

# ETAP Governance Highlight Report

## Office of the Chief Constable

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### 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

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

*Please see appendix 1 for detail of open actions*

Table 1: Live HMICFRS Force Inspection report action plans

	Inspection	Date of report	Causes for Concern	Recs	Areas for Imp	Overall Judgment	Comments (see appendix 1 for detail of open actions)
1	2016 PEEL: Legitimacy	December 2016	0	0	3	Good	As reported in July, 2 AFI's remain open.
2	2016 PEEL: Effectiveness	March 2017	0	0	13	Requires Improvement	4 actions are open. These are the same as the 3 actions as reported in July plus an additional action that was requested via PEEL Board to be re-opened (1) with a request for further evaluation.
3	2017 Unannounced Custody inspection visit to police custody suites in Staffordshire	1 August 2017	0	6	26	No Judgement, however 1 Best Practice identified	4 actions remain open. 2 further actions have been completed since July (reading materials and nicotine therapy).
4	2017 PEEL: Police Efficiency (including Leadership)	9 November 2017	0	0	2	Good	1 action remains open. An additional action has been completed since July (plans for cost savings).
5	2017 PEEL: Police Legitimacy (including Leadership)	12 December 2017	0	0	6	Good	4 actions are open. These are the same 3 actions as reported in July plus an additional action that has been marked as off track via PEEL Board due to the expiry of the delivery date and additional evidence of evaluation requested (Peel Board 19 November will require comprehensive updates on all outstanding use of force actions from

							nominated force thematic lead).
6	2017 PEEL: Effectiveness	22 March 2018	0	0	7	Good	6 actions remain open. 1 further action has been completed since July (understanding outcome 16 - evidential difficulties).

(PEEL – Police Efficiency, Effectiveness and Legitimacy)

### HMICFRS action plans completed since July ETAP

- 2016 Crime Data Integrity

All force and national publications can be accessed:

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

## 2 Internal Audit Reports and Recommendations

*Please see appendix 2 for detail of open actions*

Table 2: Summary of live Internal Audit action plans

	<b>Audit</b>	<b>Date of final report</b>	<b>High risk Recs</b>	<b>Med risk Recs</b>	<b>Low risk recs</b>	<b>Overall Judgment</b>	<b>Comments (see appendix 2 for detail of open actions)</b>
1	2016 Procure to Pay Including Credit Cards	27 January 2016	1	4	2	Satisfactory	As reported in July, 1 medium priority remains open linked to the on-going systems and team review.
2	2017 Accounts Receivable	16 January 2017	0	2	10	Adequate	As reported in July, 1 low priority remains open.
3	2017 Police Payroll Processing Procedures	24 March 2017	0	2	2	Substantial	As reported in July, 1 medium priority remains open.
4	2016/17 Procure to Pay	28 February 2017	1	7	4	Satisfactory	As reported in July, 1 medium priority remains open linked to the on-going systems and team review.
5	2017 Procurement and Contract Management	17 May 2017		11	10	Limited	1 low priority remains open. 9 further actions have been completed since July.



6	2017 Police - IT Governance Final Audit Report	11 October 2017			3	Substantial	As reported in July, all 3 recommendations remain open. Evidence of work in progress linked to broader review of governance arrangements for this area of business.
7	2017 Proceeds of Crime Act (POCA)	19 January 2018		1	1	Substantial	1 action remains open linked to the on-going systems and team review. 1 further action has been completed since July.
8	2018 Payroll Processing Procedures	30 January 2018		1	4	Substantial	As reported in July, 1 recommendation remains open.
9	2018 Management of Property	8 May 2018		5	2	Adequate	2 actions remain open. A further 5 have been completed since July.
10	2018 Police - Financial Ledger and Bank Accounts, and Finance Follow up	11 May 2018		2	6	Satisfactory	1 action remains open. A further 2 have been completed since July
11	Capital Programme and Fixed Assets	23 May 2018	1			Adequate	The action remains open linked to the on-going systems and team review.

### **Internal audit action plans completed since July ETAP**

- 2016 - Budgetary Control
- 2017 - Counter Fraud Checks on Overtime Final Audit Report
- 2018 - Transformation Programme Readiness
- 2018 - Transformation Project Management
- 2018 - Transformation Programme Benefits Monitoring of the Resolution Centre

## **3 External Audit Reports and Recommendations**

*Please see appendix 3 for detail of open actions*

### **3.1 Year ended 31 March 2016**

16 actions have been marked as complete with restructuring of finance team remaining ongoing and due for completion by January 2019.

### **3.2 Year ended 31 March 2017**

8 actions have been completed to date (1 further action has been completed since July – capital plan sale of former HQ) with the remaining 3 (1 medium, 2 high) due for completion by 31 March 2019

### **3.3 Year ended 31 March 2018**

Six recommendations have been identified which have been recorded onto the force's action plan system to allow appropriate scrutiny and oversight. An update against progress will be given at the next ETAP meeting.

## **4 ETAP Audits and Recommendations**

A review of temporary promotions was issued and published during September. The report indicates evidence of a fair and equitable process which conforms to legislative and good governance principles. There are 4 low level recommendations which will be recorded onto the force action planning system and updates provided at the next ETAP meeting.

## **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 3 risks (an additional IT risk has been added since July ETAP) and 2 issues as listed below. Each risk and issue is subject to a full review at the board including effectiveness of controls measures in place and risk/issue scores:

### **Risks:**

- **Finance Capital:** Risk that capital programme is insufficient to enable investments required to meet business outcomes.
- **Cultural Change:** Risk that the force is unable to achieve the cultural and behavioural changes required to deliver priorities.
- **IT failure:** Risk that IT technical failures may impact on delivery of operational and support activities.



