



# CHIEF CONSTABLE OF CLEVELAND

**IT Mobile Data**

**FINAL**

**Internal Audit Report: 9.16/17**

**27 October 2016**

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<b>Debrief held</b>	19 August 2016	<b>Internal Audit team</b>	Dan Harris, Head of Internal Audit
<b>Draft report issued</b>	12 September 2016		Angela Ward, Senior Manager
<b>Revised draft report issued</b>	21 October 2016		Philip Church, Client Manager
<b>Responses received</b>	26 October 2016		Eddie Ndhlovu , Senior Auditor
<b>Final report issued</b>	27 October 2016	<b>Client sponsor</b>	Ciaron Irvine, Temporary Assistant Chief Constable
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We have no responsibility to update this report for events and circumstances occurring after the date of this report.

# 1 EXECUTIVE SUMMARY

## 1.1 Background

In 2012, the Force introduced new Samsung Galaxy Note 2 devices to replace the mobile devices which had been in place since 2008. As part of the introduction of the new devices, the IT Mobilisation Business Case was established and included the following key benefits:

- Improved handheld devices which officers want to use.
- Improve mobile/remote working for more officers which increases visibility of officers and delivers more policing services with less administration and travelling.
- Mobile applications that officers want to use.
- Improved opportunities for partnership working.

The project had a forecasted capital expenditure of £1,200,100 at inception, the final cost of the project was £1,300,934; resulting in a budget overspend of £100,834.

We have therefore undertaken an audit to ascertain operational officers' perception of whether mobile devices have delivered the benefits detailed in the mobilisation business case.

## 1.2 Conclusion

Through discussions with police officers, via focus groups, we have ascertained the perception of the officers that the mobile devices have not delivered the benefits as detailed in the mobilisation business case. This has been due to the lack of functioning software coupled with connectivity issues. We have also found that the development of applications had not involved officer views and the Force does not have a process in place for identifying opportunities for partnership working. We have therefore concluded that we can only provide partial assurance that the project has delivered the benefits detailed in the mobilisation business case.

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### Internal Audit Opinion:

Taking account of the issues identified, whilst the Chief Constable can take **partial assurance** that the controls upon which the organisation relies to manage this area are suitably designed, consistently applied.

Action is needed to strengthen the control framework to ensure this area is effectively managed.



## 1.3 Key findings

The key findings from this review are as follows:

### Positives discussed by police officers:

- Officers who had used the preceding devices pre-2012, found the new devices to be more modern, had a wide screen and were generally a better device.
- The devices were good for checking emails, allocating jobs and the use of a calendar.
- A minority of officers found it useful when performing a Police National Computer (PNC) check (four out of 21 officers).
- Generally, officers were positive about the camera and the quality of pictures the device took when out on duty in the community/neighbourhoods.
- The Force has recently set up a user forum at which officers have an opportunity to capture, discuss and track mobile working issues and to improve the device functionality.

However, we identified three 'high' category management actions to improvement the control framework in relation to:

- Hardware devices did not improve mobile working as the software functionality did not operate as intended. We raised one combined management action relating to the two significant functionality issues identified.
- We were advised that network coverage was not sufficient for all areas of coverage required by the Force.
- At the focus groups we held with officers, we were advised that officers were not involved in the development or priorities of future application needs.

We also raised a further two 'medium' category management actions that are detailed in section three of this report.

## 1.4 Additional information to support our conclusion

Area	Control design	Non-compliance with controls	Agreed actions		
			Low	Medium	High
IT Mobile Data	1	4	0	2	3
<b>Total</b>			<b>0</b>	<b>2</b>	<b>3</b>

## 2 ACTION PLAN

### 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 table below sets out the actions agreed by management to address the findings:

Ref	Findings summary	Priority	Actions for management	Implementation date	Responsible owner
<b>Area: IT Mobile Data</b>					
1	<b>Device (hardware)</b> Officers were frustrated that the device did not improve mobile working or work effectively to document reports.	High	The Force will identify a Business Owner who will be responsible for the oversight and strategic direction of mobile working.	31 <sup>st</sup> December 2016	Simon Taylor, Head of ICT
			Device refresh activity to take place once Emergency Services Network (ESN) range of devices are known (estimated to be 2018).	31 <sup>st</sup> December 2017	Simon Brown
			Work is currently underway to provide access to 4G tablets for Digital Witness Statements.	30 <sup>th</sup> June 2017	Andrew Wood ICT Technical Consultant

