

STAFFORDSHIRE POLICE, FIRE & CRIME COMMISSIONER & CHIEF CONSTABLE OF STAFFORDSHIRE

Follow Up - Procurement Contract Management (Kier Facilities Ltd) 1.19/20

Revised Draft Internal audit report 9.19/20

15 April 2020

This report is solely for the use of the persons to whom it is addressed.
To the fullest extent permitted by law, RSM Risk Assurance Services LLP
will accept no responsibility or liability in respect of this report to any other party.

1. EXECUTIVE SUMMARY

Background

We have undertaken a review to follow up on progress made to implement the previously agreed management actions from the Procurement Contract Management (Kier Facilities Ltd) 1.19/20 report.

Conclusion

Taking account of the issues identified in the remainder of the report, in our opinion the Staffordshire Police, Fire & Crime Commissioner and Chief Constable of Staffordshire has demonstrated **reasonable progress** in implementing agreed management actions.

In our opening meeting with the Commercial Business Partner and Business Services Manager, who were responsible for ensuring that actions were implemented, we identified that the Force's 'Kier Audit – Key Actions' document did not include all of the management actions agreed in the original report: Procurement Contract Management (Kier Facilities Ltd) 1.19.20. Comparison of the Key Actions document to the Procurement Contract Management (Kier Facilities Ltd) report identified that there was one 'High' action and three 'Medium' priority actions that had not been followed up by the Force. It is our intention to follow these actions up, together with the actions outlined in this report where further work to fully implement the actions is required, in quarter 3 of 2020.

Therefore, of the 16 management actions from our original report our follow up audit has confirmed that eight of these have been fully implemented (two high and six medium priority actions). Of the remaining eight, three medium priority actions have been confirmed as being implemented (three have been confirmed as not implemented (one medium and two low) and two high priority actions had been superseded.

Progress on actions

The following table includes details of the status of each management action:

Implementation status by management action priority	Number of actions agreed	Status of management actions			
		Implemented (1)	Implementation ongoing (2)	Not implemented (3)	Superseded (4)
High	4	2	0	-	2
Medium	10	6	3	1	-
Low	2	-	-	2	-
Total	16	8	3	3	2
Percentage	100%	50%	19%	19%	12%

2. FINDINGS AND MANAGEMENT ACTIONS

Status	Detail
1	The entire action has been fully implemented.
2	The action has been partly though not yet fully implemented.
3	The action has not been implemented.
4	The action has been superseded and is no longer applicable.
5	The action is not yet due.

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Original management action / priority	<p>The Deed of Agreement and Service Method Statements, should be reviewed, in detail, to ensure that they reflect the current working relationship with Kier, taking into account the following (this list is not extensive):</p> <ul style="list-style-type: none"> • Service Manager; • Priority Coding list; • Inclusion of a monthly Application for Payment (AFP) deadline; • Reactive maintenance KPIs and the inclusion of a 'Completion' KPI; and • Current contractor system (Concept). <p>Once the above review has taken place, the Force will create a Service Improvement Plan, which lists the key sections of the Deed of Agreement and Service Method Statements. These will be discussed, reviewed and an action log created, for use at the monthly contract meetings.</p> <p>Furthermore, the responsibility and oversight of the contract with Kier should be moved to the Commercial Services Team, which has introduced robust processes and will help ensure a consistent approach towards the management of external contracts.</p> <p>(High – 31 March 2020)</p>
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Audit finding / status	<p>4 - The action has been superseded.</p> <p>In a meeting with the Commercial Business Partner and Business Services Manager we were informed that there is work ongoing to update the Service Methodology Statements, however this has not yet been completed and the Force need to clarify 'business as usual' before addressing some of the issues in the action. The list of actions has been addressed as follows:</p> <ul style="list-style-type: none"> • Service Manager – Implemented – An addendum was completed and signed off by the Head of Commercial Services on 12 November 2019 which updated the term 'Service Manager' to 'Commercial Business Partner'; • Priority Coding list – Partly Implemented – The Force have begun to address this issue by updating the Priority Coding List, however there was further discussion by Kier and Force staff at the Quarterly Contract Meeting which took place on 30 January 2020. Review
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of these minutes confirmed there was a meeting scheduled *'to review and agree by both parties on Monday 10th February to agree descriptions and final coding'*. We were informed by the Head of Commercial Services that the Priority Coding List had been agreed by both parties and the variation to the contract had been raised and approved, however evidence of this was outstanding.;