**Issues:**

- **Weaknesses in the arrangements for planning finances effectively:** Requirement to enhance availability of information to inform decision making and make clear links to financial impacts.
- **Data quality:** Requirement to address inaccurate and incomplete information held across systems.

**Key matters for ETAP December 2018 report**

1. Update against ongoing HMICFRS, Internal and external audit actions
2. Update against new finance management and risk management framework and strategy internal audit recommendations
3. Update against new ETAP audit temporary promotions recommendations
4. Update around Risk, Issue and Opportunity management

## HMICFRS Actions update

### 1. 2016 HMIC PEEL Efficiency, Legitimacy and Leadership

HMIC AFI	<b>OWNER:</b>	Csup Jeffrey Moore (04119) action 2
	<b>DATE ACTION SET:</b>	08/12/2016
On Track	<b>DUE DATE:</b>	30/11/2018
	<b>RECOMMENDATION:</b>	PEEL: Police Legitimacy 2016 (Force report)
	<b>ACTION:</b>	The force should improve how it seeks feedback from the people it serves about their experiences (or perceptions) of how the police have treated them.
Neighbourhood and Partnership	<b>LATEST UPDATE:</b>	(17/05/2018) Update as per action owner - The force already collates feedback from people in respect of quality of service reports based upon crimes reported. The force has increased the types of crime involved and now seeks feedback against a larger section of crime types. It can also break this down into diversity and domestic abuse. The force has for some time sought the views of those where ASB has been reported. Both sections have a high response and satisfaction rate. Under the Engagement Strategy a common standard will be introduced that will ensure that every area has a public meeting monthly. The area for development is consistency of these meetings which is why a common standard is being introduced. The action is developed but not evaluated at this stage due to staffing changes with introduction of the new model. During May the force has held or planned over 300 contacts with the community in the form of meetings, street briefings or engagement opportunities.

HMIC AFI	<b>OWNER:</b>	Justine Kenny (25988) action 4
	<b>DATE ACTION SET:</b>	08/12/2016
On Track	<b>DUE DATE:</b>	31/10/2018
	<b>RECOMMENDATION:</b>	PEEL: Police Legitimacy 2016 (Force report)
	<b>ACTION:</b>	The force should improve how it manages individual performance.
People and Resources	<b>LATEST UPDATE:</b>	(12/09/2018) Update as per action owner - This action was originally set in 2016 and it is fair to say that now in 2018 we are in a different place. We have in place a People First strategy, shortly to be accompanied by detailed Delivery Plans for each of the eight themes. One of those themes centres on 'development, performance, and growth' and covers our commitment to "create the capability needed for future success by motivating and engaging people to take responsibility and accountability for their own performance and development, and adapt to continuous change." One element of this involves replacing the tick-box iMatter with a structure of more meaningful conversations on performance and development. We also have in place a detailed and effective policy on the management of unsatisfactory performance and attendance.

*Please note: The other action has not been documented as it relates to the National report.*

## 2. 2016 HMIC PEEL Effectiveness

HMIC AFI	<b>OWNER:</b>	Csup Jeffrey Moore (04119) action 1
	<b>DATE ACTION SET:</b>	09/03/2017
On Track	<b>DUE DATE:</b>	31/12/2018
	<b>RECOMMENDATION:</b>	The force should adopt a structured and consistent problem-solving process to enable it to tackle crime and anti-social behaviour more effectively.(p17)
Neighbourhood and Partnership	<b>ACTION:</b>	No actions
	<b>LATEST UPDATE:</b>	(25/09/2018) Action status of COMPLETE reviewed at PEEL Board. Agreement for Governance Team to amend status to on track and extend delivery date to 31/12/18 pending further evidence / evaluation of completion. Monitoring of progress to continue via PEEL Board.

HMIC AFI	<b>OWNER:</b>	Csup Jeffrey Moore (04119) action 10
	<b>DATE ACTION SET:</b>	09/03/2017
On Track	<b>DUE DATE:</b>	30/11/2018
	<b>RECOMMENDATION:</b>	The force should improve its response to missing and absent children by: (p46)
Neighbourhood and Partnership	<b>ACTION:</b>	recording in sufficient detail the rationale for decision-making when assessing the risks for missing and absent children;
	<b>LATEST UPDATE:</b>	(18/08/2018) The force policy was amended in June 2018. This removed the use of 'Absent' category and clarified the roles. The force introduced in July 2018 a Missing Person Investigation Team that operates from the control room. This is due for evaluation in December 2018 and as part of the introduction the quality of risk assessments is being reviewed.

HMIC AFI	<b>OWNER:</b>	Csup Jeffrey Moore (04119) action 11
	<b>DATE ACTION SET:</b>	09/03/2017
On Track	<b>DUE DATE:</b>	30/11/2018
	<b>RECOMMENDATION:</b>	The force should improve its response to missing and absent children by: (p46)
Neighbourhood and Partnership	<b>ACTION:</b>	acting promptly and effectively on any information which may assist with locating a missing child which is available from previous missing episodes, such as information contained in trigger plans; and
	<b>LATEST UPDATE:</b>	(18/08/2018) Force policy now adopted. Trigger Plans are still utilised. All missing children are subject to a review by Catch 22 who complete a visit after return. This information is recorded onto COMPACT. The force has introduced a Missing Person Investigation team and evaluation as to effectiveness will be reported back in December 2018. The team focuses on tasking in line with the action.

