for the Specialist Support Directorate SSD to finalise this piece of work for Professional Standards Department PSD. Vetting are in the interim running with the in-house dashboards previously submitted to JARAP which meet the MI requirements but are time consuming - Mandy Bogle-Reilly Force Vetting Manager. The force T/Principal Analyst has developed both the PSD and Vetting Apps; and resources have been assigned temporarily to pick up this area of business, however it is still in the early stages of development. The Vetting App was initially created a few months ago, however the force principal analyst is aware vetting are changing systems therefore this will need to be revisited. The principal analyst will provide access to both Apps – Vetting and Professional Standards once fully developed and completed. **Current SharePoint PowerBi Dashboard for Vetting embedded here:** Vetting PowerBi Dashboards.docx
WELLBEING **SATISFACTORY ASSURANCE** **February 2021**		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: Target date December 2024** – 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.**
Procedure	Honoraria; Police Staff	Sep, 20	Very Overdue	**HR Have now met with Unison. Further advice needed before making changes and taking forward to begin formal consultation.**

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.

Of the 15 policies and procedures originally identified as out of date through the audit the above two are still undergoing the consultative review process to ensure that they appropriately support personnel across the force.

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.

UPDATE July 2024: HR – Redeployment as a Reasonable Adjustment; Police Staff - Further consultation with Unison concluded. Stakeholder engagement is now taking place.

Honoraria; Police Staff - No update. For information, the lead here is embedded within the JE Project delivery. Her manager has been through workload and deliverables to try and dedicate time to complete, however the Hay review is taking priority at this time. I am hoping that by the next update we are in a position whereby things have progressed forward but due to competing demands we have not been able to progress as hoped - Kat Eaton Head of HR

"		4.2 Review of Thematic Data and Data Analysis	**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. Wellbeing data November 2022 – provided at the last JARAP in April.: 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 end June 2023: A new Head of Occupational Health and Wellbeing has now been appointed by the force and the following update has been provided. The overall strategic governance for Occupational Health and Wellbeing will now come under the newly formed force 'People Board' – first meeting was convened on the 1st July 2023 and was chaired by the Assistant Chief Officer ACO Human Resources HR. The whole strategic delivery of Occupational Health and the various Wellbeing support strands are currently under review. The purpose of the review is to ensure that OH and Wellbeing are synchronous and developed in tandem. This way the force will have a much greater understanding of the challenges faced by personnel, thereby enabling the force to target

the areas identified as of highest concern to the force, for example where additional support may be required to address stress and mental ill-health.

Data / Key performance Indicators -The Plan on a Page, data and key performance indicators KPIs are also under review by the Data Working Group. The group consists of – ACO HR; the Head of HR, the Head of OH and Wellbeing, the Head of the Team Leicestershire Academy and the Head of East Midlands Specialist Learning and Development Hub (EMSLDH). The objective is to review existing and develop any new KPI metrics required to inform strategic and service delivery decision making. The data management reporting will be via the progressive PowerBi application.
Existing KPI data sets – examples provided at the last JARAP are currently being used in the interim or transition phase.

Capacity and capability increase - Wellbeing Lead / Co-ordinator (scope yet TBC) – A new role to be recruited to oversee – data collection, analysis and coordination of the OH and Wellbeing Strategy and feed into the Head of OH/Wellbeing and ultimately the People Board.
OH and Wellbeing has been included within the Force Management Statement FMS which examines demand, capability, capacity and developments going forward.

Developments so far are a positive step forward as it will streamline processes, practices; inform service delivery and enable the force to focus on what really matters most to the organisation and our workforce. Tim Ellis – Head of Occupational Health and Wellbeing - Target date: March 2024

UPDATE January 2024: Occupational Health and Wellbeing has undertaken a number of activities to help address our biggest health related risks - mental health, long term absences and restrictions, physical fitness, line manager capability.

- Improved access to mental health therapies- removal of red tape
- Upskilling managers in the role of OH & Wellbeing
- Upskilling clinicians in broadening their knowledge of roles by way of operational visits, closer working with HR & TLA etc
- OH inputs delivered at network events, forging closer links with staff support groups
- OH is now an integral part of complex case review meetings as well as Gold and Silver meetings
- Implemented stage 1 of the Cority OH case management system
- EAP via Health Assured- closer links forged with their contract management and clinical teams to ensure any problems are captured early enough and addressed, ensuring our staff are getting value from this service.
- "Power to Recover" Trauma coaching service via the EAP- new service implemented and communicated to the workforce; anyone who has experienced a traumatic event at work can speak to the EAP and start a guided programme with a qualified trauma coach.
- SPS (structured professional support) via Health Assured- annual or 6 monthly psychological assessments for all staff identified, conducted by a trained therapist. Risk level is based on the Oscar Kilo guidelines Psychological surveillance | Oscar Kilo but Leics Police go above and beyond their programme by offering out to more teams than Oscar Kilo recommend.
- TRIM – Leics Police has had a well-established TRIM referral process and dedicated team of trained assessors. Close links have been forged between the assessors and the OH & Wellbeing support services to ensure support is available for people in need.

Remaining to complete:
Data and KPI's for the above work is still in transition. OH data is kept in a number of different places now as we move as a team from Cyclops to Cority. Suppliers such as Health Assured and Sano physiotherapy provide data which we will incorporate into other OH datasets.

Wellbeing work has transitioned across to OH from HR but we still have a gap in establishment with the Wellbeing Lead role sat at SVCB level, awaiting authorisation. The lead role will coordinate and oversee strategic activities and data reporting.
The plan will be for the previous wellbeing strands to be retired off in the old format and in its place, install a new and invigorated Wellbeing champion structure. Participants are being drawn up for inaugural meetings but need the lead role to coordinate this. Data and metrics for this work will inevitably still be under review until the group is established.

Opportunities identified for the use of the Gym coordinators and also funding streams from membership to bolster wellbeing activities in the fitness arena. Again, data is available and presented at the Gym Committee board.

More work to be done with Resource call and Strategic ARM to review number of officers on restrictions.

Overall People Directorate Power BI, KPI and data packs still being discussed at People Board and SLT level.

Barriers to completion: As mentioned above, need Lead role authorising so that recruitment can commence.
Target Date – By March 2024 we can provide a further update on the Wellbeing structure and available OH and Wellbeing data - Tim Ellis Head of Occupational Health and Welfare.

UPDATE July 2024:
What has been Completed?:
- Cority now able to report on OH usage data and KPI's. First round of data fed to PowerBi team in force for analysis and inclusion for People and Strategic Delivery Board SDB boards.
- Wellbeing Lead now in role, 12 month secondment. Additional secondment roles to backfill agreed via Strategic Vacancy Control Board SVCB. 1 post filled with second out to recruitment. Further backfill for Gym Coordinator role also in progress.
- New structure called WellNET now in place, replacing the previous 4 wellbeing strands. Governance wise, the WellNET forum is run by the Wellbeing lead, with escalations and pouring into People Board via Head of OH and Wellbeing. "WellNET enabler" and "WellNET ambassador" (former wellbeing champions) groups set up to spread wellbeing messages and activities across the force.
- Gym committee under OH and Wellbeing now, plus plans for Force Sports and Leisure FSL activities to migrate across in October 2024
- Work with strategic ARM team ongoing with more officers put through OH and fitness referrals
- Welfare silver and CAID review meetings in place
- OH representation on recruitment "Fit to Proceed" panels now in place.
- OH and Wellbeing strategy being re-written - due August.

			• Blue Light Wellbeing Framework- significant work undertaken to review and RAG status the full BLWF suite of questions (100) as laid out by National Police Wellbeing Service (NPWS). Next update October 2024 Tim Ellis – Head of Occupational Health and Welfare.
WORKFORCE PLANNING **SATISFACTORY ASSURANCE** **May 2021**		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. **Achievements to date:** Due to a long-term absence a new Leadership and Management Business Partner within the Team Leicestershire Academy TLA has been appointed to lead on this important piece of work.

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 of March 2023 to provide a full update on the proposed Leadership and Management Development, strategy, structure and offer of which this workstream was also presented. The proposal and direction of travel was met with a positive response.

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.

Barriers to completion, and how these may be resolved where possible?
- None

Previous update June 2023: This is now included as one of our identified 10 key workstreams sitting under the governance of the Leadership Development Working Group. It has been agreed to combine this workstream with Career Aspirations for Police Staff and form a subgroup of relevant key stakeholders to inform and progress which I am leading on.

