

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: Summary of live HMICFRS Force Inspection report action plans

	Inspection	Date of report	Recs	Areas for Imp	Overall Judgment	Comments (see appendix 1 for detail of open actions)
1	2016 PEEL: Legitimacy	December 2016	0	3	Good	2 AFI's remain open as reported in February 2019.
2	2016 PEEL: Effectiveness	March 2017	0	13	Requires Improvement	All AFIS are now COMPLETE. The remaining 3 AFI's relating to missing persons and as reported in February 2019 have now been completed and signed off via the 7 May PEEL Board. This follows the creation of a missing person's team and subsequent review of its effectiveness. The team will remain and is built into MTFs funding.
3	2017 Unannounced Custody inspection visit to police custody suites in Staffordshire	1 August 2017	6	26	No Judgement, however 1 Best Practice identified	4 actions remain open as in February. Plan continues to be reviewed via the Custody Steering Group.
4	2017 PEEL: Police Efficiency (including Leadership)	9 November 2017	0	2	Good	2 action remain open as in February. Review dates have been extended as appropriate as per PEEL Board decision 7 May with updates reflecting the progress made.
5	2017 PEEL: Police Legitimacy (including Leadership)	12 December 2017	0	6	Good	2 action remain open as in February. Review dates have been extended as appropriate as per PEEL Board decision 4 March and 7 May respectively, with updates reflecting the progress made.
6	2017 PEEL: Effectiveness	22 March 2018	0	7	Good	2 actions remain open. VCOP action has had the date extended as per decisions at 7 May PEEL Board. The DA outcomes related action had had a comprehensive update and will be reviewed in full at the next PEEL Board. Since February 2019, 2 further actions have been marked as



						complete and signed off as agreed at 7 May PEEL Board (delayed attendance to DA and effective management of risks posed by sex offenders).
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(PEEL – Police Efficiency, Effectiveness and Legitimacy)

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

	Audit	Date of final report	High risk Recs	Med risk Recs	Low risk recs	Overall Judgment	Comments (see appendix 2 for detail of open actions)
1	2017 Police Payroll Processing Procedures	24 March 2017	0	2	2	Substantial	As reported in February 2019, 1 medium priority remains open. The action has been re-assigned in line with team reconfiguration and the delivery date extended to end June 2019.
2	2017 Police IT Governance Final Audit Report	11 October 2017			3	Substantial	Since February a further 2 action have been completed relating to governance arrangements. The remaining recommendation has been reassigned and the delivery date extended to end June 2019.
3	2019 Key Financial Controls	5 December 2018		2	6	Reasonable	Since February a further 4 actions have been completed. 3 actions remain outstanding – which will be addressed as part of a wider commercial services operational plan for 2019/20. Therefore delivery dates have been extended to end June 2019.
4	2019 Data Quality – Niche Implementation	30 January 2019				Advisory only	10 recommendations were made of which 9 have been addressed via a restructure of governance arrangements. 1 action remains outstanding in relation to the savings programme.
5	2019 Cash Seizures	21 March 2019	0	3	4	Reasonable	All 7 recommendations are being reviewed via the Operational Support Directorate Board. A full update will be provided for the July ETAP and is not included in appendix 2 at this time.



6	2019 Savings Programme	21 March 2019				Advisory only	3 recommendations have been made which will be considered as part of the current Business Change Team restructure. A full update will be provided for the July ETAP and is not included in appendix 2 at this time.
7	2019 Financial Management (including follow up)	21 March 2019		5		Reasonable	Work around the 5 recommendations continues (financial regulations have been revised). A full update will be provided for the July ETAP and is not included in appendix 2 at this time.

Internal audit action plans completed since December 2018 ETAP

For review and approval for sign off at the next People and Resources Board 6 June 2019.

- 2016/17 Procure to pay
- 2017 Procurement and contract management
- 2018 Payroll Processing Procedures
- 2018 Financial Management
- 2018 Police – Financial Ledger and Bank Accounts, and Finance Follow up
- 2018 Risk Management Framework and Strategy

3 External Audit Reports and Recommendations

3.1 Year ended 31 March 2016

All actions have now been completed. For review and approval for sign off at the next People and Resources Board 6 June 2019.

3.2 Year ended 31 March 2017

All actions have now been completed. For review and approval for sign off at the next People and Resources Board 6 June 2019.

3.3 Year ended 31 March 2018

All actions have now been completed. For review and approval for sign off at the next People and Resources Board 6 June 2019.

4 ETAP Audits and Recommendations

Please see appendix 3 for detail of open actions

Table 3: Summary of live Internal Audit action plans

	ETAP Audit	Date of final report	High risk Recs	Med risk Recs	Low risk recs	Comments
1	Temporary Promotions	July 2018	0	0	4	1 action remains ongoing to date.
2	Out of Court Disposals	September 2018	0	4	3	1 action has been marked as complete (SCO owned) with the remaining 6 ongoing as reported in February as part of business as usual.
3	Hotel and Travel Bookings	December 2018			4	An additional action has been completed since reporting in February (re periodic checks around hotel and travel bookings). 2 actions remain ongoing.
4	Female Genital Mutilation	March 2019			5	4 of the recommendations have been completed. 1 recommendation in relation to shared multi agency systems is marked as awaiting national progress due to the broader implications this carries.

5 Force Strategy Board - Strategic Risk Issue and Opportunity Management

The bi-monthly Strategic Risk Management Board has met twice since the last ETAP report. The force strategic risk register currently has 4 risks and 2 issues. Since last reported in February, 'slippage in the national emergency services mobile communications programme' and 'implementation of Niche' have also been escalated to the strategic register. 'Finance Capital' has been de-escalated to now be held and monitored at the directorate level.

Each risk and issue as outlined below is subject to a full review at the board including effectiveness of controls measures in place and risk/issue scores:

Current Risks:

- **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.
- **Emergency Services Network:** Compromised operational viability due to delays in decommissioning of Airwave.
- **Implementation of Niche:** The successful implementation of Niche has numerous risks that are continually being identified, assessed and then mitigation plans developed.

Current 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.

At the next Strategic Risk Management Board (13 June 2019) 'Staffordshire Police and Staffordshire Fire and Rescue collaboration' will be evaluated for potential escalation to the strategic risk register.

Key matters for ETAP July 2019 report

1. Update against ongoing HMICFRS, Internal and external audit actions
2. Detailed update against latest round of internal audit recommendations (from March ETAP)
3. Update against ETAP recommendations
4. Update around Risk, Issue and Opportunity management