

# ETAP Governance Highlight Report

## Office of the Chief Constable

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| Author: D Wilne  | Organisation: Staffordshire Police |
| Contact: 01785 232284<br>deborah.wilne@staffordshire.pnn.police.uk | Date of meeting 25 July 2018       |

### Introduction

This report is intended to provide information and assurance to ETAP on the actions being taken around the following:

1. HMICFRS reports and recommendations
2. Internal audit reports and recommendations
3. External audit report and recommendations
4. ETAP reports and recommendations
5. Strategic Risk, Issue and Opportunity (RIO) management
6. Annual governance statement

An overview of the above areas is provided, with a focus on those matters that have been considered to represent higher level risks to the organisation or which ETAP have requested a specific update on.

### Recommendation to ETAP

That the information within this report be noted for information / discussion.

That any matters requiring more detailed scrutiny be raised for inclusion in the next Chief Constable's report to ETAP.

## Overview of Current Position

### 1 Her Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS) Reports and Recommendations

Table 1: Live HMICFRS Force Inspection report action plans

|   | Inspection  | Date of report   | Causes for Concern | Recs | Areas for Imp | Overall Judgment                                 | Comments   |
|---|---|------------------|--------------------|------|---------------|--|--|
| 1 | PEEL: Legitimacy 2016   | December 2016    | 0                  | 0    | 3             | Good   | AFI relating to vetting remains ongoing.   |
| 2 | Crime Data integrity 2016   | August 2016      | 3                  | 5    | 4             | Good   | 1 action remains ongoing in relation to time taken to classify crimes and links to referrals to victims support agency.        |
| 3 | PEEL: Effectiveness 2016  | March 2017       | 0                  | 0    | 11            | Requires Improvement                             | 3 actions remain open which relate to 'missing and absent children'. See below for detail.                                     |
| 4 | Unannounced Custody inspection visit to police custody suites in Staffordshire 2017 | 1 August 2017    | 6                  | 6    | 26            | No Judgement, however 1 Best Practice identified | 6 actions remain outstanding.  |
| 5 | PEEL: Police Efficiency (including Leadership) 2017                                 | 9 November 2017  | 0                  | 0    | 2             | Good   | Both actions remain on track.  |
| 6 | PEEL: Police Legitimacy (including Leadership) 2017                                 | 12 December 2017 | 0                  | 0    | 6             | Good   | 1 action is complete with 2 further actions awaiting review and sign off as complete by PEEL Bd. The remaining 3 are on track. |
| 7 | PEEL: Effectiveness 2017  | 22 March 2018    | 0                  | 0    | 7             | Good   | All 7 actions are currently on track.  |

(PEEL – Police Efficiency, Effectiveness and Legitimacy)



All force and national publications can be accessed at:

<http://www.justiceinspectorates.gov.uk/hmicfrs/publications/>

### 1.1 2018 Force Management Statement (FMS)

As reported within the last Chief Constable's Governance report, the force has now submitted its first FMS to HMICFRS. The public facing executive summary is attached at appendix 1 for information.

## 2 Internal Audit Reports and Recommendations

Table 2: Summary of live Internal Audit action plans

|   | Audit                                      | Date of final report | High risk Recs | Med risk Recs | Low risk recs | Overall Judgment | Comments  |
|---|--|----------------------|----------------|---------------|---------------|------------------|---|
| 1 | 2016 Budgetary Control                     | 15 January 2016      | 0              | 2             | 1             | Satisfactory     | 1 medium priority remains work in progress and linked to Capita Evosys work. Initially this was anticipated for completion by the year end, however the work will extend into 2018/19.                  |
| 2 | 2016 Procure to Pay Including Credit Cards | 27 January 2016      | 1              | 4             | 2             | Satisfactory     | 1 medium priority remains work in progress linked to Capita Evosys work. Initially this was anticipated for completion by the year end, however the work will extend into 2018/19.                      |
| 3 | 2017 Accounts Receivable                   | 16 January 2017      | 0              | 2             | 10            | Adequate         | 1 low priority is off track which relates to the approval of the Fees, Charges and Allowances handbook. Currently going through the governance process for sign off July 2018.                          |
| 4 | 2017 Police Payroll Processing Procedures  | 24 March 2017        | 0              | 2             | 2             | Substantial      | 1 medium priority remains ongoing and is on track. This relates to ensuring processes are documented and kept in a central location accessible to all staff. On track for completion by September 2018. |
| 5 | 2016/17 Procure to Pay                     | 28 February 2017     | 1              | 7             | 4             | Satisfactory     | 1 medium priority remains work in progress and linked with Capita Evosys work. Initially this was anticipated for completion by the year end, however the work will extend into 2018/19.                |
| 6 | 2017 Procurement and Contract Management   | 17 May 2017          |                | 11            | 10            | Limited          | 11 actions are complete with 10 remaining, 7 on track and 3 off track in delivery date (5 medium and 5 low priority).   |