Our pilot for the next testing phase of the succession planning is due to commence in July. To prepare for this I am in the process of designing the new Microsoft form with our Digital Academy lead and awaiting the new HR Business Partner to be appointed who will be allocated to the project to support roll out.

We will be able to provide a further update on the pilot once an evaluation has been completed that will help inform any further changes for consideration ahead of the wider Force roll out.

		I believe the conversations that managers need to hold with their staff to complete the succession planning considerations sits within PDR 1:1's and therefore I would like to explore the option of this forming part of the PDR system as a longer-term goal along with the Career Aspirations to help identify and inform succession planning. The finalised toolkit 'Go live' **target date: September 2023** – a copy of the succession planning toolkit will be provided to JARAP on completion. Melissa Tarbuck – Senior Leadership, Career and Talent Development Business Partner – Team Leicestershire Academy **Previous update January 2024:** The Microsoft Forms to collate inform succession planning requirements have been designed and tested by HR and TLA leads with some further amendments necessary ahead of the pilot. Unfortunately, the TLA Developer who designed the App has left and the final amendments are yet to be completed. Therefore, until a new person is appointed I'm unsure where I go with this as I am unable to launch the succession planning without a finalised App. I intend to raise this with the Head of HR and seek a resolution to this challenge to delivery - Lisa Irish – Senior HR Business Partner The form so far consists of 3 key stages – please see below: **Annual Role Review Form** – to identify Specialist/Senior Police staff roles that may become vacant in the next 12 months **Role Succession Plan Form** – to identify individuals who could be considered for succession planning **Create a Succession Plan Form** - to create a development plan and timeline for succession planning of those individuals We have a meeting booked with the HRBP's to onboard them in readiness to support roll out across the directorates. The PDR working group have this workstream in their scope for integration into the PDR App as part of the ongoing development of PDR, Career, Succession Planning and Promotional requirements to support brining this altogether as an aspiration for the future. **Update July 2024:** Currently there is no replacement for the Digital Academy Lead. A paper relating to the Digital Academy was presented to the People Board and Business Delivery Board to update that due to the financial climate and the recruitment freeze this post was placed on hold. Only essential maintenance can be undertaken at the present time. This is due to be reviewed at the end of the year. It has recently been agreed to recruit into a 12 month fixed term contact for the Career and Talent Lead, which will oversee this work – however this has only recently been circulated for advertising.

HR Services and the Team Leicestershire Academy will review as staffing and capacity changes.

|			
FLEET MANAGEMENT **SATISFACTORY ASSURANCE** November 2021		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 [blue text are updates for July]** **For the update, please see 4.4 Performance Indicators above starting page 6 and ending on page 8** **KPIs have been discussed with the performance team and options have been identified. Work is ongoing with the Transport Unit, Performance Analysts and the DOIT team (where capacity allows) to automate the data from TranMan. Delay is purely due to capacity of analytical team.**
"		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.
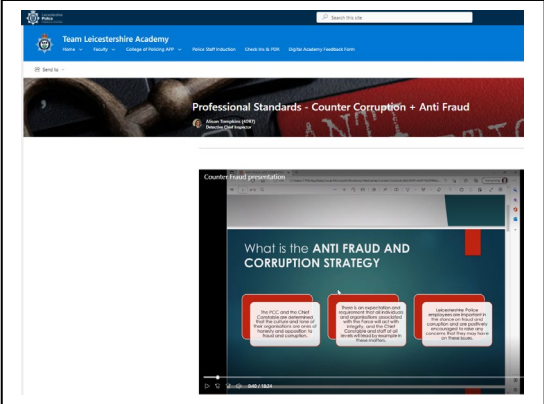
			➤ A vehicle servicing policy or procedure document should be created, this should include the mileage guidelines for servicing, information around exceptions such as the allowed leeway in mileage, and how covert vehicles are dealt with.

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. |
| | | 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 must 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.

Update July [blue text are updates for July]: 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). **Bid approved at Force Exec Board – pending drawdown of funding – Bid agreed by PCC – awaiting draw-down -** Around 80k has now been drawn down. |

	🟧		7. Refresh of the Fleet Strategy **COMPLETED** Note: Transport Strategy provided at April JARAP. 8. Initial site assessment for fitting of EV charging points for trial **COMPLETED** **What is left to complete?** 1. TranMan data cleansing should be complete by **end of 2023 COMPLETED** **2.** Installation of charging points for trial of EVs (5 sites (FHQ, Mansfield House, Euston Street, Keyham Lane and Loughborough) – Currently going through procurement for tender as this is now required – **A procurement process was completed although this was not straightforward and the 'winning' bidder then significantly increased costs. Alternative solutions have been identified and an SSD is being prepared by estates in order to award the contract. Estimated completion of installation by end of the calendar year 2024.** **Timeline for completion – End of December 2024** **Barriers to completion, and how these may be resolved where possible?** 1. Complexity of the issue and requirement for additional estates work. 2. Financial challenges as capital costs for EVs are considerably higher. Head of Fleet Supt Andy Parkes.
"	🟩	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 December 2024** **Barriers to completion, and how these may be resolved where possible?** 1. As previously outlined above – workload and staffing. **2. We are in the midst of recruiting a new workshop manager, applications are currently being assessed.** Head of Fleet Supt Andy Parkes
COUNTER FRAUD	🟩	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.

LIMITED ASSURANCE			**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.
			Progress: The review of the Corporate Governance Framework has commenced and currently ongoing; however, it will shortly be going through for consultation with the PCC, OPCC SMT, COT and Legal – Revised **Target date for completion is the 30th April 2023** – Kira Hughes Interim Chief finance Officer OPCC.
			January 2024 - The Corporate Governance Framework has been reviewed and was signed off at the Corporate Governance Board in November 2023. A copy of the CGF will be presented as a paper at JARAP at the end of January 2024.
			UPDATE July: This has now been superseded by the revisit audit Counter Fraud and Whistleblowing June 2024 at page 48 which included repeat Recommendation 4.
			Work in progress between CCU DI and OPCC Chief Finance Officer - Kira Hughes. Mazar's suggested Lincolnshire Police and the OPCC had a good policy in place. A copy has been obtained and reviewed to support development of the Leicestershire OPCC and Police joint policy going forward. This is now proposed closed and taken forward under that more recent audit report findings to avoid duplication.
			PROPOSED CLOSED
"		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: Aug 2023 Supt Rich Ward – Head of PSD
			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 and a screen-shot of the Webinar was provided at the last JARAP in April 2023.

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.

UPDATE July: This has now been superseded as it has been recognised that refreshed training is now required and this is being developed in conjunction with the Team Leicestershire Academy and the Training Commissioning Board. please see revisit audit - Counter Fraud and Whistleblowing June 2024 at page 48. This is now proposed closed and taken forward under recommendation 1 of that more recent audit report to avoid duplication.

<p align="center">**PROPOSED CLOSED**</p>

OPCC RECRUITMENT LIMITED ASSURANCE January 2023		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
			UPDATE January 2024: Force policy amended to include OPCC requirements, to be signed off by the joint negotiation and consultation committee on the 18th January 2024 before being adopted – Lizzie Starr Director of Governance and Performance OPCC
			UPDATE July 2024: We currently use the Force procedures for recruitment this will be reviewed shortly by the CEO. The OPCC has developed its own set of internal paperwork (see embedded documents) and all the documents require a signature from the shortlisting to the Interview panels. All the documents are sent to HR for them to upload onto the portal. The HR system has been changed since the audit with more controls on the system. **Nimisha Padhiar OPCC Policy and Compliance Officer**