- Inclusion of a monthly AFP deadline – Partly Implemented – We obtained a copy of the 'Process for Kier Application for Payment (AFP)' document which was in a draft format at the time of the audit, however review of this document confirmed that the deadline for the Application for Payment was no more than 5 working days after the respective month's end date. The draft AFP document was discussed at the Quarterly Contract Meeting which took place on 30 January and the Head of Facilities Management at Kier agreed to implement the new process once the draft AFP Process document was finalised. As all Kier jobs that are not part of the comprehensive element of the contract must now be approved by a member of the Force, the risk of the AFP including discrepancies is reduced. This should, in turn, reduce the amount of time taken to reconcile the monthly AFP and allow for the team to focus on the monitoring of 'live' jobs. We were informed by the Head of Commercial Services that the variation to the contract had been raised and approved.
- Reactive maintenance KPIs and the inclusion of a 'Completion' KPI – Not implemented – We were informed that this had not been completed at the time of the audit as the Business Service Manager prioritised the contract's smooth operation and achievement of 'Business as Usual' as a necessity, prior to the introduction of a 'Completion' KPI. The Head of Commercial Services informed us that the Force would need to consider this point as an action in its own right, due to the complexity of work and negotiations required. There was also a concern that this would increase the risk for Kier and may result in some form of financial addition to the contract. Due to this, we have superseded this point and raised a new management action below; and
- Current contractor system (Concept) – Implemented - The Business Services Manager and Business Services Assistant both now have access to Concept in order for queries to be investigated by the Force where necessary. This also allows for KPIs to be dip tested.

We obtained a copy of the Service Improvement Plan which included a number of actions, their responsible officer(s), whether official contract variations would be required to finalise said actions and a record of updates from each contract management meeting with Kier. Review confirmed that the SIP was being discussed at the monthly contract management meetings.

We can also confirm that the oversight of the Kier contract now sits primarily with one of the Commercial Business Partners and the Business Services Manager and the SIP is being monitored by both of these staff members collaboratively to ensure that there is consistency with the message going to Kier in relation to variations and amendments.

Based on our above findings, we have confirmed that there has been significant progress in all areas of this management action and have therefore considered this action as superseded and raised two new low level actions to reflect the outstanding areas.

Management Action 1	Management Action	Responsible Owner:	Date:	Priority:
	The Force will ensure that the contract variations for the following are signed by both parties (Kier and the Force):	Melanie Johnson – Commercial Business Partner	31 July 2020	Low
	<ul style="list-style-type: none"> • Application for Payment process; and 			

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- Inclusion of a monthly AFP deadline.