HMIC AFI	<b>OWNER:</b>	Csup Jeffrey Moore (04119) action 12
	<b>DATE ACTION SET:</b>	09/03/2017
On Track	<b>DUE DATE:</b>	30/11/2018
	<b>RECOMMENDATION:</b>	The force should improve its response to missing and absent children by: (p46)
	<b>ACTION:</b>	ensuring that the initial stages of an investigation include effective supervision to provide appropriate and timely inquiries and safeguarding action.
Neighbourhood and Partnership	<b>LATEST UPDATE:</b>	(18/08/2018) In July 2018 the force introduced a Missing Person Investigation Team that sets initial actions and investigation plan. The force has removed its use of No Apparent risk for children.

### 3. 2017 HMIC Report on an unannounced inspection visit to police custody suites in Staffordshire

HMIC Force Rec	<b>OWNER:</b>	Susan Hewett (26442) action 1
	<b>DATE ACTION SET:</b>	02/08/2017
On Track	<b>DUE DATE:</b>	31/12/2018
	<b>RECOMMENDATION:</b>	8.1 - Area of concern: Performance information on custody was not comprehensive, and limited monitoring made it difficult for the force and others to assess how well custody services performed.
	<b>ACTION:</b>	Recommendation: The force should develop a comprehensive performance management framework for custody that ensures the accurate collection of data, and use this to assess performance, identify trends and learning opportunities, and improve services. (2.42)
	<b>LATEST UPDATE:</b>	Progress Update: (17/05/2018) Further to HMICFRS's re-visit on 11/05/18, it was agreed that this action was not fully completed and would be re-opened. Until NICHE is implemented this action cannot be fully completed.
		<i>Reviewer's Comments: (12/09/2017) The force is in the process of identifying a new custody system. Performance data is been considered in any future options.</i>

HMIC Force Rec	<b>OWNER:</b>	Insp Jason Allport (04668) action 4
	<b>DATE ACTION SET:</b>	02/08/2017
On Track	<b>DUE DATE:</b>	31/12/2018
	<b>RECOMMENDATION:</b>	8.4 - Area of concern: Governance and oversight of the use of force in custody were limited, with insufficient information to demonstrate its use was justified or proportionate.
Justice Services	<b>ACTION:</b>	Recommendation: Staffordshire police should immediately introduce the robust scrutiny of all force used in the detention and custody of detainees to assure itself and others that all use of force is justified and proportionate. (2.45)
	<b>LATEST UPDATE:</b>	(27/09/2018) The process is continuing to be reviewed until we are satisfied with the compliance rates. This is proving difficult to collate due to issues with the National Use of Force (UoF) recording portal. These include intermittent access to

the site and sometimes incorrect recording of where the UoF commenced and or if it continued whilst in custody.

HMIC AFI	<b>OWNER:</b>	Ci Clare Francis (00874) action 28
	<b>DATE ACTION SET:</b>	02/08/2017
On Track	<b>DUE DATE:</b>	31/12/2018
	<b>RECOMMENDATION:</b>	In the custody cell, safeguarding and health care
	<b>ACTION:</b>	8.28 Detainees with alcohol or drug problems should be supported through a comprehensive and integrated service in all custody suites. (6.65)
Investigative Services	<b>LATEST UPDATE:</b>	(20/06/2018) Having spoken to the programme lead for liaison and diversion, there are plans in place to extend these services to the south of the county. Progress will continue to be monitored via the Custody steering group.

HMIC AFI	<b>OWNER:</b>	Ci Clare Francis (00874) action 29
	<b>DATE ACTION SET:</b>	02/08/2017
On Track	<b>DUE DATE:</b>	31/12/2018
	<b>RECOMMENDATION:</b>	In the custody cell, safeguarding and health care
	<b>ACTION:</b>	8.29 All detainees with mental health needs should have prompt access to specialist mental health services, and those who need an assessment under the Mental Health Act should receive this without delay. (6.72)
Justice Services	<b>LATEST UPDATE:</b>	(17/05/2018) Further to HMICFRS's re-visit on 11/05/18, it was agreed that this action was 'amber' and not complete. There are currently no data for response times so it cannot be monitored. Until this is finalised, this action will not be complete.

#### 4. 2017 HMIC PEEL Efficiency (including Leadership)

HMIC AFI	<b>OWNER:</b>	Csup Wayne Jones (04520) action 1
	<b>DATE ACTION SET:</b>	09/11/2017
On Track	<b>DUE DATE:</b>	31/12/2018
	<b>RECOMMENDATION:</b>	The force should ensure that it has sufficient resources available in the control room to fulfil its resourcing model, and so to meet its demand, while also taking into account the wellbeing of its workforce
Contact and Response	<b>ACTION:</b>	No actions
	<b>LATEST UPDATE:</b>	(20/08/2018) FTE Aug 18 is 168.6 against current operating model target of 184. Recruitment has been targeted towards PTE that are able to work at periods of high demand/l break times. Following Exec decision the scheduled intake April 18 was revised. Est is now 15.4 under glide path. FTE of 184 staff has been subject to review dept head has been working closely SP25 to refresh the current demand v resources profile identifying meal break provision is key to service delivery regardless of FTE. A paper was shared at August FSB seeking approval for a number of recommendations; • Remove the two minute self-imposed performance indicator for 101 call handling. • Maintain our 999 call handling performance at 10 seconds in line with national requirements. • Reduce the call volumes into 101 through the rollout of CR 05 (channel shift) • Maintain the performance monitoring of 101 volumes and average times to answer to identify service recovery requirements. • Our measure for 101 becomes an ambition within the Contact

