

## Appendix 1 - Summary of Outstanding Internal Audit Recommendations

Action Number	Internal Audit Report	Presented to the Audit Committee	Recommendation	Auditor's Categorisation	Proposed Implementation Date
75	Risk Maturity	March 2013	<p>The Force should focus on risk categorised as 'primary' and develop an assurance framework to cover the following headings:</p> <ul style="list-style-type: none"> <li>• Assurance on controls – which identifies where the organisation can gain evidence that controls/systems on which they are placing reliance on are effective;</li> <li>• Positive Assurance – which evidences that the organisation is responsibly managing the risk and objectives are being delivered;</li> <li>• Gaps in Assurance – which details when the organisation is failing to gain evidence that controls/systems which are in place are effective; and</li> <li>• Gaps in Controls – when gaps in assurance are identified, appropriate controls and systems are put into place.</li> </ul> <p>The framework will enable the appropriate committee appointed by the Police Commissioner to adequately review the control framework in place to manage the risks facing the Force and feed into the approval of the Annual Governance Statement.</p> <p><u>Status Update</u> Following the recent internal audit on risk maturity, assurances were obtained for each piece of risk mitigation. This has been documented upon the risk management software Insight4GRC (formerly 4Risk). Work needs to be commenced on building a bespoke report which will grade the assurance into first, second and third line. The Force Risk and Insurance Manager is due to attend an Insight4GRC user forum in Leeds on 7th July, which will provide this knowledge. Following the population and acceptance of the bespoke report work will then commence on the Corporate and Operational risk registers assurance mapping.</p>	High	December 2016
173	Unite Restorative Justice Evaluation	December 2014	<p>Put measures in place to monitor whether Restorative Justice Initiative is reducing the number of entrants into the court system or simply delaying entry of young people into other support services.</p> <p><u>Status Update</u></p>	N/A	January 2016

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			The management of restorative justice has moved to custody management and these recommendations are being reviewed.		
174	Unite Restorative Justice Evaluation	December 2014	<p>Put measures in place to measure the impact of Restorative Justice Initiative on reoffending rates as soon as sufficient data is available.</p> <p><u>Status Update</u> The management of restorative justice has moved to custody management and these recommendations are being reviewed.</p>	N/A	January 2016
175	Unite Restorative Justice Evaluation	December 2014	<p>Capture the views of young people who have experienced the Restorative Justice Initiative process to be able to evaluate the offenders' experiences of it.</p> <p><u>Status Update</u> The management of restorative justice has moved to custody management and these recommendations are being reviewed.</p>	N/A	January 2016
176	Unite Restorative Justice Evaluation	December 2014	<p>Consider ways of capturing and recording the softer successes of Restorative Justice Initiative rather than solely the direct outcomes/outputs of the Restorative Justice Initiative process.</p> <p><u>Status Update</u> The management of restorative justice has moved to custody management and these recommendations are being reviewed.</p>	N/A	January 2016
178	Unite Restorative Justice Evaluation	December 2014	<p>Consider options for extending the crimes that are covered by Restorative Justice Initiative including Regina crimes.</p> <p><u>Status Update</u> The management of restorative justice has moved to custody management and these recommendations are being reviewed.</p>	N/A	January 2016
179	Unite Restorative Justice Evaluation	December 2014	Police officers to record contact details such as mobile phone numbers of victims/offenders to allow for future contact to review their experience of Restorative Justice Initiative.	N/A	January 2016

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			<u>Status Update</u> The management of restorative justice has moved to custody management and these recommendations are being reviewed.		
183	Unite Restorative Justice Evaluation	December 2014	Consider accrediting elements, or all of, the Restorative Justice Initiative services Cleveland Police will deliver in the future to ensure consistent and quality services.  Accreditation should follow a clear framework developed internally or by measuring against Restorative Justice national standards.  <u>Status Update</u> The management of restorative justice has moved to custody management and these recommendations are being reviewed.	N/A	March 2016
204	Cash & Property Spot Check Q1 (2015/16)	September 2015	The Force will seek to identify the locations of the missing cash items in the Response Inspectors safe and update IRIS accordingly. For a sample of 18 items shown within IRIS as held in the Response Inspectors safe, seven were cash items and were not located within the safe.  <u>Status Update</u> The missing items were located. There is a process in place for regular LPA safe checks. This recommendation can now be discharged.	Medium	May 2016
217	Human Resources – Training	March 2016	The refresher mandatory training reports outputted from Oracle on a periodic basis will be archived to demonstrate that they were produced and reviewed by the LDT.  <u>Status Update</u> The process was reviewed as part of the Strategic Intent work. This will now be taken forward by the newly appointed Head of Learning & Development, and should be available by November 2016.	Low	April 2016
218	Human Resources – Training	March 2016	The MPR Report will be updated to include non-attendance data for non-mandatory training sessions, and the offending staff will be chased up to establish the reason for non-attendance and	Medium	June 2016

