

Item 8 (iii)

CHIEF CONSTABLE OF STAFFORDSHIRE

Corporate Resourcing Unit

Internal audit report 2.22/23

FINAL

14 November 2022

This report is solely for the use of the persons to whom it is addressed.

To the fullest extent permitted by law, RSM UK Risk Assurance Services LLP will accept no responsibility or liability in respect of this report to any other party.

**THE POWER OF BEING UNDERSTOOD**  
AUDIT | TAX | CONSULTING



# 1. EXECUTIVE SUMMARY

## Why we completed this audit

The Corporate Resourcing Unit (CRU) is a central support unit providing the force with a variety of functions relating to staff resourcing. Such functions include the processing of overtime and cancellation days, as well as ensuring appropriate officer staffing is in place for external events etc.

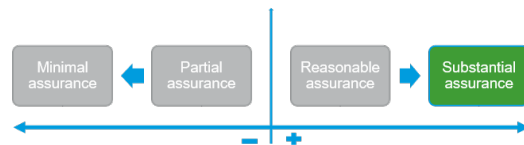
The CRU moved to a Corporate Unit at HQ in 2012 alongside the launch of the Origin Duty Management System (DMS) which the CRU uses for daily tasks. The Unit is currently comprised of 15 FTE staff with one Manager and one Team Lead who report to the Superintendent and Chief Inspector.

## Conclusion

There is an appropriate framework in place for governing the CRU. Key controls were found to have been well designed, operating effectively and consistently applied. One area of improvement has been noted which has resulted in the agreement of one 'medium' priority management action.

### Internal audit opinion:

Taking account of the issues identified, the Chief Constable can take substantial assurance that the controls upon which the organisation relies to manage the identified area are suitably designed, consistently applied and operating effectively.



## Key findings

### We identified the following weaknesses in the established framework:



The Force has a Collective Agreement – Police Federation Staffordshire Branch Board document in place. However, we noted that the document had not been signed by the Chief Constable or on behalf of Police Federation Branch Board. Additionally, the document had passed its set annual review date. **(Medium)**

### The following aspects of the control framework were found to be operating effectively:



The Police Federation of England and Wales is the statutory staff association for police constables, sergeants, inspectors, chief inspectors and special constables in England and Wales. The Federation has Regulations in place which set out terms and conditions for key employee matters such as remuneration, rest days and overtime etc.



The CRU has an operational policy and procedures in place which sets out the main role of the Unit. All policy and procedure documents considered as part of the audit were found to have been maintained up to date and reflective of current working practices.



The roles and responsibilities for staff members within the CRU have been defined. A department structure chart and accompanying job descriptions were in place for all roles. The main team involves 15 CRU Operatives who report to the CRU Manager and Team Leader.

We noted on-going staffing constraints within the Unit. An uplift resourcing request was submitted to the Modern Policing & Enabling Board for four FTE e-grade staff members in July 2022, however the request was denied.

Authorisation for four temp staff members for a period of six-months was provided. The paper has been recently submitted again for reconsideration and an outcome is due imminently.

The CRU utilise Origin DMS for the allocation of resource and overtime claim processing etc. The System contains all staff resourcing information and skill levels. Licensing information for staff licenses is held in the Chronicle System which is cross referenced to ensure skill levels documented in Origin is reflected accurately prior to staff allocation. A current user list was reviewed for the Chronicle System and DMS System, review of which confirmed all users were current members of staff within the Force.

The CRU is responsible for ensuring sufficient attendance levels for upcoming events such as football matches and court appearances etc. A sample of 10 events were selected from this financial year.

In all instances, events were found to have been sufficiently resourced by the CRU based on the event requirements, with supporting detail being maintained on file.

The overtime provisions are found in Regulation 25 and Annex G of Police Regulations 2003.

Overtime for constables and sergeants is potentially payable (or time off in lieu may be taken) when:

- They remain on duty after their tour of duty or rostered shift ends;
- They are recalled between two tours of duty or rostered shifts; or
- They are required to begin earlier than the rostered time without due notice and on a day when they have already completed their normal daily period of duty or rostered shift.

Overtime payment requests (specifically for those cases where rest days have been cancelled or for additional hours to cover specific events) are approved by the CRU prior to being processed for payment by Payroll. A sample of 10 such overtime claims were selected from the current financial year and all claims were found to have been

authorised by the Corporate Resource Unit Manager and processed in line with the Regulations.

Police Regulations provide for payment if a rest day is cancelled with less than 15 days clear notice. When an officer is required to perform duty on a free day it attracts the following compensation:

If the duty is one that only that officer can perform (e.g. attendance at court) and:

- The officer receives 15 or more days' notice, the free day should be reallocated within 4 days of it being cancelled;
- The officer receives less than 15 days' notice then the additional hours should be paid at plain time or alternatively taken as time off equal to the duty time worked.

A sample of 10 cancelled rest days were selected from the current financial year and testing confirmed that the cancelled rest days were found to have been processed and approved by the Corporate Resource Unit Manager in line with the Regulations, for the sample selected.

A daily Force Duty State Report is produced which shows a daily view of skill availability to enable the Force to know what public order capability they hold for both internal needs and if there are any regional shortages which require assistance in filling.

A Daily Management Meeting (DMM) Brain Report is produced and sent to the Executive Team. The Report provides a current snapshot of resource availability across line departments in relation to Service Level Agreement (SLA) numbers and where there are any breaches which fall below the required resourcing level.