Strategy that we design our new processes to ensure that we answer 101 calls at the earliest point possible and seek to resolve each matter at the first point of contact with no requirement or need to repeat that contact. A business case will be prepared for a future force enabling board regarding a recruitment proposal for meal break provision/use of fixed term contracts/apprenticeships

*Reviewer's Comments: (12/10/2018) DW: Clear evidence of progress with oversight from FSB, enabling board and directorate. Recommended to extend delivery date to end of year with a full review of progress via PEEL board.*

## 5. 2017 HMIC PEEL Legitimacy (including Leadership)

HMIC AFI	<b>OWNER:</b>	CI Donna Harvey (00796) action 1
	<b>DATE ACTION SET:</b>	12/12/0017
Off Track	<b>DUE DATE:</b>	30/06/2018
	<b>RECOMMENDATION:</b>	The force should improve its recording and scrutiny of use of all types of force so that it can be certain that if force is misused, it can be identified immediately and remedial measures put in place. (page 9)
Operational Support	<b>ACTION:</b>	No actions
	<b>LATEST UPDATE:</b>	(25/09/2018) Action status of on track reviewed at PEEL Board (05/09/18). Agreement for Governance Team to amend status to off track due to expiry of delivery date. Monitoring of progress to continue via PEEL Board.

*Reviewer's Comments: (03/10/2018) Email received from Supt Ratcliffe - action owner to be changed to C.I. Harvey as force thematic lead.*

HMIC AFI	<b>OWNER:</b>	CI Donna Harvey (00796) action 2
	<b>DATE ACTION SET:</b>	12/12/2017
On Track	<b>DUE DATE:</b>	31/12/2018
	<b>RECOMMENDATION:</b>	The force should ensure that learning and opportunities to improve, identified as a consequence of better scrutiny of use of all types of force, are promoted throughout the force. (page 9)
Contact and Response	<b>ACTION:</b>	No actions
	<b>LATEST UPDATE:</b>	(25/09/2018) Action status of COMPLETE reviewed at PEEL Board (05/09/18). Agreement for Governance Team to amend status to on track and extend delivery date to 31/12/18 pending further evidence / evaluation of completion. Monitoring of progress to continue via PEEL Board.

*Reviewer's Comments: (03/10/2018) Email received from Supt Ratcliffe - action owner to be changed to C.I. Harvey as force thematic lead.*

HMIC AFI	<b>OWNER:</b>	Ci Donna Harvey (00796) action 3
	<b>DATE ACTION SET:</b>	12/12/2017
On Track	<b>DUE DATE:</b>	31/12/2018
	<b>RECOMMENDATION:</b>	The force should ensure that all frontline officers have a thorough understanding of how to use all coercive powers fairly and respectfully; this should include the

Contact and Response		operational use of all types of force, the use of handcuffs and the criteria which necessitate the making of an arrest.(page 9)
	<b>ACTION:</b>	No actions
	<b>LATEST UPDATE:</b>	(25/09/2018) Action status of COMPLETE reviewed at PEEL Board (05/09/18). Agreement for Governance Team to amend status to on track and extend delivery date to 31/12/18 pending further evidence / evaluation of completion. Monitoring of progress to continue via PEEL Board
		<i>Reviewer's Comments: (03/10/2018) Email received from Supt Ratcliffe - action owner to be changed to C.I. Harvey as force thematic lead.</i>

HMIC AFI	<b>OWNER:</b>	Supt Jason O'Toole (04527) action 6
	<b>DATE ACTION SET:</b>	12/12/2017
On Track	<b>DUE DATE:</b>	30/12/2018
	<b>RECOMMENDATION:</b>	The force should ensure that by December 2018 (in line with HMICFRS' nationwide recommendation in December 2016), it complies with the national vetting standards by putting measures in place to ensure that all officers and staff are subject to periodic rechecking of their vetting status. ( page 9)
DCC	<b>ACTION:</b>	No actions
	<b>LATEST UPDATE:</b>	(06/09/2018) Update as per action owner - Reviewed on a monthly basis currently on track

## 6. 2017 HMIC PEEL Effectiveness

HMIC AFI	<b>OWNER:</b>	Ci Jason Nadin (04445) action 1
	<b>DATE ACTION SET:</b>	12/02/2018
On Track	<b>DUE DATE:</b>	31/12/2018
	<b>RECOMMENDATION:</b>	Tackling crime and anti-social behaviour
	<b>ACTION:</b>	The force should evaluate and share effective practice routinely, both internally and with relevant external organisations, to continually improve its approach to the prevention of crime and anti-social behaviour.
Neighbourhood and Partnership	<b>LATEST UPDATE:</b>	Progress Update: (17/05/2018) Update as per action owner - An ASB Tactical group is in place where good practice is shared with SPOC's. The force will be holding a good practice day in Autumn to showcase good problem solving. The action does form part of the Knowledge Hub requirements.
		<i>Reviewer's Comments: (07/09/2018) To be re- allocated to C.I. Nadin,as nominated ASB force thematic lead.</i>

HMIC AFI	<b>OWNER:</b>	Susan Hewett (26442) action 3
	<b>DATE ACTION SET:</b>	12/02/2018
On Track	<b>DUE DATE:</b>	31/12/2018
	<b>RECOMMENDATION:</b>	Investigating crime and reducing re-offending
	<b>ACTION:</b>	The force should ensure that it is fully compliant with the Code of Practice for Victims of Crime.
Operational Support	<b>LATEST UPDATE:</b>	Progress Update: (12/10/2018) A victims Strategy has just been developed with a performance framework to ensure compliance with the victims Code of Practice.