Nicola Fletcher – Business Services Manager

Management Action 2	The Force will consider the inclusion of Reactive Maintenance and Job Completion Key Performance Indicators in the Kier Facilities Management contract.	Responsible Owner: Melanie Johnson – Commercial Business Partner Nicola Fletcher – Business Services Manager	31 December 2020	Low
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Original management action / priority	The Priority Coding List must be reviewed, updated and agreed by both Kier and the Force on an annual basis. This should then be strictly used by Kier to code any reactive (or remedial) repairs in the Concept system. <i>(Medium – 31 December 2019)</i>
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Audit finding / status	2 - The action has been partly though not yet fully implemented. The Commercial Business Partner provided the Draft Kier Priority Coding Structure document and informed us that a meeting had been scheduled between the Force and Kier to review and agree the document as a whole. We confirmed that the meeting was scheduled by reviewing the Commercial Business Partner's Outlook Calendar and confirming that both Kier and Force staff had been invited. Review of the Draft Kier Priority Coding Structure document confirmed that it was in draft and not fully completed and that the details within had been amended by the Force. We identified that further work is required before the document can be approved as some 'Service Types' did not yet have Priority Codes assigned to them within the document. We have therefore updated this action to reflect the progress already made by the Force.
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Management Action 3	The Priority Coding List must be formally agreed by both Kier and the Force on an annual basis, with the agreement documented. This should be strictly used by Kier to code any reactive (or remedial) repairs in the Concept system.	Responsible Owner: Melanie Johnson, Commercial Business Partner Nicola Fletcher, Business Services Manager	Date: 31 May 2020	Priority: Medium
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Original management action / priority	<p>The Force will review a sample of Preventative Planned Maintenance (PPM), Reactive and Remedial Repairs on a monthly basis, to ensure that Priority Coding, Attendance and KPIs are being reported accurately.</p> <p>Where issues are identified, these must be investigated through Concept and escalated through the monthly contract management meetings and governance structure, as appropriate.</p> <p><i>(Medium – 31 March 2020)</i></p>
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Audit finding / status	<p>2 - The action has been partly though not yet fully implemented.</p> <p>In a meeting with the Commercial Business Partner and Business Services Manager we were informed that specific jobs were being reviewed and discussed at the Fortnightly Work in Progress (WIP) Meeting which takes place on every other Thursday, with two members of the Estates/Business Services team and the Facilities Co-ordinator from Kier in attendance. Both Force members of staff have access to the Concept system which enables review of the details surrounding specific works completed by Kier. We were also informed that the Business Services Officer reviews Planned Preventative Maintenance (PPM) works on a monthly basis.</p> <p>Whilst we understand that jobs are being reviewed on an ad-hoc basis when issues are identified by either Kier or the Force, there was no evidence to suggest that a more structured approach (ie month end) to periodically reviewing a sample of PPM and cleaning jobs was in place, as specified in the Management Action.</p> <p>We have confirmed through review of the Application for Payment (AFP) process in this report (below) that there is review and discussion of Reactive and Remedial Repairs on a monthly basis. Any issues identified from these reviews are escalated through the monthly FM Contract Management meetings and we have therefore reworded the action to reflect this partial implementation.</p>
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Management Action 4	Management action	Responsible Owner:	Date:	Priority:
	<p>The Force will review a sample (e.g. 10) of Preventative Planned Maintenance and Cleaning jobs on a monthly basis, to ensure that works have been completed to a satisfactory standard and that attendance and KPIs are being reported accurately. A record of the sample selected and the results will be held on file.</p> <p>Where issues are identified, these must be investigated through Concept and escalated through the monthly contract management meetings and governance structure, as appropriate.</p>	<p>Melanie Johnson, Commercial Business Partner</p> <p>Nicola Fletcher, Business Services Manager</p>	31 July 2020	Medium

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Original management action / priority	<p>The Force will ensure that a record is maintained of all post-inspections of Projects.</p> <p>To support this, the Force will create an operational procedure that specifies how projects should be quoted, approved, and inspected post-completion.</p> <p><i>(Low – 31 December 2019)</i></p>			
Audit finding / status	<p>3 - The action has not been implemented.</p> <p>This action was not included on the 'Action List' used by the Commercial Business Partner and Business Services Manager and has therefore been reiterated.</p>			
Management Action 5	<p>The Force will ensure that a record is maintained of all post-inspections of Projects.</p> <p>To support this, the Force will create an operational procedure that specifies how projects should be quoted, approved, and inspected post-completion.</p>	<p>Responsible Owner:</p> <p>Melanie Johnson, Commercial Business Partner</p> <p>Nicola Fletcher, Business Services Manager</p>	<p>Date:</p> <p>31 July 2020</p>	<p>Priority:</p> <p>Low</p>

Procurement Contract Management (Kier Facilities Ltd) 1.19.20

Original management action / priority	<p>The Force should ensure that a sample of all reactive repairs are post inspected and evidence is held, confirming satisfaction with the works completed and that materials charged to the repair were necessary and have been used.</p> <p><i>(Medium – 31 December 2019)</i></p>			
Audit finding / status	<p>3 - The action has not been implemented.</p> <p>This action was not included on the 'Action List' used by the Commercial Business Partner and Business Services Manager and has therefore been reiterated.</p>			
Management Action 6	<p>The Force should ensure that a sample of all reactive repairs are post inspected and evidence is held, confirming satisfaction with the works completed and that materials charged to the repair were necessary and have been used.</p>	<p>Responsible Owner:</p> <p>Melanie Johnson, Commercial Business Partner</p> <p>Nicola Fletcher, Business Services Manager</p>	<p>Date:</p> <p>31 July 2020</p>	<p>Priority:</p> <p>Medium</p>