			Shortlisting Matrix - master.xlsx Interview Questions - master.xlsx
"		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
			UPDATE January 2024: Force policy amended to include OPCC requirements, to be signed off by the joint negotiation and consultation committee on the 18th January 2024 before being adopted – Lizzie Starr Director of Governance and Performance OPCC
			UPDATE July 2024: We currently use the Force procedures for recruitment this will be reviewed shortly by the CEO. The OPCC has developed its own set of internal paperwork (see embedded at 4.1 above) and all the documents require a signature from the shortlisting to the Interview panels.
			All the documents are sent to HR for them to upload onto the portal.
			The HR system has been changed since the audit with more controls on the system.
			Nimisha Padhiar OPCC Policy and Compliance Officer
PARTNERSHIPS LIMITED ASSURANCE June 2023		4.1 End of Contract Arrangements	**Fundamental Recommendation:** The OPCC should ensure that, as laid out in the Commissioning Strategy 2021-2024, a final exit/lessons learned stage is conducted for expiring contracts. This should involve consideration of the effectiveness of the provider in achieving the objectives of the partnership, the performance of the provider in relation to general procurement criteria, and lessons learned assessment. An effective audit trail should be maintained for this process, including a final decision regarding any decisions to re-commission the incumbent provider.
			Initial Management Response: Documents and process are in place but not currently used in existing contracts, going forward will plan in with providers at the start of all new contracts. The process will be implemented for expiring contracts and relevant dates will be set in place to plan for this.
			Target - Implemented by May 2023 Siobhan Peters – Director of Strategy, Partnerships & Commissioning OPCC LLR
			Update June 2023: Contract management meetings will be in place for all quarters for all contracts by the end of July. The final quarter meetings are either a review of the previous year, if a multi-year contract, or if the contract has come to an end; a lessons-learned exit interview takes place with the provider. – update provided by CI Nicola Streets as the Commissioning Manager is currently away.
			Update January 2024: All contracts have a named manager; quarterly contract meetings are in place and scheduled with each provider.
			New dashboards have been developed (Victim and Non-victim) and will be deployed from new financial year, April 24 to ensure compliance and equity of information collected.
			New contracts to commence in April 24 have lessons learned interviews incorporated. Decision records are completed and are published via the OPCC website. Siobhan Peters – Director of Strategy, Partnerships & Commissioning OPCC LLR
			UPDATE July 2024:

			What has been completed? Exit process and interview delivered with decommissioned Target Hardening Service. Exit interview with lessons learned completed 11th June 2024. **What is there left to do? All actions completed** – screenshot of named contract register below. Siobhan Peters, Director of Strategy, Partnerships & Commissioning, OPCC LLR **PROPOSED CLOSED**
"		4.3 Compliance agreements	**Significant Recommendation:** The OPCC should ensure that meeting and reporting requirements are clearly laid out in the contract/JWA. A standard terms schedule should be developed and applied to all partnership contracts, which include but not limited to; meeting requirements, contract management, exiting contract and arbitration for poor performance. The OPCC should maintain a risk register for any primary governance arrangements for all partnerships, which should be updated at each meeting and include seminal risks that would inhibit the stated objectives of the partnership or the wider objectives of the OPCC **Initial Management Response:** As above relating to the contract/JWA. A new risk register started April 2023 for CARA contract in line with new contract term. **Target: June 2023** **Target date change to Q3 2024 - Siobhan Peters Director of Strategy, Partnerships and Commissioning** **Update June 2023:** The commissioning risk register is updated each quarter, unless any urgent issues arise where a more dynamic response is required. The new 2023/2024 contracts have KPIs within them that are managed on a quarterly basis with monitoring information and contract management meetings. This process will continue for all new contracts

			going forward and we will have additional support to manage this with an external consultant who will ensure that systems and processes are implemented. - update provided by CI Nicola Streets as the Commissioning Manager is currently away.

Update January 2024: Commissioning Risk Register is in place and risks are recorded quarterly or on escalation of risk, whichever is sooner.

New reporting dashboards include risk registers to be completed quarterly and monitored through quarterly contract meetings or emergency meetings where an escalating risk presents.

All new contracts have KPIs that include; meeting requirements, contract management, exiting contract and arbitration for poor performance.

The OPCC Commissioning and Partnerships Team is currently undertaking a Problem Profiles exercise to identify and implement KPIs across existing Commissioner Safety Fund, Community Safety Partnerships (CSP) and People Zones contracts.

The OPCC are reviewing the CSP funding mechanisms and contract management may transfer to each CSP, with overarching risk and district level management undertaken by the OPCC. Siobhan Peters – Director of Strategy, Partnerships & Commissioning OPCC LLR

UPDATE: July 2024

What has been completed? All contracts have KPIs that are monitored quarterly including risk. Risk is a standing agenda item on the Partnerships & Commissioning monthly Team Meeting. CSP funding mechanism revised and all CSPs are working to new format for 24/25. CSF problem profiles completed, including splitting the city profile into the four neighbourhood policing areas to better capture demand and complexity.

What is there left to do? Problem Profiles for CSPs to be completed. CSF Problem Profile embedded here:

CSF Problem Profile.docx

Any barriers to completion; and what is being done to address those identified barriers? Capacity of staff to deliver CSP problem profiles, funding has been allocated for overtime to complete. **Completion deadline Oct 24.**

Siobhan Peters, Director of Strategy, Partnerships & Commissioning, OPCC LLR

4.4 Performance Monitoring

Significant Recommendation: The OPCC should ensure that they are provided with regular, timely and comprehensive reports and updates regarding the performance of providers associated with their partnerships.

Initial Management Response: Performance framework due to be completed for commissioned services. Expectation of partners to be reviewed and clarified as above.

Target: May 2023 Target date change to Q3 2024 - Siobhan Peters Director of Strategy, Partnerships and Commissioning

Update June 2023: An external consultant has been commissioned by the OPCC to assist with the design and implementation of the performance framework and contract management system. The contract for this service lasts until the end of 2023. We are also supported by the OPCC performance team data analyst to provide practical solutions to monitoring of contract performance, which will be used for the quarterly meetings. - update provided by CI Nicola Streets as the Commissioning Manager currently away.

Update January 2024: The external consultant has developed Victim and Non-Victim performance framework dashboards which are being trailed in office, these will go live with providers April 24. The OPCC Performance and Governance team data analysts are supporting this implementation.

|			
			The dashboards include performance management metrics, finance including WTE staffing, finance and any required MoJ and/or Home office return reporting. Siobhan Peters – Director of Strategy, Partnerships & Commissioning OPCC LLR **UPDATE: July 2024** **What has been completed?** All dashboards completed and circulating to providers for use to monitor Q1 or Q2 delivery dependant on phased introduction timeframe. Example dashboards embedded here: Freeva IDVA Grant Monitoring Dashbo Freeva ISVA Grant Monitoring Dashbo **What is there left to do?** Testing period – supporting providers to embed new monitoring and ways of working. **Any barriers to completion; and what is being done to address those identified barriers?** Some providers do not deliver in victim or non-victim isolation. There will be a period of adjustment to identify any gaps for particular providers or where there is crossover, e.g. The Jenkins Centre delivers for both victim and non-victim. **To be completed by Q3** monitoring. Siobhan Peters, Director of Strategy, Partnerships & Commissioning, OPCC LLR
ENVIRONMENTAL STRATEGY REVIEW **June 2023**		4.1 Environmental Targets & Outcomes	**Significant Recommendation:** (1) Once the Force has gained the capability to comprehensively measure its carbon footprint, it should ensure that SMART targets are set with milestones (e.g. 25% reduction in CO2e by 2030) for KPIs and outcomes within an action plan linked to or included in the Strategy. **Initial Management Response:** Accepted Matt Jones - Head of Safety, Sustainability and Risk, **Target August 2024.** **COMPLETED** (2) Responsible persons / departments should be assigned for achieving outcomes within an action plan where possible. **Initial Management Response:** Accepted Enabling board, March 2024. **COMPLETED** (3) The Force should establish how delivery of outcomes will be effectively monitored. **Initial Management Response:** Accepted Enabling Board, March 2024. **COMPLETED**
			UPDATE July 2024: **1)** The force wide carbon footprint has been calculated along with station specific calculations. CO2e reduction will be targeted as part of the Sustainability strategy and action plan. Where 5 of the 8 priorities set out will aid in carbon emissions reduction, these being, priorities 1 (efficient energy consumption), 2 (a green fleet), 6 (mindful waste management), 7 (resourceful procurement of goods and services) and 8 (economical water usage). **Carbon Footprint Portfolio:** PDF Carbon Footprint Portfolio.pdf

		2) Within the action plan each key performance indicator has one or more responsible person/departments for completion of the goal. This is also present on the procedure, which has been signed off by each responsible person/department. All goals have a time to completion to aid with effective monitoring. **Sustainability Action Plan:** 📄 PDF Sustainability Action Plan 2024 - 2029.pdf **3)** The outcomes of the sustainability strategy will be monitored through SMART key performance indicators relevant to the 8 priorities set out in the sustainability strategy. These will be monitored and accessible via Power BI. **Sustainability Strategy:** 📄 PDF Leicestershire Police Sustainability Strategy **PROPOSED CLOSED**
"		4.2 Staff Education and Skills	**Significant Recommendation:** (1) The Force should ensure that an action plan is produced and linked to the Strategy detailing how the Force plans to educate and engage staff. **Initial Management Response:** Accepted Matt Jones - Head of Safety, Sustainability and Risk, Target August 2024. **COMPLETED** (2) The Force should consider hiring an environmental officer to assist in the implementation of the Strategy. **Initial Management Response:** Accepted and currently being progressed Matt Jones - Head of Safety, Sustainability and Risk. The force have recruited two Sustainability Officers **COMPLETED** **UPDATE July 2024:** **1)** The sustainability strategy and action plan have been drafted and are awaiting confirmation from the corporate communications team. Both of which will be included as part of June's executive board meeting so that the board members can sign off on the work ready for publication. **See 4.1. above for documentary evidence COMPLETED** **2)** Two sustainability officer posts have been filled, the two officers have drafted the sustainability strategy, action plan, policy and procedure since starting their roles in February and April 2024. **COMPLETED** **PROPOSED CLOSED**

