

Item 8 (iii)

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

Management Action Tracking

Internal audit report 5.23/24

FINAL

19 February 2024

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1. EXECUTIVE SUMMARY

Background

As part of the approved internal audit plan for 2023/24, a follow up review was undertaken to confirm that those management actions reported as completed by Staffordshire Police (the Force) and the Commissioner's Office to the Ethics, Transparency and Audit Panel (ETAP) have been fully implemented.

As part of this review, four management actions were followed up (one high, two medium and one low priority) from the following assignment reports:

- Freedom of Information (FOI) – PCC 1.22.23;
- Corporate Resourcing Unit 2.22.23; and
- Pay Progression Standard – Preparedness Review 3.22.23.

Conclusion

Taking account of the issues identified in the remainder of the report, the organisations have demonstrated **good progress** in implementing agreed management actions. We have confirmed that all four management actions reviewed had been implemented or superseded.

Details of all the implemented actions are included at Appendix A to the report.

APPENDIX A: ACTIONS COMPLETED OR SUPERSEDED

From the testing conducted during this review we have found the following actions to have been fully implemented and superseded.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
<u>Freedom of Information 1.22.23</u>	<p>Implemented</p> <p>The Office will ensure that FOI Policy and its condensed version are appropriately updated and approved. Additionally, the Office will ensure that both current versions of FOI policies are available on the Office's website. Low</p>
<u>Corporate Resourcing Unit 2.22.23</u>	<p>Implemented</p> <p>The Collective Agreement – Police Federation Staffordshire Branch Board document will be reviewed and updated and signed by all parties.</p> <p>Medium</p>
<u>Pay Progression Standard – Preparedness Review 3.22.23</u>	<p>Superseded</p> <p>HR will investigate cases where Line Manager notifications were not actioned. Close monitoring will be introduced to ensure timely notifications are produced for all Officers as they reach their PPS assessment period.</p> <p>High</p> <p><i>This has now been superseded by the introduction of the PDR system, where monitoring of PDR compliance is undertaken at a Command Board Level. Documentation from Command Board meetings confirmed PDR compliance was being captured.</i></p> <hr/> <p>Superseded</p> <p>Where performance discussions are not being undertaken bi-monthly and recorded on Online PPS Portal, HR will review and escalate the issue.</p> <p>Medium</p> <p><i>Command Boards task teams to complete PDRs (which feed into the PPS threshold) so matters are addressed formally, through rank. Documentation from Command Board meetings confirmed PDR compliance was being captured.</i></p>

APPENDIX B: SCOPE

Scope of the review

This document sets out the key information relating to the internal audit assignment, including the dates and agreed deadlines, the internal audit team and client staff to be involved, and most importantly the scope of the assignment, including the limitations to the scope.

Objective of the area under review

Management has introduced effective systems for the monitoring of implementation of agreed management actions and ensuring that these are implemented in line with the agreed timescales.

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

The following areas will be considered as part of the review:

This follow up review will include the four management actions agreed in the following assignment reports which have been reported as completed to ETAP:

- Freedom of Information (FOI) – OPFCC 1.22.23;
- Corporate Resourcing Unit 2.22.23; and
- Pay Progression Standard – Preparedness Review 3.22.23.

The following limitations apply to the scope of our work:

- Management actions from the IT Strategy Plan – Follow Up 5.21.22 report have not been followed up as the agreed actions were reviewed as part of the IT Plan Alignment Audit in November 2022.
- The review only covers audit actions previously agreed 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 ascertain the status of actions through discussion with management and review of the most recent recommendation tracking report presented to the ETAP. Where the indication is that recommendations have been implemented, we will undertake limited testing/seek supporting evidence to confirm this. Where testing has been undertaken, our samples have been selected over the period since actions were implemented or controls enhanced.
- Where relevant to the actions being followed up, we will ascertain whether policies / procedures / documentation have been established but we have not assessed whether these are fit for purpose.
- The results of our work are reliant on the quality and completeness of the information provided to us.
- Our work does not provide absolute assurance that material errors, loss or fraud do not exist.

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