This will be cascaded to the victim's champions that have been in place for some time delivering key messages. Compliance with the victims contacts and the codes is monitored through the Victims and Witnesses Steering Group chaired by ACC Barnett. The victim's code is under review which Staffordshire are supporting due to ACC Barnett being the national lead.

*Reviewer's Comments: (12/10/2018) Agreed through Governance team as action is progressing to extend date*

HMIC AFI	<b>OWNER:</b>	Supt Stephen Morrey (05508) action 4
	<b>DATE ACTION SET:</b>	12/02/2018
On Track	<b>DUE DATE:</b>	30/08/2018
	<b>RECOMMENDATION:</b>	Investigating crime and reducing re-offending
Operational Support	<b>ACTION:</b>	The force needs to improve its oversight and understanding of those wanted for criminal offences, ensuring they are circulated on the Police National Computer and actively sought.
	<b>LATEST UPDATE:</b>	(10/10/2018) Following the feedback and action from the previous HMIC report, a great deal of work has been undertaken to try to understand the detail and processes that sit behind wanted missing. There are a number of clear activities that have been undertaken, those being: - review, digitisation and focus of wanted missing files sat within custody - COMPLETE - review and recirculation of wanted missing reports from PNC Hendon - ONGOING - review and amendment to policy in relation to wanted missing process - OWNED WITHIN JS. In terms of ongoing action to improve picture: - ongoing review taking place at LPT commander / DI and DCI level of those wanted missing - focus on investigation, ownership and ongoing review - this is being built into locality plans and at a local level - key part of plan for each LPT to ensure attention to those wanted / missing - information being circulated and attempts ongoing to simplify / focus the PNC Hendon detail Given there is still room for further improvement, this action to remain open whilst these new ongoing processes are embedded.

HMIC AFI	<b>OWNER:</b>	Csup Jeffrey Moore (04119) action 5
	<b>DATE ACTION SET:</b>	12/02/2018
On Track	<b>DUE DATE:</b>	30/11/2018
	<b>RECOMMENDATION:</b>	Partnership working
Neighbourhood and Partnership	<b>ACTION:</b>	The force should improve its service to vulnerable people, particularly domestic abuse victims, when officers are unable to attend or when their attendance is delayed. This should include the re-assessment of the risks that victims face so that their safeguarding support can be prioritised.
	<b>LATEST UPDATE:</b>	(12/10/2018) This continues to be work in progress. Systems are being improved to identify cases where attendance is delayed. Improvements have been seen around domestic incidents that now go to the resolution centre which were responsible for a large number of delayed attendance. The force is part of a national pilot (C of P) for DA assessment within resolution centres. This continues to be developed and monitored through the DA working group led by DCI safeguarding.

HMIC AFI	<b>OWNER:</b>	Ci Simon Brownsword (04299) action 6
	<b>DATE ACTION SET:</b>	12/02/2018

On Track	<b>DUE DATE:</b>	30/11/2018
	<b>RECOMMENDATION:</b>	Partnership working
Neighbourhood and Partnership	<b>ACTION:</b>	The force should improve its understanding of the reasons for, and take appropriate action to address, both the declining arrest and charge/summons rates in domestic abuse cases, and the high proportion of crimes related to domestic abuse which fall into the category 'evidential difficulties; victim does not support police action'.
	<b>LATEST UPDATE:</b>	(03/09/2018) An audit of 100 domestic abuse recorded crimes was conducted during August 2018. The audit process included the manual search of the NSPIS custody system against suspect names recorded within CMS. The outcome of the audit identified a further 6% of cases where arrests had been made but not captured within CMS. The implementation of NICHE will provide the opportunity for accurate data collation. The Scrutiny and Support Unit have undertaken an audit of 50 domestic abuse cases finalised as CDTP. The audit identified that 70% of cases were resolved appropriately. There were 12 cases that may have been suitable for an alternative out of court disposal. Development work is ongoing by Justice Services to consider the increased use of OOC. Work is underway by the SDU to produce an analysis report considering domestic abuse outcomes
HMIC AFI	<b>OWNER:</b>	Csup Jeffrey Moore (04119) action 7
	<b>DATE ACTION SET:</b>	12/02/2018
On Track	<b>DUE DATE:</b>	30/11/2018
	<b>RECOMMENDATION:</b>	Partnership working
Neighbourhood and Partnership	<b>ACTION:</b>	The force should ensure that the risks posed by registered sex offenders are managed effectively
	<b>LATEST UPDATE:</b>	(18/08/2018) The force has reviewed the process around Sex Offenders. A paper has been submitted to Force strategy Board that proposed options to deal with the process and backlog. The force has accepted recommendations to improve its position. The matter will remain on Force / Departmental risk register to ensure continued oversight



## AUDIT Actions Update

### 1. 2016 - Procure to Pay including Credit Cards

Audit / Inspection	<b>OWNER:</b> Julia Curtin (06159) action 2
	<b>DATE ACTION SET:</b> 27/01/2016
Off Track	<b>DUE DATE:</b> 30/12/2018
	<b>RECOMMENDATION:</b> The Financial Regulations require that "Official orders must be issued for all work, goods, or services to be supplied to the PCC except for supplies of utilities, periodic payments...." Sample testing of 50 payments established that 21 (42%) were Non POP where an order had not been raised and of these 17 would have been considered as reasonable non order transactions. The remaining four Non POP transactions should have had confirmation orders raised. This was reported in the last review of the Procure to Pay system and remains unresolved.
Priority Medium	<b>ACTION:</b> Risk - Financial Regulations are not being complied with and commitment accounting controls are being weakened when purchase orders are not raised. Risk Level - Medium a)Management should consider developing reporting mechanisms to inform and target those parts of the organisation that are not complying with the requirement to raise purchase orders. b)All budget holders should be reminded by e-mail that they need to place purchase orders unless it is an exempted area such as utilities, etc.
	<b>LATEST UPDATE:</b> (01/10/2018) Still on-going due to systems review and Force / Finance restructuring