"		4.3 Environmental Management Systems	**Housekeeping Recommendation:** The Force should work towards implementing an Environmental Management System based on a recognised standard, such as ISO 14001. Alternatively, the Force should consider developing and documenting its own EMS, based on similar principles of existing standards.
			Initial Management Response: Accepted, the organisation will work to the structure of this EMS but has already decided not to adopt a formal EMS. Matt Jones - Head of Safety, Sustainability and Risk, **Target August 2024.**
			UPDATE July 2024:
			1) The action plan provides the direction for the priorities set out in the strategy. The document outlines the action to be undertaken, key performance indicators, monitoring method, persons/departments responsible and the time to completion for each of the 8 priorities. This will ensure sufficient drive towards the aim of becoming a leading police force in sustainability. **See 4.1. above for documentary evidence COMPLETED**
			2) The sustainability officers have created a partnership with other police forces that are ISO14001 accredited as a means to gaining insight into their processes and EMS. With the potential for Leicestershire Police to become ISO14001 accredited. **COMPLETED**
			PROPOSED CLOSED
"		4.4 Environmental Strategy & Policy Approval	**Housekeeping Recommendation:**
			(1) The Force should ensure that the Environmental Strategy is ratified as soon as possible.
			Initial Management Response: Accepted - Enabling board, September 2023.
			(2) Once the Strategy has been ratified, the Sustainability Policy and Procedure should also be completed and ratified.
			Initial Management Response: Accepted - Enabling Board, November 2023. Matt Jones - Head of Safety, Sustainability and Risk, **Target Date: August 2024**
			Update July 2024:
			1) Once the strategy has been agreed internally by corporate communications and the executive board, it will be checked as part of the corporate governance board. The sustainability officers are also looking to seek external validation from sector leaders such as De Montfort University (international hub for the UN's Sustainable Development Goal 16). **See 4.1. above for documentary evidence COMPLETED**
			2) Policy and procedure completed and embedded below:
			Sustainability Policy: **Sustainability Procedure:**
			Leicestershire Police Sustainability Policy 2 Leicestershire Police Sustainability Procedu
			PROPOSED CLOSED
"		4.5 Public Engagement	**Housekeeping Recommendation:**
			(1) The Force should review how they can best engage with the public.
			(2) The Force should also ensure that the environmental strategy is well publicised, for example, through the local media.

Initial Management Response: Accepted Matt Jones - Head of Safety, Sustainability and Risk, **Target date August 2024.**

UPDATE July 2024:
1) The sustainability officers have worked alongside corporate communications; internal comms has been published regularly via the intranet to engage staff members. External comms will commence when the strategy has been agreed and designed for publication to the wider public. **COMPLETED –** *'BIG GREEN WEEK'*
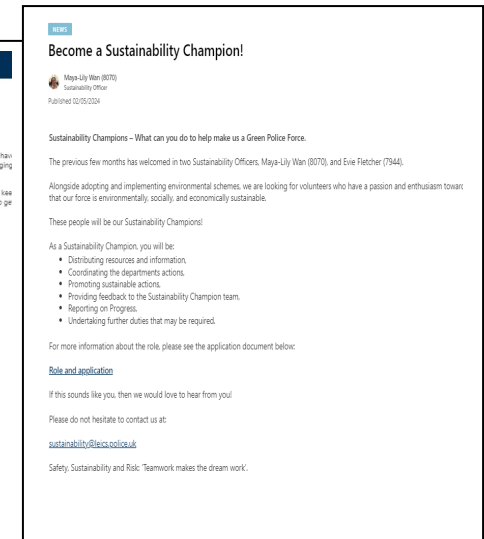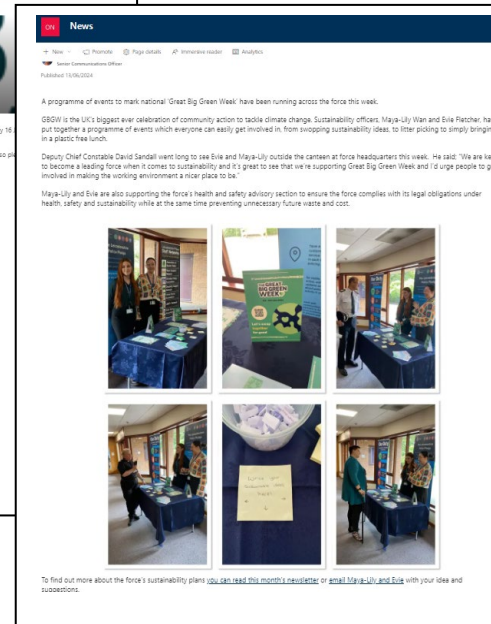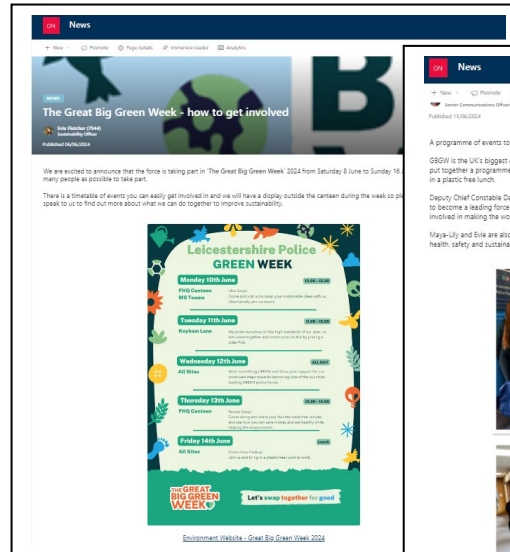
Chief Signs Environment and Sustainability Charter
What is the environment and sustainability charter?
The charter was created by a subgroup of four police forces and a fire and rescue service. Not only were Leicestershire Police one of these key organisations, we were one of the first emergency services organisations to demonstrate our commitment by signing the charter.

			The group interpreted the UN sustainability goals and identified the key goals for the emergency services, based on people, the planet and the public purse. The charter has been adopted by the National Police Chiefs' Council and the National Fire Chiefs' Council as a common means of understanding our sustainability challenges. The charter group is currently developing a benchmarking system which will allow emergency services to track their progress and identify best practice amongst organisations in this sector. **PROPOSED CLOSED**
"		4.6 Environmental Strategy Clarity	**Housekeeping Recommendation:** The Strategy Summary should be amended to provide a more concise overview of the key elements of the Environmental Strategy. **Initial Management Response:** Accepted Matt Jones - Head of Safety, Sustainability and Risk, **Target August 2024.** **UPDATE July 2024:** The sustainability strategy and action plan both have an executive summary to provide an overview of the key purpose, priorities and expected outcomes. **See 4.1. above for documentary evidence COMPLETED** **PROPOSED CLOSED**
IT STRATEGY **SATISFACTORY ASSURANCE** **July 2023**		4.1 Content of the DDaT Strategy	**Significant Recommendation:** At the next annual review point for the DDaT strategy, management should include the following elements: • A summary of current technology against current business objectives. • A list of all current suppliers and partners that will aid the IT strategy, as well as the strategy of these suppliers and how this aligns with the Force corporate strategy of the organisation. • IT resources (staff/skills, costs and budgeting). • ICT Governance covering governance boards/committees, policies, project and financial control arrangements. • Information security and information governance; and • Risk management to highlight risks that the strategy mitigates and those to the implementation of the strategy. **Initial Management Response:** Our goal is to ensure that the strategy is a document itself suitable for consumption by the Chief Officer Team, OPCC and wider stakeholders. Too much detail will detract from the key messages and themes of the strategy. But, it is accepted that we need to demonstrate how the current service portfolio supports the strategic business objectives of the force, that we have resources to maintain and enhance the service portfolio, and that we understand the role of suppliers and partners in the delivery. This information is maintained elsewhere and will be referenced, for the next revision of the strategy, with any relevant risks and issues brought forward into the strategy for action. Information security and information management issues, risk management issues will also be picked up in a separate documentation set, most likely the Force Management Statement (FMS), where key issues and risks are identified and addressed. Utilising the FMS format will reduce the need to create additional documentation sets. Governance arrangements of the force are changing, they will be documented elsewhere but referenced in the next version of the strategy when they have been agreed. **Head of Information Technology April 2024**

