SIREN - Surrey Police Draft Response to Grant Thornton audit report recommendations, pending consultation at the public meeting (as required by legislation) and internally.

No.	Recommendation	Action taken	Action to be taken	Date for completion/review
	Initiation			
1	Ensure risk is evaluated appropriately when considering tender options	Proposal to go to Joint Procurement Board for tenders which are over the European procurement threshold (OJEU level) to be evaluated with a risk register prior to further consideration. Procurement Board is chaired by Assistant Chief Officer to ensure challenge, scrutiny and appropriate process is followed.	Develop and implement risk register for tender approach. Evaluation criteria/matrix for scoring such tenders to include a scoring of risk. Link to force risk register and the strategic change risk register.	Secure agreement at Joint Procurement Board to revised approach
2	Ensure appropriate procurement routes are used, aligned with the nature and complexity of the procurement being sought	Professional joint procurement team and process in place across Surrey /Sussex. Procurement Officers are now aligned to key stakeholder departments (i.e. Fleet, Estates and ICT) to provide professional advice on correct procurement processes and ensure best value. Advice for users also in place.		In Place
3	Ensure contractual clauses for termination on grounds of convenience are considered for large scale, long term procurements.	More focus on termination clauses within contracts (where appropriate a convenience break will be incorporated). Each contract to be assessed on need as some projects may require investment upfront or at an early stage such as big infrastructure purchases.	Assessment of cost implications for adding termination clauses into contracts to be made. This needs to be based on size and complexity of the contract to ensure any extra cost to contracts as a result of having a termination clause is balanced with the risk and size of spend on the contract / project.	
4	Ensure anticipated benefits are realistic, robustly challenged, fairly stated	Change programmes currently require business cases and investment proposals, and these go through a governance process for challenge. There is an existing post implementation review process for change programmes which can be built upon.	New change manager is bringing forward proposals for a joined up benefits management and benefits realisation process across both Surrey and Sussex. Review of existing progress to be made and live programmes to be aligned with new benefits realistion that being introduced.	
	Programme and project management			

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5	The Force should ensure that it has properly considered what skills, resources and expertise it has at its disposal to procure and deliver large scale, complex programmes, acknowledging that Police Officers cannot simply be parachuted into a role they have no experience of and be expected to perform. Consideration should be given to: engaging a third party provider; engaging with external partners; and seeking external procurement expertise for elements outside the normal force experience.	The Force currently has existing staff trained in Prince 2 / Managing Successful Programme (MSP) and Lean Six Sigma methodologies for programme delivery, driving out benefits and process reengineering, and will be building upon this. We now have a shared Professional lead and team for Procurement across Surrey and Sussex to provide expert advice. In addition we have and do use external expertise where it is needed, such as in the delivery of the Niche RMS project.	Training and induction process/manual to be developed and delivered for all officers/staff involved in change projects. Potential work on developing a commercial relationships tool could be useful to use when identifying the nature of relationships we want with suppliers. This should include a knowledge transfer requirement to internal staff. Review of training to include need for Prince 2 / Managing Successful Programme (MSP) methodologies, continual professional development for programme managers and consideration of specific training via the Cabinet Office for Senior Responsible Officers. New governance structures across Surrey and Sussex Police for change programmes are being introduced to ensure projects are aligned, properly prioritised and resourced.	
6	Given change is a constant in the current policing environment the Force should ensure some of their senior officers and staff are formally trained in change management.		Workforce to be scoped to identify where knowledge gaps exist. Training and induction process/manual to be developed and delivered for all officers/staff involved in change projects, we will be looking to ensure all Senior Responsible Officers in charge of programmes are appropriately trained to equip them with the skills to lead, challenge and deliver successful programmes.	
7	Having undertaken a number of 'lessons learned exercises for SIREN, an independent review of whether these have been implemented needs to be undertaken.	Initial discussions have been held with internal audit to include within a future audit plan. Internal Audit have been commissioned to review what lessons have been learned and ensure sign off in accordan+C20ce with new audit processes.		14/15
8	The 'healthy tensions' between roles required for effective project governance should not be undermined or diluted during project delivery. The Project Management Office should be independent from day to day project activity and play an active role in assuring information is accurate and supported before it is presented to the programme board.	New joint Head of Change appointed with Sussex Police. New governance structures have been agreed and are currently being established across both forces with clear roles and responsibilities.	New change delivery mechanisms to be introduced. Specific role and remit of the new shared Surrey and Sussex project mangement office to be communicated and reinforced.	
9	There should be clarity over what constitutes an issue or a risk. This allows issues to be identified as such and escalated into the wider organisation for resolution.	New change governance arrangement being introduced which include issue and risk registers and strong mitigating actions which will be reviewed on a regular and routine basis.		