### 2. 2017 - Accounts Receivable

Audit / Inspection	<b>OWNER:</b> John Bloomer (26316) action 5
	<b>DATE ACTION SET:</b> 16/01/2017
Off Track	<b>DUE DATE:</b> 31/12/2018
	<b>RECOMMENDATION:</b> The Fees, Charges and Allowances handbook has not been approved since 13/14, although there have been a number of changes made to it. This was raised as a finding in the prior year (recommendation two of the 2015/16 Accounts Receivable report).
Priority Low	<b>ACTION:</b> Update the handbook and have it approved by the appropriate body.
	<b>LATEST UPDATE:</b> (10/10/2018) new rates have been disseminated to the organisation for use Some special policing rates are still awaiting completion, and have been delayed due to staff sickness

### 3. 2017 - Police Payroll Processing Procedures

Audit / Inspection	<b>OWNER:</b>	Wendy Sherratt (06809) action 2
	<b>DATE ACTION SET:</b>	31/03/2017
Off Track	<b>DUE DATE:</b>	31/12/2018
	<b>RECOMMENDATION:</b>	Rec 2 (Page 6) Payroll should ensure that key processes are documented and kept in a central location accessible to all appropriate staff. Payroll Manager plans to document all relevant processes over the next 9 months.
Priority Medium	<b>ACTION:</b>	As processes are carried out, a procedure note should be produced. A full procedure manual will be kept electronically and as a hard copy. Payroll manager to review and update current documented processes by March 2018 and to produce documentation for all other procedures by 30 September 2018.
	<b>LATEST UPDATE:</b>	(10/10/2018) Update per action owner - due to events within the Finance Section and other abstractions within the payroll department we haven't been able to produce the procedures for all of our processes.

#### 4. 2016/17 - Police - Procure to Pay

Audit / Inspection	<b>OWNER:</b>	Dee Eccleston (21809) action 7
	<b>DATE ACTION SET:</b>	06/04/2017
Off Track	<b>DUE DATE:</b>	31/12/2018
	<b>RECOMMENDATION:</b>	Rec 8 - Consideration should be given to improving detection of potential duplicate payments, for example using analytical tools on a periodic basis to review payments made.
Priority Medium	<b>ACTION:</b>	New opportunities to use analytical tools to be considered on an on-going basis supported by periodic checks using existing available reports.
	<b>LATEST UPDATE:</b>	(27/09/2018) This is something that we are waiting on the reporting system for. The finance project has been put back and the reporting project is being completed after that.

#### 5. 2017 - Procurement and Contract Management

Audit / Inspection	<b>OWNER:</b>	John Bloomer (26316) action 12
	<b>DATE ACTION SET:</b>	22/06/2017
On Track	<b>DUE DATE:</b>	31/01/2019
	<b>RECOMMENDATION:</b>	Rec 12 - Consideration should be given to incorporating clarification of the role and accountabilities of the contract managers for all parties within contract documentation.
Priority Low	<b>ACTION:</b>	Contract Management Policy to be developed defining roles and responsibilities of contract Management functions. The roles and responsibilities will be included on the checklist as part of the contract award and drafting process for future contracts
	<b>LATEST UPDATE:</b>	(10/10/2018) New HOCS to ensure compliance with this where appropriate

## 6. 2017 - Police - IT Governance

<div>Audit / Inspection</div> <div>On Track</div> <div>Priority Low</div>	<b>OWNER:</b>	Justine Kenny (25988) action 1
	<b>DATE ACTION SET:</b>	11/10/2017
	<b>DUE DATE:</b>	31/01/2019
	<b>RECOMMENDATION:</b>	The roles and responsibilities of the governance groups involved with the contract between Boeing and the Force are not fully documented with approved terms of reference to highlight their commitments, responsibilities and attendees. This may result in a lack of accountability in the event of groups failing to meet or exceeded their expected role.
	<b>ACTION:</b>	While the governance structure within the Force is undergoing change, it is recommended that a mapping exercise is completed to identify any gaps or differences between the governance arrangements of the two parties, which would provide transparency and allow for arrangements to be made to align both governance structures. It is recommended that a handbook or terms of reference is created for each governance group involved in the contract between Boeing and the Force to provide clarity on their roles, commitments and attendees so enable new and existing members of staff to provide further visibility.
	<b>LATEST UPDATE:</b>	(12/10/2018) Update as per action owner - The Staffordshire Commissioner's office recently commissioned an independent review of the governance arrangements between the force and Boeing. One outcome of that is the disestablishment of the Partnership Association Steering Committee (PASC), and the establishment of a new Strategic Development Executive Board with a non-executive member. The first meeting of this group takes place in November at which point the terms of reference of that group and the other two governance groups in the partnership will be finalised. To note also staffing changes within the ICF and the DCC Directorate will impact shortly.