			Update January 2024:
			- High-level strategy completed for Op Forefront and layer board
			- Current full strategy is due for annual review and will be complete by 31/3/2024 and taken to Layer 5 Digital Board for approval
			    o Revision of the strategy will include
			        ▪ Force's strategic direction
			        ▪ New IT governance process
			        ▪ Planning for the 24/25 work programme
			           o Local planning
			           o Regional planning
			           o National planning
			        ▪ The reviewed IT department
			        ▪ Recruitment and retention
			        ▪ Separate section for Information security
			        ▪ Separate section for risk
			        ▪ Will look at risk register and FMS
			        ▪ Assessment of current system portfolio
			This strategic planning will be completed with Enterprise Architect and Change Team, Force PMO and IT PMO
			Update July 2024:
			A final draft of the strategy was presented to last Digital Board and the head of department is now seeking to get final approval at next board and seeking chief officer Executive Group approval thereafter.
			Next Digital Board is 22nd July and the following chief officer Executive Group meeting is the 22nd August.

"		4.2 Assessment of broader OTOP initiatives which impact the DDaT Strategy	**Significant Recommendation:** 1. The Force should assess initiatives from the OTOP to identify those that could hinder the planning and delivery of the IT Strategy, or that impact the strategy themes. A clear linkage between the DDaT and these initiatives should be defined, maintained and communicated. 2. At the DDaT Strategy's next update, initiatives driven by DDaT but included in the OTOP should be included in its scope supported by adequate justification. **Initial Management Response:** OTOP) programme, this will provide the force with a single work programme, ensuring that all projects with digital and data elements are identified and that there is one comprehensive programme. This work has already commenced post the audit. Any issues or risks identified for action with resultant tasks and projects are identified in the FMS and included in the OTOP **Head of Information Technology April 2024** **Update July 2024:** • OTOP has been replaced by Op Forefront • The revised strategy outlined briefly above will address the new work programme
"		4.3 Delivery of Strategy	**Housekeeping Recommendation:** The Force should look to re-baseline the roadmap to allow for more realistic timelines in completing the initiatives or look to prioritise the completion of each project as stated in their roadmap.

			Initial Management Response: The unified work programme will facilitate aligning all projects and tasks against force priorities and their relative scheduling **Head of Information Technology April 2024** **Update July 2024:** • The revised strategy outlined briefly above will address the above recommendation in terms of timelines for completion and project prioritisation.
ESTATES MANAGEMENT **SATISFACTORY ASSURANCE** **July 2023**		4.1 Stock Control Condition Surveys	**Significant Recommendation:** Stock condition surveys should be completed for the overdue buildings as soon as possible and survey completion dates should be agreed where not in place. **Initial Management Response:** Agreed. The surveying of buildings got behind due to COVID. When this period was over, we lost our Electrical Engineer so still we were unable to carry out the surveys. This post is still vacant and will remain so for some months. When this post is filled the surveys will resume. **Target: Within 12 to 18 months [July 2024 – Jan 2025] Head of Estates**
			UPDATE July 2024: Item 4.1 is on target for the department to catch up. The head of estates acknowledges that they have not caught up thus far and are currently two months behind with the surveys. However, the target date of January 2025 specified and agreed in last year's audit should easily be achieved.
PROCUREMENT MANAGEMENT **MODERATE ASSURANCE** **February 2024**		1. Out of date policies and procedures	**Significant Recommendation 1** - The Force and OPCC should conduct a review of the Corporate Governance Framework and ensure that the Contract Standing Orders and other procurement related areas are up to date and in line with current practice. This includes ensuring that the Corporate Governance Framework references the correct and up-to-date thresholds. **Initial Management Response:** This has been updated by the OPCC and agreed at the PCC's Corporate Governance Board on 22 November 2023. Given the Corporate Governance Framework and Contract Standing Orders are not documents under the control of the Procurement Department; it is felt inappropriate to down score the Procurement Department when updating these documents as it is out of Procurement's control. Procurement does assist in the updating of these documents when this takes place, and the appropriate thresholds are included. It is also noted that in the findings you note that the 'Force's own Procurement Policy' contains the appropriate thresholds. **Responsible Person: OPCC Chief Executive Officer Claire Trewartha** **Target Date: November 2023**
			UPDATE July 2024: **What has been completed?** The Corporate Governance Framework CGF has been updated including Contract Standing Orders. Please find attached the CGF as evidence. The CGF was submitted to JARAP in January, however there have been a few changes since then on the back of advice received from Legal services. These changes have been captured in the review log at the front of the document – Kira Hughes Chief Finance Officer OPCC **What is there left to do?** Nothing **Is the recommendation 'Proposed Closed'? –** Yes

			Joint Corporate Governance Framew
			PROPOSED CLOSED
		2. <u>Declarations of interest are not completed</u>	**Significant Recommendation 2** - On an annual basis, the Force should ensure that all staff involved in the procurement of services and goods, or the management of those contracts, conducts a declaration of interest that outlines any potential conflicts that may exist with current or planned contracting bodies. **Initial Management Response:** We agree that good practice would be to introduce an annual review of all staff conducting tendering/contract activity in relation to potential conflicts of interest. However, Conflicts of Interest are considered at the commencement of all procurement activity and all staff are aware of raising this issue if required. Therefore, a score medium for this recommendation is considered high. **Responsible Person: Head of Procurement - Rob Atkinson** **Target Date: 31ˢᵗ March 2024**
			UPDATE July 2024: **What has been completed?** Each Procurement Project is accompanied by a Status Sheet [embedded below] which is updated as the project progresses. This sheet contains a requirement to consider/report/let it be known should a Conflict of Interest exists. **What is there left to do?** Nothing **Is the recommendation 'Proposed Closed'? –** Yes Contract Status Sheet (1).docx
			PROPOSED CLOSED
		3. <u>Framework and Direct awards are not uploaded to Contracts Finder</u>	**Significant Recommendation 3** - As planned, the Force should ensure that all contracts are published on the Contract Finder in line with the Public Contracts Regulations 2015. The Force should consider retrospectively publishing the awards for all live contracts included on the contract register onto Contract Finder. **Initial Management Response:** Findings have been taken onboard and have been actioned. It should be noted however that although 4 of the instances where the award notice had not been published, none of these four lead to any kind of challenge of external verification or confirmation from any suppliers or contracting bodies. **Responsible Person: Head of Procurement - Rob Atkinson** **Target Date: 31st March 2024**

			UPDATE July 2024: **What has been completed?** Yes, the oversight was corrected immediately it was highlighted. Procurement staff have been reminded and the process reviewed and the requirement added to the Status Sheet to ensure these oversights no longer occur. **What is there left to do?** Nothing **Is the recommendation 'Proposed Closed'? –** Yes
			PROPOSED CLOSED
		4. Equality Impact Assessments and Supplier Audits are not completed	**Significant Recommendation 4** - The Force should ensure that equality impact assessments are completed for every contract that is entered into by the Force. In addition, the Force may consider introducing supplier audits at the pre-contract stage of procurements for large, or risky activities in order to ensure that the Force has assurance with regards to the ethical compliance of the supplier. These should be based on best practice, such as that produced by the CIPS. **Initial Management Response:** Equality Impact Assessments are to be introduced on all awarded contracts as part of the post award process. The force will also consider as part of the pre contract process supplier audits in relation to ethical supply chain. **Responsible Person: Head of Procurement - Rob Atkinson** **Target Date: 31st March 2024**
			UPDATE July 2024: **What has been completed?** Yes, EIA's are carried out on award of contract. Supplier audits are carried out at the tender evaluation stage on all responses in line with Government Mandation via an SSD (Standard Selection Questionnaire – see embedded below) to ensure best practice across the whole Policing and the wider public sector. Standard-Selection-Questionnaire-SQ.d Equality Guide for Procurement staff re **What is there left to do?** No **Is the recommendation 'Proposed Closed'? –** Yes
			PROPOSED CLOSED
		5. A formal Procurement training programme has not been developed	**Significant Recommendation 5 –** The Force should develop a formal training programme for starters, that includes details of the relevant systems, as well as the Force's policy and relevant regulations. In addition, the Force may consider developing formal refresher training, that is mandatory for all staff involved in procurement on a regular basis. A clear and accurate audit trail of training completed by staff should be maintained. **Initial Management Response:** Although no procurement specific induction is currently in place for new recruits, there is a requirement that any new staff are qualified to CIPS level 4 as a minimum to ensure knowledge and understanding of procurement activity and the Public Contract Regulations 2015. A formal training and refresher programme will be developed however to support staff in the future. **Responsible Person: Head of Procurement - Rob Atkinson**