Procurement Contract Management (Kier Facilities Ltd) 1.19.20

Original management action / priority	As per the requirements of the Service Method Statements, Kier will provide periodic cost saving reports, together with overall performance reports that can provide an overall view on the value for money achieved from the contract. <i>(High – Immediate)</i>
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Audit finding / status	4 - The action has been superseded. In a meeting with the Commercial Business Partner we were informed that since the audit, cost savings of approximately £38,000 have already been identified through the monitoring and challenge of historic jobs in query from the Application for Payment (AFP) and Kier's performance in the work in progress meetings and monthly contract meetings. We were also informed that since our original review, Kier have been challenging sub-contractor quotes and costs on a more regular basis, to identify further savings for the Force, where possible, notably a reduction in the cost of the repair of NACF gates by £12,140. The Force informed us that Kier were yet to provide any periodic cost savings or value for money reports. Review of the Service Improvement Plan as at 18 March 2020 confirmed that there was an action relating to the Periodic Cost Saving Reports, which had been agreed at the Quarterly Contract Meeting held on 30 January 2020 by the Head of Facilities Management at Kier. This was to be fed back on at the following Quarterly Contract Meeting. As this meeting had not yet taken place, we could not confirm that the Cost Savings Report had been presented, however there is clear evidence that this action is underway and Kier have taken responsibility for this. As such, the management action has been considered as superseded and we have raised a new action to reflect the outstanding agreement of the Cost Saving Report's format between Kier and the Force.
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Management Action 7	Kier will provide a Cost Savings Report to the Quarterly Contract Meeting and the format of this will be reviewed and agreed by both parties.	Responsible Owner: Melanie Johnson, Commercial Business Partner Nicola Fletcher, Business Services Manager	Date: 30 April 2020	Priority: Low
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Procurement Contract Management (Kier Facilities Ltd) 1.19.20

Original management action / priority	The Force should consider performing some ad hoc market testing of a sample of repairs completed to ensure the contract provides value for money. <i>(Low – 31 March 2020)</i>
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Audit finding / status	3 - The action has not been implemented. The implementation of this action was not yet due and therefore was not expected to have been fully implemented.
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Whilst no market testing had been completed at the time of the audit, we were informed that a 'work in progress' (WIP) meeting had been introduced and was attended on a fortnightly basis by both Kier and Force staff members. The purpose of the meeting is to 'review all reactive maintenance jobs that have been logged through the Kier FM management system in order to ensure (that):

- both parties have awareness of all work in progress;
- ensure all jobs are being logged via the Kier FM Helpdesk by both parties;
- work in progress is given the appropriate level of focus and jobs are being closed off within an appropriate timeline;
- all quotes are raised and approved where applicable and "self-approvals" are maintained at a minimum and retrospective approval sought where this is necessary for urgent works; and
- sample testing of jobs in relation to hours logged, materials, etc.'

Whilst we note that the WIP meeting is directly linked to the value for money element of this action, there was no evidence that market testing had been completed and we have therefore reiterated this action in full.

Management Action 8	The Force should consider performing some ad hoc market testing of a sample of repairs completed to ensure the contract provides value for money.	Responsible Owner: Melanie Johnson, Commercial Business Partner Nicola Fletcher, Business Services Manager	Date: 30 June 2020	Priority: Low
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Procurement Contract Management (Kier Facilities Ltd) 1.19.20

Original management action / priority	The Force should complete a cost benefit analysis to ensure that where sub-contractors are appointed and a 10% surcharge is applied to the ongoing quotation for works, that this element of the contract continues to provide vfm or whether other options (i.e sourcing internally now that resources are available within Estates) should be considered. (Medium – 31 March 2020)
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Audit finding / status	2 - The action has been partly though not yet fully implemented. We were informed by the Commercial Business Partner and Business Services Manager that specific work, requesting evidence of the challenge of contractors from Kier, had been completed in the fortnightly WIP meetings and confirmed that evidence was on file to substantiate value for money considerations and challenge back to Kier. We were also informed that a cost benefit analysis exercise would be more insightful if completed when all other contract related management actions have been implemented and are part of daily routines within the Force and Kier. Due to the number of actions included within the original report, some of which required urgent attention, we have agreed to delay this action's target date until 31 December 2020.
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Management Action 9	The Force should complete a cost benefit analysis to ensure that where sub-contractors are appointed and a 10% surcharge is applied to the ongoing quotation for works, that this element of the contract continues to provide vfm or whether other options (i.e sourcing internally now that resources are available within Estates) should be considered.	Responsible Owner: Melanie Johnson, Commercial Business Partner Nicola Fletcher, Business Services Manager	Date: 31 December 2020	Priority: Medium
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APPENDIX A: DEFINITIONS FOR PROGRESS MADE

The following opinions are given on the progress made in implementing actions. This opinion relates solely to the implementation of those actions followed up and does not reflect an opinion on the entire control environment.