  

<div>Audit / Inspection</div> <div>On Track</div> <div>Priority Low</div>	<b>OWNER:</b>	Justine Kenny (25988) action 2
	<b>DATE ACTION SET:</b>	11/10/2017
	<b>DUE DATE:</b>	31/01/2019
	<b>RECOMMENDATION:</b>	There is a lack of transparency and consistent communication between the supplier and the business on what changes are due and when
	<b>ACTION:</b>	It is recommended that communication protocols are sufficient and consistent between all required parties, noting the changes that are due to happen and when they will happen.
	<b>LATEST UPDATE:</b>	(12/10/2018) Update as per Simon Ball - The IT ICF have worked with Boeing with regards to the messaging within BTO that goes to the users to update them about changes requests, and those changes have now been made. Boeing have confirmed that the work to migrate to a new solution aware from BTO has been put on hold. The ICF have been working on improving the level of reporting around the RFC requests received throughout the force and are now providing this detail at the appropriate Directorate Boards. Boeing are now proving the IT ICF with a monthly report indicating the QTR within Year when the change is likely to be delivered. Further work is required by Boeing in order to get further clarity around specific delivery dates, which can be shared with the business.

Inspection	<b>OWNER:</b>	John Bloomer (26316) action 3
	<b>DATE ACTION SET:</b>	11/10/2017
Off Track	<b>DUE DATE:</b>	31/01/2019
	<b>RECOMMENDATION:</b>	It may become challenging to effectively manage a large amount of changes if reviews are only performed annually
Priority Low	<b>ACTION:</b>	Depending on the outcome of the Annual Service Review, it is recommended that further consideration is given to managing and tracking changes to the contract effectively, especially if a large number of changes are required to further align to the Force's needs. It would be advisable to review supplier delivery and the contract more frequently, for example bi-annually or quarterly. In addition, as part of regular reviews there should be an exercise completed to provide assurance that all items listed within the contract are being delivered and none are being missed.
	<b>LATEST UPDATE:</b>	(10/10/2018) Contractually a service pricing review should be completed by no later than 20 days into the financial year. the year 3 review is still on-going and may have an impact on the year end accounts for 2018/19 above the amount contained in the forecast

## 7. 2017 - Proceeds of Crime Act (POCA)

Audit / Inspection	<b>OWNER:</b>	John Bloomer (26316) action 1
	<b>DATE ACTION SET:</b>	18/01/2018
On Track	<b>DUE DATE:</b>	30/03/2019
	<b>RECOMMENDATION:</b>	POCA income generated and returned from the Home Office is not cross checked with the value of seized cash and the sale of assets at auction. There is no formal engagement between the ECU and Finance regarding the value of cash seizures forwarded to the Home Office. An individual should be responsible for cross checking the amount of income returned from the Home Office to the original amount of seized cash and income generated from selling assets at auction to ensure that the PCC are receiving the correct percentage of income. There should be regular engagement between Finance and the ECU to provide up to date information on the value of cash seizures that have been forwarded to the Home Office.
Priority Low	<b>ACTION:</b>	There will be an investigation as to whether it is possible to review if receipts sent to the Home Office are accurate based on information held in JARD, and whether cash receipts are accurate when returned from the Home Office
	<b>LATEST UPDATE:</b>	(10/10/2018) Finance restructure includes a post for income and partnerships manager who will have the responsibility for ensuring that income is maximised

## 8. 2018 - Payroll Processing Procedures

Audit / Inspection	<b>OWNER:</b> Wendy Sherratt (06809) action 4
	<b>DATE ACTION SET:</b> 30/01/2018
On Track	<b>DUE DATE:</b> 30/12/2018
	<b>RECOMMENDATION:</b> No recommendation
	<b>ACTION:</b> The majority of Payroll processes are not documented and existing guidance is not stored centrally. Key payroll processes should be documented and made accessible to all staff
Priority Medium	<b>LATEST UPDATE:</b> (12/10/2018) Update as per action owner - Procedure manual for payroll in place however work remains ongoing for the other processes due to resourcing issues.

## 9. 2018 - Management of Property

Audit / Inspection	<b>OWNER:</b> Csup Elliott Sharrard-Williams (05110) action 1
	<b>DATE ACTION SET:</b> 08/05/2018
On Track	<b>DUE DATE:</b> 01/04/2019
	<b>RECOMMENDATION:</b> A decision is made as soon as possible regarding the final location and structure of the Property Service and this decision is supported by an effective project plan and timeline which is communicated to the Property Service in a timely manner so that operational plans for transfer can be developed.
	<b>ACTION:</b> To produce an options paper for consideration at the Force Strategy Board. To be presented at the Estates Strategy Board on 24th May 2018
	<b>LATEST UPDATE:</b> Progress Update: (03/09/2018) Can the review date please be amended as this is part of a Larger estates review Delivery date April 2019
	<i>Reviewer's Comments: (12/07/2018) transferred from Graham Read as he is no longer dealing with this action</i>

Audit / Inspection	<b>OWNER:</b> Ci Clare Francis (00874) action 6
	<b>DATE ACTION SET:</b> 08/05/2018
On Track	<b>DUE DATE:</b> 01/11/2018
	<b>RECOMMENDATION:</b> Ensure that Roles and Responsibilities Policy is completed as a priority and an audit programme begins immediately. The audit programme should ensure the following; •Frequency of audits is achievable and reasonable to the level of risk. •Separation of duty is retained e.g. audit completed by Officer not usually responsible for an area or in pairs. •All staff are clear about audit processes, what to audit and how to complete documentation. •Findings are reported to Senior Management.
	<b>ACTION:</b> 1.Force Policy to be reviewed in relation to the audit programme. 2.Roles and responsibilities to form part of the review. 3.Audit programme to be documented and planned in advance.
	<b>LATEST UPDATE:</b> Progress Update: (03/09/2018) Delivery date to be extended to 1/11/2018
	<i>Reviewer's Comments: (12/10/2018) GOV: DW Draft policy for further consultation and approval via directorate governance structure.</i>