			Target Date: 31st March 2024
			UPDATE July 2024: **What has been completed?** Yes, Training initiatives are to be tailored to each individual staff members needs based on the level of knowledge and experience, this has been developed through collaboration with other Forces **What is there left to do?** Nothing. On recruitment as part of the onboarding process we will evaluate the employees needs and conduct the appropriate refresher training as part of their induction. **Is the recommendation 'Proposed Closed'? –** Yes
			PROPOSED CLOSED
		6. Contracts are not appropriately signed and dated	**Housekeeping Recommendation 6** - The Force should ensure that contracts are signed in advance of the contract start date. The Force may consider implementing a post signing review of contracts to ensure that the contract is accurate, and the signature is appropriately dated. **Initial Management Response:** The processes to identify the errors highlighted have already been implemented and we are commencing work with the OPCC to implement regular contract signing meetings to ensure compliance. **Responsible Person: Head of Procurement - Rob Atkinson** **Target Date: 31st March 2024**
			UPDATE July 2024: **What has been completed?** Yes, a new process has been implemented to review and sign off contracts on a weekly basis to ensure correct dating to eliminate the previous oversights/errors **What is there left to do?** No **Is the recommendation 'Proposed Closed'? –** Yes
			PROPOSED CLOSED
		7. Critical points of failure in the supply chain are not identified	**Housekeeping Recommendation 7** The Force should consider identifying critical points of failure in its supply chain. We consider the CCfAR approach outlined by the Supplier Assurance Framework a best practice approach. **Initial Management Response:** Through our working with Bluelight Commercial, Crown Commercial Services and regular National and Regional meetings, Forces are updated in relation to critical points of failure in the supply chain, for example semiconductor supply, the Ukraine conflict, Suez Canal, Covid and now the most recent shipping attacks in the Yemen. All of these events and their impacts have been alerted via Procurement groups and their impact considered and mitigated where possible to protect our supply chain. The CCfAR approach will be another we consider in the future, but we will also continue to rely on our relationships with Government agencies and industry relationships. **Responsible Person: Head of Procurement - Rob Atkinson** **Target Date: 31st March 2024** **UPDATE July 2024:**

			What has been completed? Yes, as previously stated we regularly liaise with large Government Agencies and the wider Bluelight Procurement Organisations where supply chain risks/concerns are considered/monitored. This approach ensures that we have the quickest access to Police specific issues, concerns and solutions. **What is there left to do?** Nothing **Is the recommendation 'Proposed Closed'? –** Yes
			PROPOSED CLOSED
PAYROLL **SUBSTANTIAL ASSURANCE** **March 2024**		1. Variations to employee working hours are not applied accurately.	**Housekeeping Recommendations:** 1. The Force should remind payroll staff that a Test Environment can be used to ensure that complex changes will be applied correctly and that support is available from Payroll Management to assist in complex cases. 2. The Force should engage with the HR Service Centre Employee Services Manager to ensure that PIM forms and amendments are submitted clearly to allow for timely and accurate input. **Initial Management Response:** The three items identified as incorrect with overpayments occurring had been identified by the Payroll Team, prior to the audit. The Team have been training on iTrent since Jan 2018 and have been reminded to refer any complex cases to a Senior Administrator for support & guidance. **Responsible Person: Alice Davis – Payroll Manager** **Target Date: 13th February 2024**
			UPDATE July 2024: **What has been completed?** The Payroll Team are fully briefed about how to apply complex changes and have the support of Management at all times. This support and mentoring is open ended. **What is there left to do?** To continually provide support. **Any barriers to completion; and what is being done to address those identified barriers?** The Payroll Manager has liaised with HRSC and explained any further information they can provide for complex changes is appreciated and reminded the Team that they are to request further details if anything is unclear. Everything is paper based and it is the HRSC Officer's interpretation of the information received. **Is the recommendation 'Proposed Closed'? – Yes** Evidence to support closure: The support available is discussed at Weekly Team Meetings – as attached - to review records in detail if they are unsure escalate to Management. We are unable to predict the retrospective changes which may be received. 📄 PDF 📄 PDF FW_ Team Meeting Thursday 16th Nove FW_ Team Meeting - Monday 29th Jan 2
			PROPOSED CLOSED
		2. Monthly checking of	**Housekeeping Recommendation:** The Force should ensure that Management consistently monitor the progress of the checking schedule. This includes checking whether each Payroll Administrator is conducting reviews in a timely manner and following up on any areas of non-compliance.

		payroll inputs is not completed.	**Initial Management Response:** The checking schedule is a measure for the Assistant Manager to monitor the completion of the required reports/input. This was introduced in March 2020 when Covid occurred and the Team were all working from home. Prior to this time the AM would have spoken to the administrators in the office. We discussed with the auditor that before the final run all the pending and completed folders for all the payrolls are reviewed for any outstanding items. Going forward the checking schedule will be monitored and the Payroll team have been reminded to complete it when tasks have been completed. **Responsible Person: Alice Davis – Payroll Manager** **Target Date: 13th February 2024**
			UPDATE July 2024: **What has been completed?** Team are reminded every pay run to complete the checking schedule and this is also reviewed before sign off and included on the Assistant Managers checklist. **What is there left to do?** Nothing **Any barriers to completion; and what is being done to address those identified barriers?** No barriers are foreseen as measures are in place to ensure all payroll details / schedule are checked before sign off **Is the recommendation 'Proposed Closed'? – Yes** If no, the target date needs revising Evidence to support closure - Attached Checking Schedule from May 24 and documents reminding the Team. 📄 PDF FW_ Checking Schedules.pdf 📊 Checking Schedule May.xlsx
			PROPOSED CLOSED
CORE FINANCIALS **SUBSTANTIAL ASSURANCE** **April 2024**		1. Non-Purchase Order Invoice Payments	**Housekeeping Recommendation 1:** The Force's Finance Clerks should ensure that suppliers are reminded to send invoices to the Finance Team's inbox to prevent future delays in the payment of invoices. The Force should ensure that new suppliers are provided with the correct information for submitting invoices for payment so that these can be processed and paid by the due date for payment. **Initial Management Response:** The Finance Clerks will be reminded to inform current suppliers to send all invoices to the Finance Operations Team inbox **Responsable Person: Samantha Lamb - Financial Services Manager** **Target Date: 31st March 2024**
			UPDATE July 2024: **What has been completed?** The Finance clerks are regularly reminded to inform current suppliers to send all invoices to the Finance Operations inbox. **What is there left to do?** Completed **Any barriers to completion; and what is being done to address those identified barriers?** None **Is the recommendation 'Proposed Closed'? – Yes**

