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 details

Table 1: Summary of live HMICFRS Force Inspection report action plans

Action Plan	Date of Report	Recommendations	Areas for Improvement	Overall Judgement	Comments
2019 HMICFRS PEEL: Police Effectiveness, Efficiency and Legitimacy.	Feb-20	0	7	Good	Since the last report in February 2020 further progress has been made against the 7 AFI's with updates provided for all AFI's.

(PEEL – Police Efficiency, Effectiveness and Legitimacy)

Table 2: Summary of completed and signed off HMICFRS Force Inspection report action plans since last report to ETAP (February 2020)

Action Plan	Date of Report	Recommendations	Areas for Improvement	Overall Judgement	Comments
2016 HMICFRS PEEL: Efficiency, Legitimacy and Leadership	Jul-16	0	3	Good	Signed off at Service Improvement and Performance Board 16/09/2020.
2017 Unannounced Custody Inspection Visits to Police Custody Suites in Staffordshire	Aug-17	6	26	Advisory	Signed off at PEEL board 11/02/2020.

All force and national publications can be accessed here:
http://www.justiceinspectorates.gov.uk/hmicfrs/publications/

2. Internal Audit Reports and Recommendations

Please see appendix 2 for details

Table 3: Summary of live Internal Audit action plans

Action Plan	Date of Report	Recommendations	Areas for Improvement	Overall Judgement	Comments
AUDIT 2017 - Police Payroll Processing Procedures	Mar-17	4	0	Substantial	1 MEDIUM Priority Recommendation remains "On Track" with all other actions having been completed and signed off. A recent update has been provided in November 2020.
AUDIT 2019 - Key Financial Control Audit	Dec-19	2	0	Substantial	2 LOW Priority Recommendations are now marked as "Complete" since February 2020 and this plan is awaiting "Sign Off" via the force governance structure.
AUDIT 2019 Procurement and Contact Management (Kier Facilities Limited including follow up report.) *OFFICIAL-SENSITIVE*	Jan-20	15	0	Partial	2 LOW and 1 MEDIUM Priority Recommendations remain "On Track" and 1 Recommendation has since been "Completed" all have received further updates since February 2020. *Details not included in Appendix as OFFICIAL-SENSITIVE*
AUDIT 2019/2020 Fleet Utilisation Audit - Joint Emergency Transport Service (JETS)	Dec-19	15	0	Partial	2 MEDIUM Priority Recommendations remain "On Track" from the 10 previously reported and all have received recent updates in November 2020.
AUDIT 2020 - Savings Programme (Part2) - 30/01/2020	Feb-20	12	0	Reasonable	2 LOW Priority Recommendations are now marked as "Complete" since February 2020 and this plan is awaiting "Sign Off" via the force governance structure.

Table 4: Summary of completed and signed off Internal Audit action plans since last report to ETAP (February 2020)

Action Plan	Date of Report	Recommendations	Areas for Improvement	Overall Judgement	Comments
AUDIT 2020 – Data Quality Niche Implementation Governance Follow up	Dec-19	1	0	Advisory	Signed off at PEEL board 01/06/2020
AUDIT 2020 Workforce Planning	Jul-20	0	2	Substantial	Signed off at PEEL Board 27/08/2020
AUDIT 2018 Management of Property Store	Apr-19	7	0	Adequate	Signed off at PEEL Board 27/08/2020
AUDIT 2019 Financial Management (Including follow up report	Apr-19	5	0	Reasonable	Signed off at PEEL Board 27/08/2020

AUDIT 2019 Cash Seizures	Mar-19	7	0	Reasonable	Signed off at PEEL Board 27/08/2020
AUDIT 2017 Police IT Governance Final Audit Report	Oct-17	3	0	Substantial	Signed off at PEEL Board 11/02/2020
AUDIT 2018 Key Financial Controls	Dec-18	8	0	Reasonable	Signed off at PEEL Board 11/02/2020
AUDIT 2019 Savings Program	Mar-19	0	0	Advisory	Signed off at PEEL Board 11/02/2020
AUDIT 2019 Contract Management Boeing (Governance Arrangements)	Dec-19	7	0	Partial	Signed off at PEEL Board 11/02/2020

3. External Audit Reports and Recommendations

This item will be discussed in detail as part of agenda item 11.

4. ETAP Thematic Reports and Recommendations

Table 5: Summary of live ETAP Thematic action plans

Action Plan	Date of Report	Recommendations	Areas for Improvement	Overall Judgement	Comments
No Current Plans					

Table 6: Summary of completed and signed off ETAP Thematic action plans since last report to ETAP (February 2020)

Action Plan	Date of Report	Recommendations	Areas for Improvement	Overall Judgement	Comments
2020 Local Partnerships	Jan-20	8	0		Signed Off at Service Improvement and Performance Board 12/11/2020.
Hotel and Travel Bookings	Dec-18	4	0		Signed off at PEEL Board 27/08/2020
Temporary Promotions	Sep-18	4	0		Signed off at PEEL Board 11/02/2020

5. Force Strategy Board - Strategic Risk Issue and Opportunity (RIO) Management

The bi-monthly Strategic Risk Management Board has continued during the Covid-19 pandemic to ensure oversight of the force's key risks, issues and opportunities.

The force strategic RIO register currently has **8 Risks, 1 Issue and 2 Opportunities**.
Since last reported in February Operation Jafar (the forces response to COVID 19) has been raised as a strategic risk along with the upgrade to the forces Origin (duty management, HR, training & payroll) system. Pensions Remedy and IT Failure (which superseded a risk relating to in house IT transition) risks have been escalated to the register also during this period. Niche Implementation risk has now been superseded by the Niche Post-Implementation risk.

Poor Data Quality remains an issue.

Operation Uplift remains as an opportunity, with transforming culture being transferred from a risk to a force opportunity.

Each risk and issue as outlined below will be subject to a full review at the December 2020 board including effectiveness of controls measures in place and risk/issue scores:

Current Risks:

- **Emergency Services Network**: Risk of compromised operational viability due to delays in decommissioning of Airwave.
- **Managing capital budget**: Risk relating to trajectory of capital expenditure.
- **Estates Collaboration:** Cost and IT implications of the collaborative move to Hanley.
- **Origin ERP Upgrade:** Current version of Origin used by the force is not fit for purpose.
- **Operation Jafar:** Risk to public and officer safety and the ability to deliver service due to Covid-19.
- **Niche Post Implementation:** Risk relating to issues raised after the implementation of Niche.
- **Pensions Remedy:** Risk relating to changes of public sector pensions.
- **IT failure:** Risk that infrastructure failure due to end of life hardware may impact on delivery of operational and support activities.

Current Issues:

- **Poor Data quality**: Issue relating to the requirement to address inaccurate and incomplete information held across systems.

Current Opportunities:

- **Operation Uplift**: Opportunity to increase the force target operating model and grow police officer capability.
- **Transforming Culture**: Opportunities to ensure that our strategies, structures, people, policies, frameworks, systems, processes and, crucially, behaviours, are all aligned to bring about a new culture.