



ETAP Governance Highlight Report

Office of the Chief Constable

Item 9

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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

| | Inspection Title | Date of report | Recs | Areas for Imp | Overall Judgment | Comments |
|---|---|----------------|------|---------------|--|---|
| 1 | 2016 PEEL: Legitimacy | December 2016 | 0 | 3 | Good | 1 AFI remains open since last report in October 2019. Results are awaited from the ongoing survey, which has been requested before this is Completed and signed off at PEEL. The other AFI reported in October 2019 has now been completed and signed off at PEEL board in December. |
| 2 | 2017 Unannounced Custody inspection visit to police custody suites in Staffordshire | 1 August 2017 | 6 | 26 | No Judgement, however 1 Best Practice identified | All 3 open actions from the last report in October 2019 have now been completed. These action will be subject to sign off via the Force Custody Steering Group chaired at C Supt level along with the PEEL board in the near future. |

(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 details

Table 3: Summary of live Internal Audit action plans

| | Audit Title | Date of final report | High risk Recs | Med risk Recs | Low risk recs | Overall Judgment | Comments |
|---|--|-----------------------------|-----------------------|----------------------|----------------------|-------------------------|--|
| 1 | 2017 Police Payroll Processing Procedures | 24 March 2017 | 0 | 2 | 2 | Substantial | As reported in October 2019, 1 medium priority remains open. The delivery date has since been extended until the end of the financial year due to reassignment of the action owner. |
| 2 | 2017 Police IT Governance Final Audit Report | 11 October 2017 | | | 3 | Substantial | All 3 completed actions for this plan require sign off at PEEL in February 2020 as a comprehensive update was requested at the previous board meeting in December. Arrangements have been made for this update to be given. |
| 3 | 2018 Management of Property Store | 8 May 2018 | | 5 | 2 | Adequate | The 3 actions commented upon in the report of October 2019 that were recommended to be reinstated have been progressed and subject to agreement from PEEL board will be merged into the 2020 Custody Improvement Plan. Oversight for these actions will need to go to PEEL for completion and sign off and the actions will then be further governed at a Directorate Level. |
| 4 | 2018 Key Financial Controls | 5 December 2018 | | 2 | 6 | Reasonable | Since October 2019, 2 of the 3 remaining actions have now been completed and are awaiting sign off with the 6 completed prior to October 2019. The delivery date for the remaining action was extended to the end of 2019 by authorisation of the S151 Officer. The remaining action is now flagging in exception. |
| 5 | 2019 Cash Seizures | 21 March 2019 | 0 | 3 | 4 | Reasonable | Of the 7 recommendations previously reported in October 2019, 3 have now been completed and signed off at PEEL in December. The dates for the remaining 4 actions have been extended until 28/02/2020 as agreed by governance head and business head. |



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| 6 | 2019 Savings Programme | 21 March 2019 | | | | Advisory only | All 3 recommendations reported in October 2019 have now been marked as complete and remain awaiting sign off via the appropriate governance mechanism. |
| 7 | 2019 Financial Management (including follow up) | 21 March 2019 | | 5 | | Reasonable | Four of the recommendations have been marked as complete and remain subject to sign off via the appropriate governance mechanism as reported previously in October 2019. The remaining on track action has not had the delivery date extended since previous extension to year end 2019 by request of the S151 Officer. This item is now in exception. |

3 External Audit Reports and Recommendations

**This item will be discussed in detail as part of agenda item 8.

4 ETAP Thematic Reports and Recommendations

Please see appendix 3 for details

Table 5: Summary of live ETAP Thematic action plans

| | ETAP Review Title | 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 as reported in Oct. This was reviewed by PEEL in December and a comprehensive update was requested. Discussions to take place at directorate level and with governance head in the next week to provide this update. This will be monitored by PEEL board. |
| 2 | Hotel and Travel Bookings | December 2018 | 0 | 0 | 4 | The 2 actions as reported in Oct remain ongoing. In December PEEL Board has requested a comprehensive update on these remaining actions. Date for 1 of the actions was extended to 30/03/2019 to allow this. The other action had its owner changed in December due to previous owner leaving the force. A comprehensive update is required from the new action owner with a view to finalising this at PEEL in February. This will be monitored by PEEL board. It is currently in exception. |



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| 3 | 2020 Local Partnerships | January 2020 | 0 | 4 | 4 | Discussed at ETAP December 2019 - A review of Partnership working in Tamworth and Lichfield. New for 2020 and not reported upon previously, there are 8 On track actions in this plan that are being progressed with first updates provided for all. |
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Table 6: Summary of completed and signed off EAP Thematic action plans since last report to ETAP (Oct 2019)

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|---|------------------------|----------------|---|---|---|--|
| 4 | Out of Court Disposals | September 2018 | 0 | 4 | 3 | All recommendations have been now been completed and signed off with approval of C Supt of Investigations Directorate and oversight from PEEL Board in December 2019. This plan has since been Archived. |
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5 Force Strategy Board - Strategic Risk Issue and Opportunity (RIO) Management

The bi-monthly Strategic Risk Management Board has met once since the last ETAP report (December 2019). The force strategic RIO register currently has 7 risks, 2 issues and 1 opportunity. Since last reported in October, Brexit has been escalated as a risk, Crime classification/validation backlog has been escalated as an issue, and Operation Uplift has been escalated as an opportunity. Effective Management of stalking has been de-escalated back to directorate level ownership and oversight.

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:

- **Implementation of Niche:** Risk relating to the successful go live and full implementation of Niche.
- **Cultural change:** Risk that the force is unable to achieve the cultural and behavioural changes required to deliver priorities.
- **IT failure:** Risk that infrastructure failure due to end of life hardware may impact on delivery of operational and support activities.
- **Emergency Services Network:** Risk of compromised operational viability due to delays in decommissioning of Airwave.
- **Effective delivery of Staffordshire Fire and Rescue Service collaboration:** Risk relating to timescales, shared IT and savings delivery.
- **Managing capital budget:** Risk relating to trajectory of capital expenditure.

- **Impact of Brexit:** Risk surrounding uncertainty of impact on national and local policing delivery

Current Issues:

- **Data quality:** Issue relating to requirement to address inaccurate and incomplete information held across systems.
- **Crime classification/validation backlog:** Issue relating to timely information management

Current Opportunities:

- **Operation Uplift:** Opportunity to increase the force target operating model and grow police officer capability.

Key matters for ETAP July 2020 report

1. Update against ongoing HMICFRS, Internal and external audit actions
2. Detailed update against latest round of internal audit recommendations
3. Update against any matters arising from external audit arrangements
4. Update against ETAP recommendations
5. Update around Risk, Issue and Opportunity management