			if yes, provide evidence to support closure by the DCC / JARAP [Evidence could be in the form of – a report, screenshot, guidance to staff etc] The Finance Operations Team are reminded during their regular catch up meeting and therefore there is no evidence to submit
			<center>**PROPOSED CLOSED**</center>
RISK MANAGEMENT LIMITED ASSURANCE **April 2024**		2. Safety, Sustainability and Risk Unit Staffing	**Fundamental Recommendation 1:** The Risk Officer job specification should be completed, approved and the role advertised promptly as a priority; or, the roles of the Risk Officer should be delegated amongst the SSR team. **Initial Management Response:** Since the audit fieldwork, we had a restricted police officer join us and this helped with capacity, as well as mitigating the strategic risk concerning capacity in the SSR team. Whilst happy to accept this recommendation, the duties of the risk officer will be transferred to new and current team members. There has already been a start date given to a new Sustainability Officer, who will assist with team capacity. **Responsible Person: Matt Jones - T/Head of Safety, Sustainability and Risk** **Target Date: 1ˢᵗ April 2024** **UPDATE July 2024:** Update to be provided for the next JARAP meeting due to the responsible person being on annual leave.
		3. Operational Risk Management	**Significant Recommendations: NOT ACCEPTED** **2.** The Force should restructure current risk management processes, such as by having departments maintain their own risk registers which are then reviewed centrally on a regular basis e.g. quarterly. **3.** The Force should provide access to the Keto system to owners of DRRs. **4**. A formal and structured programme of risk management training should be provided to staff with risk management responsibilities. **Initial Management Response:** We have found the centralised process of DRRs of benefit. It has enabled us to ensure risks are kept up to date, and that risks are archived when no longer an issue. It also allows us to monitor trends across departments and link in to processes such as STRA, FMS and the Layer Boards. Given the support of the force with a restricted officer, the capacity issues are less of a problem and has actually improved risk management across the force. Happy to keep this recommendation as we can highlight how this approach will continue to be of benefit. There are some inaccuracies in the second paragraph. Department do have their own DRRs, they just share them with the central team to keep a central record for the above mentioned benefits. The owners of DRRs do also have access to KETO. It is just that the central team offer a high level of support to Office of the Police and Crime Commissioner for Leicestershire and Leicestershire Police – Risk Management (05.23/24) Internal Audit Final Report Page 9 ensure consistency of risk recording. If an owner wishes to update KETO directly, they can. Indeed, CAID have a good example of this that we can share. There is also a formal programme of training – through the Health and Safety Managers Course, but we can add more detail to this. **Responsible Person: Matt Jones NOT ACCEPTED**

			Target Date: N/A
		4. Risk Scoring & Action Plans	**Significant Recommendations:** 5. Risks should include justification for why they have been rated at a certain impact and likelihood. 6. Action plans and mitigation strategies should be included for all risks and should also include a deadline or target date to be implemented by. **Initial Management Response:** Supt Avery - Inaccuracies should be noted and not fully accepted **Matt Jones -** This is not accurate. There is no rating of £200,000 on our risk matrix. A medium impact can be anything from £11,000 for a business area to £250,000 for a cost to the force. This is clear in our matrix. That said, CAID0373 does not have a financial impact assigned to it. It is medium on impact due to its significant impact of strategic direction and service delivery. Furthermore, a risk may have a low impact, but have a very high impact for one of the other impact areas. We would choose the highest score overall, which is a common approach to risk management. Office of the Police and Crime Commissioner for Leicestershire and Leicestershire Police – Risk Management (05.23/24) Internal Audit Final Report Page 11 STR0386 has since been archived, but the scoring matrix is very detailed and does provide additional information on why a risk has been given then risk score. In this case it was a loss of a key member of staff and therefore this was sufficient to give the 'serious' impact score. We use the pending controls section as our action plan and are satisfied with this approach. We are happy to review the 20 sample risks again if these can be provided. Happy to accept the recommendation to have a target date as KETO does have this function, but note that this will increase demand on the SSR unit, contradicting recommendation 1 to some extent. It can be implemented however if needed. **Responsible Person: Matt Jones - T/Head of Safety, Sustainability and Risk** **Target Date: 1st April 2024** **UPDATE July 2024:** Update to be provided for the next JARAP meeting due to the responsible person being on annual leave.
		5. Risk Duplication	**Housekeeping Recommendation:** 7. The Force should review the identified risks and condense them into a single strategic risk related to staffing. **Initial Management Response:** Happy to accept this for the force to consider. However, having a generic 'staffing risk' is unlikely to allow the specific risk to be managed in those departments where the threat is greatest. It then makes it very hard to assign to departmental KPIs, which is the whole point of creating risks. We did have a force-wide 'churn of staff' risk that included all staffing issues and it became very difficult to update, and led to this approach which is working well. We would argue that keeping these risks separate allow for more targeted mitigation whilst still allowing strategic decision making to update the relevant risks.

			Suggest we don't condense the risks into one for 'staffing' as it's too generic, or if we do, that the department ones are moved to the DRRs **Responsible Person: Matt Jones - T/Head of Safety, Sustainability and Risk** **Target Date: 1st April 2024** **UPDATE July 2024:** Update to be provided for the next JARAP meeting due to the responsible person being on annual leave.
		6. Risk Management Policy	**Housekeeping Recommendations:** **8.** The Risk Management Policy and Procedure should be reviewed and updated as a priority. **9**. The Force should address the areas of weakness noted in the recommendation – replicated here as follows: - The Force could include reference to the level of risk management that should be undertaken for projects / programmes. - The roles and responsibilities do not yet include the responsibilities for the Head of SSR or Risk Officer role which is currently being considered. - The risk scoring matrix could be included within the Risk Management Procedure, setting out how risks of different scores should be handled. **Initial Management Response:** As the audit took place in October 2023 (and the policy/procedure was due a review in September 2023), we decided to allow the audit to inform the policy and procedure. However, the audit took much longer than anticipated to be received, and we have since updated both these documents. Recommendation 8 can be accepted as it has been met already. Happy to accept the other elements of this recommendation and add to the new policy/procedure as relevant. **Responsible Person: Matt Jones - T/Head of Safety, Sustainability and Risk** **Target Date: 1st April 2024** **UPDATE July 2024:** Update to be provided for the next JARAP meeting due to the responsible person being on annual leave.
PORTFOLIO MANAGEMENT LIMITED ASSURANCE **May 2024**		1. Incomplete control registers for individual projects and for PMO	**Significant Recommendations**: 1. The Project Managers should report consistently on budget monitoring, and the overall financial position of their projects, rather than by exception in Highlight Reports. 2. The CIW and Highlight Reports should be expanded to include lessons learned. 3. The Lessons Learned Log should be expanded to include key details, including but not limited to: - Date of the project and lesson added to the register, - The name of the project which the lesson was learned from, - The responsible owner of the lesson, and - Any dependencies or other projects related to the lesson. **Initial Management Response:** Accept the finance tracking recommendation and we are working up a suitable approach for improved tracking and reporting.

			Accept comments re Lessons learnt however, key details listed will be covered in the PMO app which will come into full effect imminently. **Responsible Person: Sally Brooks - Project Manager / Suzi Nicholls - Project Manager** **Target Date: 31ˢᵗ March 2025** **Recently published report, an update will be provided at the next JARAP meeting**
		2. Incomplete control registers for PMO	**Significant Recommendations:** Until such time as the PowerBI App is ready to launch which will automatically draw information from individual project CIWs into a central log, the PMO should build central logs (such as the ones that exist for lessons learned and benefits tracking) for key areas, including but not limited to: - Budget monitoring - Dependencies - Risks **Initial Management Response**: The PMO dashboard will be a central log for risks, issues, lessons learnt and benefits across all projects. A separate log will be created for finance and dependencies **Responsible Person: Sally Brooks - Project Manager / Suzi Nicholls - Project Manager** **Target Date: 31st March 2025** **Recently published report, an update will be provided at the next JARAP meeting**
		3. Insufficient detail of reporting on key project information to Layer Boards	**Significant Recommendations**: 1. Highlight Reports should be expanded to include: - Lessons learned - Budget monitoring - Actions taken in previous reporting period - Actions to be taken forward into the next reporting period 2. The Force should consider disseminating Highlight Reports to the PMO and relevant project managers in the case that a Layer Board meeting is missed, or the Highlight Report has not been prepared in time for the Board meeting. **Initial Management Response:** HLRs will be replaced by a live dashboard in the PMO App, and a separate budget monitoring tool will be used to track finances. The PMO App will be accessible by all members of Leicestershire Police of Sgt rank or above. A live update progress as a % will be available against the high-level milestones. **Responsible Person: Sally Brooks - Project Manager / Suzi Nicholls - Project Manager** **Target Date: 31st March 2025** **Recently published report, an update will be provided at the next JARAP meeting**
		4. A lack of resource profile for the PMO, and	**Significant Recommendation:** The PMO should establish a resource profile against their own management requirements, and a profile for individual projects against a projected pipeline of upcoming projects. **Initial Management Response:** We accept this and we will look into different methodologies to progress this.