## 2. DETAILED FINDINGS AND ACTIONS

This report has been prepared by exception. Therefore, we have included in this section, only those areas of weakness in control or examples of lapses in control identified from our testing and not the outcome of all internal audit testing undertaken.

| Area: Police Federation Staffordshire Branch Board |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     |                            |                  |                                                                  |
|----------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------|------------------|------------------------------------------------------------------|
| <b>Control</b>                                     | <p>A Police Federation Staffordshire Branch Board is in place.</p> <p>The Board act as the negotiation and consultative body when dealing with their force's Chief Constable, senior officers and the Police and Crime Commissioners, providing an effective link between officers and senior management.</p>                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                       |                            |                  | <b>Assessment:</b><br><br><b>Design</b> ✓<br><b>Compliance</b> × |
| <b>Findings / Implications</b>                     | <p>The Force has a Collective Agreement – Police Federation Staffordshire Branch Board document in place. The document was last updated in December 2020 and contained the following information:</p> <ul style="list-style-type: none"> <li>• Exigencies of Duty;</li> <li>• Event Planning and Communication;</li> <li>• Lockdown Periods;</li> <li>• Essential Training;</li> <li>• Rest Day Conversion;</li> <li>• Negative TOIL Provision; and</li> <li>• Annual Leave.</li> </ul> <p>However, we noted that the document had not been signed by the Chief Constable or on behalf of Police Federation Branch Board. Additionally, the document had passed its set annual review date.</p> <p>If the document is not subject to regular review and maintained up to date, there is a risk that it will not be representative of current working practices.</p> |                            |                  |                                                                  |
| <b>Management Action 1</b>                         | The Collective Agreement – Police Federation Staffordshire Branch Board document will be reviewed and updated and signed by all parties.                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                            | <b>Responsible Owner:</b>  | <b>Date:</b>     | <b>Priority:</b>                                                 |
|                                                    |                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                                     | Corporate Resource Manager | 31 December 2022 | Medium                                                           |

## APPENDIX A: CATEGORISATION OF FINDINGS

### Categorisation of internal audit findings

| Priority | Definition                                                                                                                                                                                                                                                                                                                                                           |
|----------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| Low      | There is scope for enhancing control or improving efficiency and quality.                                                                                                                                                                                                                                                                                            |
| Medium   | Timely management attention is necessary. This is an internal control risk management issue that could lead to: Financial losses which could affect the effective function of a department, loss of controls or process being audited or possible reputational damage, negative publicity in local or regional media.                                                |
| High     | Immediate management attention is necessary. This is a serious internal control or risk management issue that may lead to: Substantial losses, violation of corporate strategies, policies or values, reputational damage, negative publicity in national or international media or adverse regulatory impact, such as loss of operating licences or material fines. |

The following table highlights the number and categories of management actions made as a result of this audit.

| Area                      | Control design not effective* |      | Non-Compliance with controls* |      | Agreed actions |          |          |
|---------------------------|-------------------------------|------|-------------------------------|------|----------------|----------|----------|
|                           |                               |      |                               |      | Low            | Medium   | High     |
| Corporate Resourcing Unit | 0                             | (10) | 1                             | (10) | 0              | 1        | 0        |
| <b>Total</b>              |                               |      |                               |      | <b>0</b>       | <b>1</b> | <b>0</b> |

\* Shows the number of controls not adequately designed or not complied with. The number in brackets represents the total number of controls reviewed in this area.

## APPENDIX B: SCOPE

The scope below is a copy of the original document issued.

### Scope of the review

The scope was planned to provide assurance on the controls and mitigations in place relating to the following risks:

#### Objective of the area under review

Resources are effectively monitored across the Force and staff members deployed and reallocated based on service needs. Procedures are in line with set national Police Federation guidelines.

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

#### Areas of consideration:

- Access protocols for the Origin System;
- Operating policy and procedures;
- Roles and responsibilities;
- Current resourcing capacity within the Unit;
- Request, supporting documentation and approval for resource requests and staff allocation;
- Request, supporting documentation and approval for paid overtime;
- Request, supporting documentation and approval for cancellation of rest days; and
- Management information and reporting.

#### Limitations to the scope of the audit assignment:

- We will not comment on the suitability and effectiveness of individual resourcing, overtime and cancellation of rest days cases.
- The results of our work are reliant on the quality and completeness of the information provided to us.
- Our work will not provide an absolute assurance that material errors, loss or fraud do not exist.

|                            |                  |
|----------------------------|------------------|
| <b>Debrief held</b>        | 31 October 2022  |
| <b>Draft report issued</b> | 11 November 2022 |
| <b>Responses received</b>  | 14 November 2022 |
| <b>Final report issued</b> | 14 November 2022 |

|                                |                                                                                                         |
|--------------------------------|---------------------------------------------------------------------------------------------------------|
| <b>Internal audit Contacts</b> | Daniel Harris, Head of Internal Audit<br>Angela Ward, Senior Manager<br>Kishan Patel, Assistant Manager |
| <b>Client sponsor</b>          | David Greensmith, Director of Finance<br>John Bloomer, Director of Enabling Services                    |

|                     |                                                                                                                                     |
|---------------------|-------------------------------------------------------------------------------------------------------------------------------------|
| <b>Distribution</b> | Catherine Goodfellow, Corporate Resource Manager<br>Matthew Derrick, Chief Inspector<br>John Bloomer, Director of Enabling Services |
|---------------------|-------------------------------------------------------------------------------------------------------------------------------------|

**rsmuk.com**

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 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 UK 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 UK 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.

This report is released to you on the basis that it shall not be copied, referred to or disclosed, in whole or in part (save as otherwise permitted by agreed written terms), without our prior written consent.

We have no responsibility to update this report for events and circumstances occurring after the date of this report.

RSM UK Risk Assurance Services LLP is a limited liability partnership registered in England and Wales no. OC389499 at 6th floor, 25 Farringdon Street, London EC4A 4AB.