|    |  |                 |   |   |   |              |   |
|----|--|-----------------|---|---|---|--------------|---|
| 7  | 2017 Police - IT Governance Final Audit Report                               | 11 October 2017 |   |   | 3 | Substantial  | All 3 recommendations are low priority and are on track.  |
| 8  | 2017 Counter Fraud Checks on Overtime Final Audit Report                     | 11 October 2017 |   | 1 | 2 | Substantial  | 2 actions completed (1 low and 1 medium priority) and 1 is on track (low priority).   |
| 9  | 2017 Proceeds of Crime Act (POCA)  | 19 January 2018 |   | 1 | 1 | Substantial  | The 2 actions are ongoing. Remains work in progress and linked to Capita Evosys work. Initially this was anticipated for completion by the year end, however the work will extend into 2018/19. |
| 10 | 2018 Payroll Processing Procedures   | 30 January 2018 |   | 1 | 4 | Substantial  | 1 on track (medium). For completion by September 2018. 4 completed.   |
| 11 | 2018 Transformation Programme Readiness                                      | 1 March 2018    |   | 1 | 1 | Substantial  | Both actions are on track.  |
| 12 | 2018 Transformation Project Management                                       | 1 March 2018    |   | 1 | 1 | Substantial  | Both actions are on track   |
| 13 | 2018 Management of Property  | 8 May 2018      |   | 5 | 2 | Adequate     | All 7 actions remain ongoing. Acknowledgement that agreed completion dates were to demonstrate work in progress rather than full completion.  |
| 14 | 2018 Police - Financial Ledger and Bank Accounts, and Finance Follow up      | 11 May 2018     |   | 2 | 6 | Satisfactory | 3 low actions remain outstanding, 2 on track, 1 off track. Action off track due to PCC having an interim CFO. 5 completed.  |
| 15 | 2018 - Transformation Programme Benefits Monitoring of the Resolution Centre | 16 May 2018     |   |   | 1 | Substantial  | 1 action (low). Action marked as complete, awaiting sign off.   |
| 16 | Capital Programme and Fixed Assets   | 23 May 2018     | 1 |   |   | Adequate     | Action to be completed by 30.09.18.   |



Table 3: Completed plans since the last ETAP meeting May 2018

|   | Audit   | Date of final report | High risk Recs | Med risk Recs | Low risk recs | Overall Judgment | Comments   |
|---|---|----------------------|----------------|---------------|---------------|------------------|--|
| 1 | 2017 Partnership and Collaboration: Staffordshire and Stoke on Trent Multi Agency Safeguarding Hub (MASH) | 9 June 2017          | 0              | 4             | 0             | Satisfactory     | Awaiting review and sign off as complete by Neighbourhood and Partnership Board. |
| 2 | Transport Partnership Final Audit Report  | 5 May 2017           | 0              | 10            | 2             | Limited          | Awaiting review and sign off as complete by Enabling Board.                      |
| 3 | 2018 Transformation Programme Benefits Monitoring of the Resolution Centre                                | 16 May 2018          | 0              | 0             | 1             | Substantial      | Awaiting review and sign off as complete by DCC Directorate Board.               |

### 3 External Audit Report and Recommendations

#### 3.1 Year ended 31 March 2016

16 actions have been marked as complete with the remaining 1 (high priority) remaining on track in line with the Capita Evosys work scheduled for completion by end October 2018.

#### 3.2 Year ended 31 March 2017

11 recommendations have been made by Ernst Young within the 'Police and Crime Commissioner for Staffordshire and Chief Constable for Staffordshire' Audit Results Report year ended 31 March 2017. Of these 6 are prioritised Medium and 5 High. 7 actions have been completed to date with the remaining 4 off track (1 medium, 3 high).



## 4 ETAP Reports and Recommendations

Table 4: Completed plans since the last ETAP meeting May 2018

|   | ETAP Report     | Date of finalised report | No of Recs | Status    |          |          | Notes / Comments   |
|---|-----------------|--------------------------|------------|-----------|----------|----------|--|
|   |                 |                          |            | Off Track | On Track | Complete |  |
| 1 | Care in Custody |                          | 10         |           | 2        | 8        | Awaiting review and sign off as complete by Operational Support Board. |

## 5 Force Strategy Board - Strategic Risk Issue and Opportunity Management

The monthly Board has met a further two times since the last ETAP report. The force strategic risk register currently has 1 risk and 2 issues as listed below. Each risk is subject to review at the board:

- Forensics IT capability (Risk)
- Weaknesses in the arrangements for planning finances effectively (Issue)
- Data quality issues (Issue)

There are a number of emerging risks and issues (identified through the Enabling Board) for consideration at the July Board which will be reported as appropriate.

## 6 Annual Governance Statement Update (AGS)

Following feedback / comments from the external auditors a small number of minor amendments have been made to the AGS which was originally reported as signed off by the Executive Officer Team 18 May 2018. The additional amendments have been approved by the Chief Constable and a final version submitted to Ernst Young 2 July 2018.

## Key matters for ETAP August 2018 report

1. Internal Audit: Update against outstanding internal audit actions as reported above
2. Further update around Risk, Issue and Opportunity management