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10	The Force and PCC must be clear that senior management want to and need to hear bad as well as good news, and explore cultural issues which may be a barrier to open and transparent reporting of progress.	Work programmes underway that are streams under the People Strategy Work Programme include senior leaders events and embedding the Code of Ethics. Specifically senior leaders events in 2013 had a session which included the issue of escalating risk. We did a culture audit in Surrey and Sussex in April 2014 and are using the results to develop a new shared culture. Promotion of the code of ethics and force expectations re professionalism form the internal communications theme for June and July, which includes starting a programme of work to embed the Code of Ethics. Chief Constable engages face to face with staff on this point (individually and at senior leader events, and to newly promoted sergeants) and uses her blog to communicate this. There are currently numerous open and transparent engagement and reporting mechanisms within the Force. The internal communications to staff about the audit report specifically addresses this issue and encourages a culture of reporting of risk upwards.		15
11	Budget, forecast, actuals and variance financial reports for projects should be aligned with the reporting period i.e. have monthly granularity.	This level of detail will be maintained for significant projects and provided to governance boards, including to the Police and Crime Commissioners for oversight, scrutiny and sign off.		
12	For future projects of similar scale and complexity, the Office of the PCC should recruit an experienced programme and project management specialist to represent them on the programme and project board.		Action for the OPCC rather than the force.	
13	Where current and future programme and project boards include employees of the Office of the PCC as members, their roles and responsibilities in the governance and accountability of the project/programme should be clearly articulated.		Action for the OPCC rather than the force.	
14	Project delivery processes need to mitigate the potential impact of a 'can do' and positive reporting culture. Appropriate Project Management Resource should be allocated to projects and routine gateway reviews should be undertaken throughout the progress of the project.		To be included within new Programme Management Office role and function, gateway reviews will be in introduced including external reviews where appropriate.	
	Cost			

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15	The Force should review and amend its policy on costing programmes and projects. This should align more with the way private hire is calculated, for a more accurate representation of true cost. Budget, forecast, actuals and variance financial reports for projects should be aligned with the reporting period i.e. have monthly granularity.		Proposals to be developed and signed off by joint Deputy Chief Constables Board. This will then be reported to the Police and Crime Commissioners for oversight, scrutiny and sign off.	July 2014 DCC Board
16	To further improve on management accounting the Force should consider introducing a time booking/recording system.		Feasibility study to be commissioned. Options to be worked up that are commensurate with the scale of the project. Proposal to be presented to the Police and Crime Commissioners for oversight, scrutiny and sign off.	October 2014 DCC Board
	Termination and the Niche replacement			
17	The business case for Niche would have been strengthened by better articulation of the overall vision for closer collaboration and more detailed work on the benefits to be gained. Future business cases should include a more comprehensive assessment of all strategic, financial and non-financial factors.	Recommendation accepted. Niche has already been already implemented, and the benefits are being assessed. Identifcation of risk and issues will form a core part of change management and governance.		In place
18	Given the complexity of the governance structure for the Niche system, the PCC and COG should assure themselves that delegations are appropriate and, at a lower level, the assurance and testing functions are in the optimum place.			