## 10. 2018 - Police - Financial Ledger and Bank Accounts, and Finance Follow up.

Audit/ Inspection	<b>OWNER:</b>	John Bloomer (26316) action 3
	<b>DATE ACTION SET:</b>	16/05/2018
Off Track	<b>DUE DATE:</b>	31/03/2019
	<b>RECOMMENDATION:</b>	It was reported in the previous audit report that the use of interim officers as authorised bank signatories had been unavoidable. During 2017/18 there are limited permanent employees of the Force/OPCC who are allocated cheque/bank signatories.
Priority Low	<b>ACTION:</b>	The Force/OPCC should identify appropriate permanent employees to be cheque/bank signatories in the event of unexpected loss of interim staff.
	<b>LATEST UPDATE:</b>	(10/10/2018) Completed for the Force. Off track for the OPCC due to having an interim S151 Officer

## 11. 2018 - Capital Programme and Fixed Assets

Audit / Inspection	<b>OWNER:</b>	John Bloomer (26316) action 1
	<b>DATE ACTION SET:</b>	23/05/2018
On Track	<b>DUE DATE:</b>	30/03/2019
	<b>RECOMMENDATION:</b>	Weaknesses in Budgetary Control Processes were found in the Vehicles and New Station – Lichfield Capital Programmes including errors in costing and limitations in routine budget reporting for monitoring purposes.
Priority High	<b>ACTION:</b>	The following measures should be adopted across the Force to enable an efficient budget process: •Initial budgetary meetings should be completed with the finance manager and the Project manager where a robust and challenging meeting should take place to review the forecast budget report and the supporting reasons proposed for changes in the budget •Subsequently, a second meeting should take place which reviews and finalises the budget proposed. •The finance team should provide monthly budget reports/cost centre reports which outlines the expenditure made on the specific cost centre. This report should be monitored by the project manager and relevant action taken to address any issues reflected within the report.
	<b>LATEST UPDATE:</b>	(10/10/2018) On track to be delivered as part of the systems work and finance restructure and budget holder/organisational engagement is a key part of a business partner's role.



## EXTERNAL AUDIT Actions update

### 3.1 2016 - The Police and Crime Commissioner for Staffordshire and the Chief Constable for Staffordshire Audit Results

Audit / Inspection	<b>OWNER:</b>	John Bloomer (26316) action 1
	<b>DATE ACTION SET:</b>	03/10/2016
On Track	<b>DUE DATE:</b>	31/01/2019
	<b>RECOMMENDATION:</b>	1) Capacity of the Finance Team There has been significant turnover within Finance and in the leadership of the PCC and CC finance functions during the year and weaknesses in the underlying processes for preparing accurate and timely financial and budget reports.
Priority High	<b>ACTION:</b>	Action is required to ensure there is a properly operating finance service for the PCC and CC with the right structure and processes to discharge all required functions and provide strategic financial leadership to the PCC and CC.
	<b>LATEST UPDATE:</b>	(10/10/2018) Restructure nearing completion and external recruits are due to start Nov 18 for senior roles and for other roles Jan 19

### 3.2 2017 - The Police and Crime Commissioner for Staffordshire and Chief Constable for Staffordshire Audit results report

Audit / Inspection	<b>OWNER:</b>	John Bloomer (26316) action 3
	<b>DATE ACTION SET:</b>	12/09/2017
On Track	<b>DUE DATE:</b>	31/03/2019
	<b>RECOMMENDATION:</b>	Collaboration agreements There was no agreement for the central motorway group collaboration between the OCC and other forces.
	<b>ACTION:</b>	Ensure that all signed collaboration agreements are retained.
Priority Medium	<b>LATEST UPDATE:</b>	(10/10/2018) The agreement is currently under renegotiation due to the retraction of one party. The OCC is not able therefore to set a clear target for the completion of this work. Legally the length of operation of the CMPG would set a precedent

  

Audit / Inspection	<b>OWNER:</b>	John Bloomer (26316) action 8
	<b>DATE ACTION SET:</b>	12/09/2017
	<b>DUE DATE:</b>	31/03/2019

On Track	<b>RECOMMENDATION:</b> VfM – Informed decision-making There was significant slippage in the capital programme and reporting of the position against the capital budget was only evident from period 10.
Priority High	<b>ACTION:</b> Ensure that there is on-going monitoring of the capital programme and liaison with budget holders to profile the timing of the spend.
	<b>LATEST UPDATE:</b> (10/10/2018) Support from the Fire service has been provided to the Force to enable us to develop in house skill and simplify the process the Enabling board, on a quarterly basis, will review the capital programme all new capital schemes require approval through the enabling board in line with HMT 5 test principles

Audit / Inspection	<b>OWNER:</b> John Bloomer (26316) action 9
	<b>DATE ACTION SET:</b> 12/09/2017
On Track	<b>DUE DATE:</b> 31/03/2019
	<b>RECOMMENDATION:</b> VfM – Partnership working There is scope to strengthen governance arrangements to ensure there is oversight of the effectiveness of partnerships to deliver strategic objectives and financial savings
Priority High	<b>ACTION:</b> Develop mechanisms to identify partnerships which contribute to strategic objectives. Internal reporting arrangements should include reference to partnerships to monitor achievement of intended outcomes and delivery of agreed savings.
	<b>LATEST UPDATE:</b> (10/10/2018) New finance structure contains a post for partnerships and income manager who will have responsibility from a finance end of supporting and delivering VFM from partnerships