Progress in implementing actions	Overall number of actions fully implemented	Consideration of high priority actions	Consideration of medium priority actions	Consideration of low priority actions
Good	75% +	None outstanding.	None outstanding.	All low actions outstanding are in the process of being implemented.
Reasonable	51 – 75%	None outstanding.	75% of medium actions made are in the process of being implemented.	75% of low actions made are in the process of being implemented.
Little	30 – 50%	All high actions outstanding are in the process of being implemented.	50% of medium actions made are in the process of being implemented.	50% of low actions made are in the process of being implemented.
Poor	< 30%	Unsatisfactory progress has been made to implement high priority actions.	Unsatisfactory progress has been made to implement medium actions.	Unsatisfactory progress has been made to implement low actions.

APPENDIX B: ACTIONS COMPLETED OR SUPERSEDED

From the testing conducted during this review we have found the following actions to have been fully implemented and superseded.

Assignment title	Management actions
Procurement Contract Management (Kier Facilities Ltd) 1.19.20	<p>Superseded</p> <p>The Deed of Agreement and Service Method Statements, should be reviewed, in detail, to ensure that they reflect the current working relationship with Kier, taking into account the following (this list is not extensive):</p> <ul style="list-style-type: none"> • Service Manager; • Priority Coding list; • Inclusion of a monthly Application for Payment (AFP) deadline; • Reactive maintenance KPIs and the inclusion of a 'Completion' KPI; and • Current contractor system (Concept). <p>Once the above review has taken place, the Force will create a Service Improvement Plan, which lists the key sections of the Deed of Agreement and Service Method Statements. These will be discussed, reviewed and an action log created, for use at the monthly contract meetings.</p> <p>Furthermore, the responsibility and oversight of the contract with Kier should be moved to the Commercial Services Team, which has introduced robust processes and will help ensure a consistent approach towards the management of external contracts. (High)</p>
Procurement Contract Management (Kier Facilities Ltd) 1.19.20	<p>Implemented</p> <p>The Force will address Kier's use of the Concept system to log jobs for contract(s) that are not included within the Deed of Agreement and Service Method Statements. This will be discussed with the Commercial Business Partner and escalated through the monthly contract management meetings and governance structure, as appropriate. (Medium)</p>
Procurement Contract Management (Kier Facilities Ltd) 1.19.20	<p>Implemented</p> <p>In order to provide an accurate record of repairs completed, jobs in Concept should not be marked as 'completed' until all works have been fully completed (by Contractor and Sub-Contractor). (High)</p>

Assignment title	Management actions
Procurement Contract Management (Kier Facilities Ltd) 1.19.20	<p>Implemented</p> <p>The Force will ensure that arrangements are made for Kier to contact the Estates Department immediately, requesting approval to undertake the works, where:</p> <ul style="list-style-type: none"> • Reactive repairs are valued at more than £500; and • Reactive repairs fall outside of the 'Comprehensive Element' of the Contract. <p>Evidence of approval will be held on file.</p> <p>In addition, the Force will clarify their position on Self Approval, ensuring that Kier understand and agree to, the approach documented within the 'Kier Self Approval Process' document.</p> <p>Where jobs are self-approved outside of the process document, the Force will dispute payment.</p> <p>(Medium)</p>
Procurement Contract Management (Kier Facilities Ltd) 1.19.20	<p>Superseded</p> <p>As per the requirements of the Service Method Statements, Kier will provide periodic cost saving reports, together with overall performance reports that can provide an overall view on the value for money achieved from the contract. (High)</p>
Procurement Contract Management (Kier Facilities Ltd) 1.19.20	<p>Implemented</p> <p>The Force must create a document which outlines the procedure for completion of the monthly AFP review, taking the following into consideration (this list is not exhaustive):</p> <ul style="list-style-type: none"> • Deadline for AFP receipt from Kier (in line with updated contract); • Which types of payments are considered high risk (eg all self-approved jobs); • What checks are necessary for the AFP (e.g. check receipts and sub-contractor invoices for queried jobs); and • The route and contact details for disputing jobs on the AFP (email, at monthly meetings etc). <p>This procedure document must be followed on a monthly basis, ensuring that there is a consistent approach to reviewing the AFP.</p> <p>(High)</p>
Procurement Contract Management (Kier Facilities Ltd) 1.19.20	<p>Implemented</p> <p>The Contract Manager assigned to the Kier contract should update the Risk Register to reflect the current contract value, complete relevant risk assessments and outline specific contingency measures. (Medium)</p>