		for upcoming projects	**Responsible Person: Sally Brooks - Project Manager / Suzi Nicholls - Project Manager** **Target Date: 31st March 2025** **Recently published report, an update will be provided at the next JARAP meeting**
		5. A lack of gap analysis to establish an understanding of available and missing skills	**Significant Recommendation:** The PMO should conduct gap analysis of the available PMO skills and resources and create a skills matrix which identifies gaps. **Initial Management Response:** We accept this and we will look to collate a skills matrix of all PMO staff. **Responsible Person: Sally Brooks - Project Manager / Suzi Nicholls - Project Manager** **Target Date: 31st March 2025** **Recently published report, an update will be provided at the next JARAP meeting**
		6. A lack of standardised tools and templates to act as procedural guidance for project managers	**Housekeeping Recommendations:** 1. The PMO should complete the suite of best practice portfolio management templates and tools and share them to the wider team. 2. The PMO should complete their suite of how-to-guides, which act as practical steps in the implementation of key processes. **Initial Management Response:** We are gathering forms/templates together to add to our suite of documents which will be published on our SharePoint site to complete our full suite of documents. **Responsible Person: Sally Brooks - Project Manager / Suzi Nicholls - Project Manager** **Target Date: 31st March 2025** **Recently published report, an update will be provided at the next JARAP meeting**

MEDIUM TERM FINANCIAL PLAN SUBSTANTIAL ASSURANCE
May 2024
		1. Savings Plan	**Housekeeping Recommendations 1:** A longer-term efficiency plan should be developed at the earliest opportunity to address future forecasted budget deficits.
			Initial Management Response: This recommendation is referenced to the September 2021 audit. At the time the MTFP was in a balanced position and hence the need for an efficiency plan reduced.
			However, given the changing financial landscape A Budget Deficit (Sustainability) Plan is now in place. During 2023 the following papers were presented to the Corporate Governance Board:
			  ➤ 21/06/2023 – Efficiency Savings Report – setting out approach
			  ➤ Office of the Police and Crime Commissioner for Leicestershire and Leicestershire Police – Medium Term Financial Planning (09.23/24) Internal Audit Report Page 7
			  ➤ 11/12/2023 – Budget Efficiency Report
			  ➤ 24/01/2024 – Operational Report, including Efficiency Plan
			
			The plan has been developed further since January 2024 and the latest copy of the plan is being presented to CGB in May 2024. The plan covers 2023/24 through to 2025/26.
			Responsible Person: David Sandall Deputy Chief Constable / Paul Dawkins – Assistant Chief Officer (Resources)
			Target Date: Ongoing

			UPDATE July 2024: No update related to planning other than to say the report was tabled at Corporate Governance Board CGB as referred to – Paul Dawkins ACO Resources.
		2. Budget Holder Training	**Housekeeping Recommendations:** **2**. The Force should implement a formal programme of training for budget holders, including refresher training. **3.** A training needs analysis should be completed to ensure that the right level of training is provided to those who need it. **Initial Management Response**: Financial awareness training is now be delivered as part of the 3-layer Leadership Training. The Force has also joined the CIPFA AFEPIII programme which gives access to training courses. A training needs analysis will be developed for new budget holders to identify gaps in knowledge that require additional training support. **Responsible Person: Marie Watts Strategic Management Accountant** **Target Date: 31st December 2024** **UPDATE July 2024:** Training is ongoing with a December 2024 target completion date.
OCCUPTATIONAL HEALTH **SUBSTANTIAL ASSURANCE** **June 2024**		1. Presenting KPIs after the implementation of Cority	**Housekeeping Recommendation:** The Unit should consider how the new source data from the clinical management system can be presented. If new KPIs are necessary, these should be reported to Senior Management. **Initial Management Response:** Cority data is being worked on (new system) and there have been several discussions with the PowerBi and data analyst team about how best to present this data to future boards. **Responsible Person: Tim Ellis – Head of Occupational Health and Wellbeing** **Target Date: 1st January 2025** **Recently published report, an update will be provided at the next JARAP meeting**
		2. Consodering Gap Analysis for Target Operating Model	**Housekeeping Recommendation:** The Force should consider conducting a Gap Analysis between their current operating standards and the updated Oscar Kilo Enhanced Standards (Level 2) and develop an action plan to ensure compliance. **Initial Management Response:** As with all forces, the Oscar Kilo team have now put the new standards into the Blue Light Wellbeing Framework (replacing the previous Foundation standards). I agree we need a gap analysis exercise conducting against the new standards. The HMICFRS inspection due shortly will include the Foundation standards, so after this we will be focusing on the new standards. **Responsible Person: Tim Ellis – Head of Occupational Health and Wellbeing** **Target Date: 1st September 2024** **Recently published report, an update will be provided at the next JARAP meeting**
COUNTER FRAUD and WHISTLEBLOWING **SUBSTANTIAL ASSURANCE**		1. Fraud Training	**Fundamental Recommendation**: The Force should carry out a training needs analysis to establish which areas of the organisation have a higher risk and fraud and need specific / tailored training. The Force should ensure that there is an appropriate provision of training to meet the needs of the organisation highlighted from the training needs analysis.

June 2024			The delivery of all training should be monitored centrally for its effectiveness and completion rates and regularly reviewed to ensure it is meeting the needs of the organisation.

June 2024 — (red cell)

The delivery of all training should be monitored centrally for its effectiveness and completion rates and regularly reviewed to ensure it is meeting the needs of the organisation.

Initial Management Response: Engaged with Change Team to assist in this area.

Accept that the current training package needs updating. This will allow for self-updating from within the department and will work with IT to make this auditable.

Responsible Person: D/Supt Alison Tompkins, Head of Professional Standards and D/Insp Esther Scott

Target Date: 31st March 2025

UPDATE July 2024: This has been reviewed and Team Leicestershire Academy TLA contacted. Commissioning request made and conferred directly with DCI Arthur to clarify what needs to be achieved.

Existing product currently available on SharePoint requires a small refresh, but it is essentially ready to go. This will be taken to the Training Commissioning Board to establish how best to roll out training to ALL Leicestershire Police employees. Date for roll out to be confirmed.

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2. Fraud Risks and Registers (amber cell)

Significant Recommendation: The Force should develop a risk register system for fraud specific

risks separate from its departmental and strategic risk registers.

Once implemented, fraud risks should be identified and recorded on the fraud risk register and action plans implemented to mitigate risks, which are then reviewed on a regular basis.

Initial Management Response: Agree to instigate a risk register in CCU specifically around the risk area of Theft and Fraud, which will lay out risk, relevant department, mitigating controls

and a review date. This will form part of the 4P development plan already in existence for Theft and Fraud within CCU.

Responsible Person: D/Supt Alison Tompkins, Head of Professional Standards and D/Insp Esther Scott

Target Date: 31st March 2025

UPDATE July 2024: Matt Jones (Health and Safety and Risk Lead) - The risk register will sit on the force force risk register system Keto.

Actions required:

1. To identify what policies are already in place that reflect mitigation around theft and fraud.
   - ❖ **Procurement**
   - ❖ **Purchasing**
   - ❖ **Finance**
   - ❖ **Property**
   - ❖ **Estates**
   - ❖ **Resource Planning**
   - ❖ **Assess Management (IT) etc**

2. To include 6 monthly reviews and document policy adhered to within Counter Corruption Unit CCU Risk Plan
3. Within these policies to highlight new risks and what is to be done to mitigate against them. These will be added within the training package when rolled out.

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3. Recording of whistleblowing allegations (amber cell)

Significant Recommendation: It should be ensured that the significant events logs within progress logs are completed fully to ensure that the investigations undertaken and resolution are clearly recorded. The initial response sent to the

			whistleblower following a whistleblowing report being made should clearly include the four points set out in the Whistle-blowers' Procedure e.g. indication of how the matter will be dealt with. **Initial Management Response**: Accept that the current training package needs updating. This will allow for self-updating from within the department and will work with IT to make this auditable. **Responsible Person: D/Supt Alison Tompkins, Head of Professional Standards and D/Insp Esther Scott** **Target Date: 31st March 2025** **UPDATE July 2024:** This is housekeeping within the CCU and easily achieved with more robust line manager reviews. This is referring predominately to Bad Apple (BA). Only the supervisors in CCU respond to BA and a new practice adopted to satisfy the requirements as Mazar's have classified the reports as Whistleblowers.
		4. Anti-Fraud and Corruption Strategy	**Significant Recommendation**: The Force and OPCC should produce and publish a separate Anti-Fraud and Corruption Strategy. **Initial Management Response:** Agree that there is not currently a Force policy on Anti-Fraud. This will form part of the 4P development plan already in existence for Theft and Fraud within CCU. **Responsible Person: D/Supt Alison Tompkins, Head of Professional Standards and D/Insp Esther Scott** **Target Date: 31st March 2025** **UPDATE July 2024:** Work in progress between CCU DI and OPCC Chief Finance Officer - Kira Hughes. Mazar's suggested Lincolnshire Police and the OPCC had a good policy in place. A copy has been obtained and reviewed to support development of the Leicestershire OPCC and Police joint policy going forward.
			END