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			<p>appropriate action will be taken.</p> <p><u>Status Update</u> The process was reviewed as part of the Strategic Intent work. This will now be taken forward by the newly appointed Head of Learning &amp; Development, and should be available by November 2016.</p>		
219	Human Resources – Training	March 2016	<p>On a periodic basis, mandatory and non-mandatory training MI will be reported to an appropriate committee. The level of information could include the number of training sessions held in the period, the attendance rates for each session, performance against KPIs, and whether the training plan is on schedule.</p> <p><u>Status Update</u> The process was reviewed as part of the Strategic Intent work. This will now be taken forward by the newly appointed Head of Learning &amp; Development, and should be available by November 2016.</p>	Medium	June 2016
222	Follow Up 2016	March 2016	<p>The original action is implemented, and the new system is in place. As part of the phase two of this project the force will progress the developmental actions to further enhance the use and functionality of the new system.</p> <p>Discussions established phase two of the implementation will be completed by 31st March 2016 and will involve:</p> <ul style="list-style-type: none"> <li>• Moving staff away from their excel based spreadsheet at a local level to the single database;</li> <li>• Ensuring 100 percent compliance of booking on/off; and</li> <li>• Automate the flow from Duty Management System to Command &amp; Control system.</li> </ul> <p><u>Status Update</u> The phase 2 actions that followed on from the original piece of audit work have been subsumed into the local policing reviews and will be progressed as part of BAU work within IRT and HR. The change in</p>	Medium	March 2016

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			<p>shift patterns meant that the risk of migrating staff away from locally held documents was too great at the time.</p> <p>The T/ACC has advised that the actions not being proceeded with at this time due to competing demands and will follow on from the implementation of the local policing reviews. They were not part of the original set of actions around DMS which focused on a single repository for duty management information and this is now fully in place so the original action should be closed off.</p>		
226	Cash Spot Checks Q4	June 2016	<p>Hartlepool will ensure that the manual safe records are maintained and held in the safe at all times. Redcar and Cleveland Headquarters will ensure that cash items held in the safe are recorded accurately on IRIS.</p> <p><u>Status Update</u> A robust process for cash management, reinforced by an audit schedule, is in place. This item can be discharged.</p>	Medium	End of May 2016
227	Corporate Governance Framework	June 2016	<p>The Force will consider the benefits of further articulating the delegated functions of other staff including the Head of Legal Services and Head of Human Resources in-line with sector best practice.</p> <p><u>Status Update</u> This has been reprioritised and will be completed by December 2016.</p>	N/A	End July 2016
228	Corporate Governance Framework	June 2016	<p>The Force has achieved sector norm with regard to the documentation and communication of delegated responsibilities below the Chief Constable, Deputy Chief Constable and Chief Finance Officer. However, given the current and future changes in the sector the Force would explore the benefits from a more formalised approach to embed the Joint Corporate Governance Framework below the Executive. This could be achieved through the updating of the Annual Governance Assurance Statement return questionnaire to confirm the Heads of Service have communicated delegated roles and responsibilities</p>	N/A	End July 2016