Assignment title	Management actions
Procurement Contract Management (Kier Facilities Ltd) 1.19.20	Implemented The Force will ensure that the ongoing Service Improvement Plan, containing an action log, is reviewed and updated at each monthly Contract Review Meeting. (Medium)
Procurement Contract Management (Kier Facilities Ltd) 1.19.20	Implemented The Force will ensure that the Quarterly, Bi-Annual and Annual Contract Performance Meetings are being held, minuted and include the staff members required as detailed in the Contract Methodology Statements. (Medium)
Procurement Contract Management (Kier Facilities Ltd) 1.19.20	Implemented To ensure transparency there should be a regular update on the contract and issues surrounding performance to the People and Resources Committee. (Medium)

APPENDIX B: SCOPE

Scope of the review

The internal audit assignment has been scoped to provide assurance on how Staffordshire Police & Crime Commissioner and the Chief Constable of Staffordshire manage the following area:

Objective of the risk under review

Management has introduced effective systems for the monitoring of implementation of management action and management actions are implemented in line with the agreed timescales, specifically in relation to the Procurement Contract Management (Kier Facilities Ltd) 01.19/20 report.

When planning the audit, the following areas for consideration and limitations were agreed:

Areas for consideration:

This will include the agreed recommendations made in the Procurement Contract Management (Kier Facilities Ltd) 1.19/20 report.

Limitations to the scope of the audit assignment:

- The review only covers audit recommendations previously made and does not review the whole control framework of the areas listed above, therefore we are not providing assurance on the entire risk and control framework.
- We will only review those recommendations due for implementation at the time of the review.
- Where the indication is that recommendations have been implemented, we will undertake limited testing to confirm this. Where testing has been undertaken, our samples have been selected over the period since actions were implemented or controls enhanced. Our work does not provide any guarantee or absolute assurance against material and/or other errors, loss or fraud.
- Where relevant to the recommendation being followed up, we will ascertain whether policies / procedures / documentation have been established but we have not assessed whether these are fit for purpose.

Our work does not provide absolute assurance that material errors, loss or fraud do not exist.

Draft report issued
Revised draft report issued
Responses received
Final report issued

1 April 2020
15 April 2020

Internal audit Contacts

Daniel Harris – Head of Internal Audit
daniel.harris@rsmuk.com / 07792 948767

Angela Ward – Senior Manager
angela.ward@rsmuk.com / 07966 091471

Client sponsor

John Bloomer – Chief Finance Officer (Force)
David Greensmith – Chief Finance Officer (OPFC)

Distribution

John Bloomer – Chief Finance Officer (Force)
David Greensmith – Chief Finance Officer (OPFC)
Helen Holden – Head of Commercial Services

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The matters raised in this report are only those which came to our attention during the course of our review and are not necessarily a comprehensive statement of all the weaknesses that exist or all improvements that might be made. Actions for improvements should be assessed by you for their full impact. This report, or our work, should not be taken as a substitute for management's responsibilities for the application of sound commercial practices. We emphasise that the responsibility for a sound system of internal controls rests with management and our work should not be relied upon to identify all strengths and weaknesses that may exist. Neither should our work be relied upon to identify all circumstances of fraud and irregularity should there be any.

Our report is prepared solely for the confidential use of Staffordshire Police Fire & Crime Commissioner & Chief Constable of Staffordshire and solely for the purposes set out herein. This report should not therefore be regarded as suitable to be used or relied on by any other party wishing to acquire any rights from RSM Risk Assurance Services LLP for any purpose or in any context. Any third party which obtains access to this report or a copy and chooses to rely on it (or any part of it) will do so at its own risk. To the fullest extent permitted by law, RSM Risk Assurance Services LLP will accept no responsibility or liability in respect of this report to any other party and shall not be liable for any loss, damage or expense of whatsoever nature which is caused by any person's reliance on representations in this report.

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