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			<u>Status Update</u> This has been reprioritised and will be completed by December 2016.		
229	Corporate Governance Framework	June 2016	A process should be introduced to ensure consistent reporting back into the Management Board.  <u>Status Update</u> This has been reprioritised and will be completed by December 2016.	N/A	End July 2016
230	Victim Referral Services	March 2016	The Victim First Policy will be roll out as a matter of urgency and appropriate outcomes reviewed to assess the embedding the standard procedure.  <u>Status Update</u> The policy went live on 4th April. The embedding of the policy will be considered as part of the post implementation review of the changes to local policing.	Medium	April 2016
231	Seized Cash Spot Checks – Middlesbrough and Stockton	September 2016	A reminder will be sent to all of the Southside Sergeants / Inspectors ensuring that they Supervise items being placed into the safe and remind Officers to book them onto IRIS.  <u>Status Update</u> A robust process for cash management, reinforced by an audit schedule, is in place. This item can be discharged.	Medium	End July 2016
232	Seized Cash Spot Checks – Middlesbrough and Stockton	September 2016	A reminder will be sent to all of the Northside Sergeants / Inspectors to ensure that all cash items are recorded accurately on IRIS when they are removed from the safe.  <u>Status Update</u> A robust process for cash management, reinforced by an audit schedule, is in place. This item can be discharged.	Medium	End July 2016
233	Data Quality (including elements of Data Security and	September 2016	Management will ensure that the Information Management Strategy is reviewed and updated; and subsequently subjected to annual review.	Low	September 2016

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235	HR Management - Overtime: Time Off In Lieu (TOIL) and Rest Days In Lieu (RDIL)	September 2016	The Force will ensure all overtime claimed is input into the system correctly and reconcilable to the claim forms.	Medium	End September 2016
236	HR Management - Overtime: Time Off In Lieu (TOIL) and Rest Days In Lieu (RDIL)	September 2016	The levels of TOIL / RDIL were discussed at the June Tactical Performance Group, and each command was requested to develop a plan to address increasing levels of TOIL / RDIL and undertake additional work to understand the reasons why this is happening.	Medium	September 2016
237	Health & Safety	September 2016	<p>The Force will keep a formal register of Police Officers who have completed the health and safety half day induction presentations.</p> <p><u>Status Update</u> The half day initial H&amp;S training has not been any delivered since the audit. A register / attendance sheet will be taken when then next session is delivered to the new intake on 7th October.</p>	Low	July 2016
238	Health & Safety	September 2016	<p>All Force personnel will be reminded of the need to complete the incident form in a timely basis to ensure that all records are up to date and RIDDOR incidents reportable are completed in a timely manner.</p> <p><u>Status Update</u> Reminders on the timely completion of IoD reports are on-going and have been issued verbally at each Command H&amp;S meeting. Since 6th July we have added an additional column on the IoD spread sheet to record if the reports have been submitted within 28 days from the time of incident. We now have an audit trail identifying Commands, departments and individuals (and the circumstances) from where late submissions have been returned and can therefore target our prompts accordingly.</p>	Medium	Ongoing

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			Communication was sent to all via a Force weekly 'The Brief' briefing on the importance of recording 'near miss' events and how to do so - also an action point from the audit.		
239	Health & Safety	September 2016	<p>The Force will ensure that an audit trail is maintained for all the action plans made following inspections. Where the action is still in progress, the matter will be documented and the 'update column' completed as appropriate. Where actions have been completed and a contractor has been used, the Purchase Order number will be documented to ensure that a complete audit trail is maintained.</p> <p><u>Status Update</u> The action plan report has been updated, and we have instigated a policy of re-inspections to confirm and record progress. We now also meet with the respective action plan 'owner(s)' as a follow-up. Since July we have met with and jointly re-inspected with Tascor, Sopra Steria, and neighbourhood officers.</p>	Medium	July 2016
241	Health & Safety	September 2016	The Force will ensure that each recommendation made is assigned an owner and a deadline for completion. Progress on the recommendation will be obtained for completeness, reported to the RAIMB and lessons learnt will be shared with the Force operational staff.	Medium	September 2016
242	Stockholding	September 2016	The procedures will be reviewed periodically, for example every two years, and changes made where necessary. This will be documented on the version control section within the procedures.	Low	September 2016
234	Stockholding	September 2016	The Oracle system will be examined to determine if the stock control functions for minimum and maximum quantities can be established. It will also be examined to determine whether reports from Oracle can be produced using this information to monitor stock levels.	Medium	September 2016
235	Stockholding	September 2016	Stores Officers will document discrepancies found when carrying out regular stock checks on a sample of items. Independent spot checks will be recorded and carried out on a periodic basis (monthly).	Medium	September 2016
236	Stockholding	September 2016	When large quantities of stock are purchased a basic business case will be produced and evidenced detailing reasons for quantities	Medium	September 2016



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237	Stockholding	September 2016	Stock items that have been in Stores for a considerable amount of time will be identified and will also help to influence the minimum and maximum stock levels held. This will be considered as part of the management action two.	Medium	September 2016