Ref	Findings summary	Priority	Actions for management	Implementation date	Responsible owner
2	<p><b>Applications (software)</b></p> <p>We found that the officers were not using the applications for mobile working because of issues related to connectivity and the white screen.</p> <p>The white screen was an indication that the cache on the device was full and needed to be cleared.</p>	High	Issues with SmartWorks application are being addressed by Capita with weekly update calls to progress.	Immediate	Andrew Wood ICT Technical Consultant
4	We found that the Force has held three mobile working user forums since the inception of the new mobile devices (May 2015, October 2015, June 2016). There was currently no defined frequently or terms of reference for the forum.	Medium	Mobile working user forums are now scheduled on a quarterly basis, the next one is 27 October 2016. Communications to be issued advertising forum and local points of contact.	30 October 2016	Andrew Wood, ICT Technical Consultant
5	We found that some software issues reported by officers were yet to be resolved by Capita, the software owner.	High	<p>The Force will ensure that any faults are logged with the ICT Service Desk.</p> <p>Any SmartWorks issues are logged on Capita's JIRA service desk, and weekly conference calls are held to progress outstanding issues.</p>	30 October 2016	<p>System Owner</p> <p>Andrew Wood, ICT Technical Consultant</p>
6	There was currently no process of identifying how other forces undertook their mobile working strategies in order to improve current Force processes.	Medium	The Force is open to collaborative arrangements; however, nationally the Force is the only user of Smartworks. Opportunities for partnership working will be reviewed on an on-going basis and explored as and when they arise.	On-going	Simon Taylor, Head of ICT

### 3 DETAILED FINDINGS

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.

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Actions for management
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#### Area: IT Mobile Data

1	<b>Device (hardware)</b>  In 2012, the Force introduced 800 new Samsung Galaxy Note 2 mobile devices with an android operating system.  The intention was to improve mobile working and provide improved devices.	Yes	No	<p>We undertook three focus groups totalling 21 police officers across three different locations from Middlesbrough, Hartlepool and Stockton/Redcar.</p> <p>Discussions with officers noted the following positives of the devices:</p> <ul style="list-style-type: none"> <li>• Officers who had used the CUPID device pre-2012, found the new device to be more modern, had a wide user-friendly screen and generally a better device than its predecessor.</li> <li>• The device was good for checking emails and allocating jobs.</li> <li>• A minority of officers found it useful when performing a Police National Computer (PNC) check (four out of 21 officers).</li> <li>• Generally, officers were positive about the camera and the quality of pictures the device took.</li> </ul> <p>However we found the following negative issues that officers expressed about the devices:</p> <ul style="list-style-type: none"> <li>• All of the officers had encountered a white screen issue, whereby the device screen froze whilst officers were completing a Niche report.</li> </ul> <p>This had been found to be a common and recurring</p>	High	<p>The Force will identify a Business Owner who will be responsible for the oversight and strategic direction of mobile working.</p> <p>Device refresh activity to take place once Emergency Services Network (ESN) range of devices are known (estimated to be 2018).</p> <p>Work is currently underway to provide access to 4G tablets for Digital Witness Statements.</p>
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Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Actions for management
				<p>issue on the devices which was yet to be resolved by Capita. Meanwhile when officers were faced with this issue, this required the device to be re-set and cleared by the IT team. However this had left officers despondent about using the devices for reporting and they were therefore reluctant to use the device.</p> <ul style="list-style-type: none"> <li>We found that officers were still using notepads to take incident details and then completing all the reporting on a desktop towards the end of their shifts.</li> </ul> <p>We concluded from the responses we obtained through the focus groups that officers did not think that the handheld devices had improved to the extent that officers were able to use the devices remotely thereby reducing administration time and travel.</p> <p>There is therefore a risk that the benefit set out in the business case has not been achieved.</p>		
2	<b>Applications (software)</b> <p>The current mobile devices have installed a total of 25 mobile applications. The device has a number of Smartworks application functionalities. Smartworks software is a mobile solution package for policing with the aim of decreasing administration time.</p> <p>Smartworks has a number of applications that officers use for reporting crime, Police National Computer checks (PNC), domestic violence report, stop and search</p>	Yes	No	<p>Through discussion in focus groups, we asked the officers if the mobile devices and its applications had improved mobile/remote working thereby increasing visibility in the community.</p> <p>We obtained the following responses which are representative of the officers who attended the focus groups:</p> <ul style="list-style-type: none"> <li>Officers complained that when writing a report on the device it would take five times longer than it would on the desktop. One of the actions from the user forum is to streamline the SmartWorks application as much as possible to enhance the user experience.</li> <li>In some instances officers would complete a report</li> </ul>	High	Issues with SmartWorks application are being addressed by Capita with weekly update calls to progress.



Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Actions for management
	reports, etc.  The Force monitors the use of the Smartworks applications software and where officers have not used the device for six weeks, they are included in a report that is circulated on an monthly basis.			<p>on the device and submit the report only to find out that all the work has been lost and was not recoverable.</p> <ul style="list-style-type: none"> <li>• Officers found that when undertaking a PNC check it sometimes would take a considerable amount of time due to the unreliability of the mobile network.</li> <li>• We also noted that for officers that had the EE SIM card to improve connectivity this had not been useful in ensuring officers used their devices/application therein. This is based on a small sample of users who have an EE SIM card in their device. Analysis of usage statistics would provide the Force with more accurate picture and broken down into O2 / EE users.</li> <li>• Out of the 21 officers in the focus group, there was only one person that used the mobile device for completing reports. Analysis of usage statistics will provide a more accurate picture of usage across the Force.</li> <li>• We found that officers were making a note of the names of the people whom they had performed a stop and search on, save all the names, and towards the end of the shift they would complete all the required report on the desktop at their respective stations.</li> <li>• We found that officers who had not used the devices were sent an email to ensure that they were reminded of using the devices for compliance purposes. However discussions found that officers would simply log into the Smartworks system in order not to appear on the list circulated. The monitoring list does not document whether or not</li> </ul>		

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Actions for management
				<p>officers had used the devices' functionality only if they had logged in or not.</p> <p>In terms of the applications on the device we found the following issues through discussions with officers:</p> <ul style="list-style-type: none"> <li>• The connectivity of the devices slowed the process of submitting reports on the devices thereby frustrating officers.</li> <li>• Officers complained of not being able to put exact locations of the occurrence nominal functionality which was in place for officers to flag the exact location where the crime had been committed.</li> <li>• Officers were concerned that the slow Smartworks software, coupled with the connectivity issues, was a big contributor in the applications not being fit for purpose.</li> </ul> <p>There is a risk that the devices and/or the current functionality or use of the devices do not represent value for money and therefore have not met the objectives of the business case.</p>		
3	<p><b>Connectivity (network)</b></p> <p>The devices have 3G connectivity and the Force has a contract in place with O2.</p> <p>In order to connect to the Smartworks applications and also use the internet, the device must connect through the Force's Virtual Private Network (VPN).</p> <p>The device can only connect</p>	Yes	No	<p>The majority of officers found that the network coverage on the devices was poor. The devices were found to only be compatible with 3G or 2G network which was slow in connecting to the Force VPN for the purposes of all work that requires internet access.</p> <p>We were advised by various officers that poor network coverage around the Cleveland area by the mobile provider O2 was a significant factor in the devices' applications not operating well. We found that in East Cleveland / Redcar, O2 had to replace 200 sim cards with EE (mobile provider) sim cards. Discussions with officers based in Redcar found that the connectivity had</p>	-	See management action one.

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Actions for management
	through the Force's internet Wi-Fi and has restricted connectivity to any other network including free Wi-Fi hotspots and home networks.			<p>only slightly improved as a result of this and that officers were still experiencing similar problems originally reported.</p> <p>There is therefore a risk that the benefit set out in the business case has not been achieved.</p>		
4	<p><b><u>Mobile Working User Forum</u></b></p> <p>The Force had in place a mobile working user forum which is attended by officers of different rank and is a platform where issues are discussed and logged and a way in which the Force gains views from an operational perspective on how to improve the devices.</p>	Yes	No	<p>Discussions with the ICT Technical Consultant found that the since 2014, three mobile working user forums had been held with officers of varying rank. We noted that a meeting had taken place in June 2016, (device rollout commenced in July 2014).</p> <p>Following the meeting, a number of issues were captured in a mobile issues document. The purpose of the document was to track all the issues raised and to provide updates.</p> <p>Although this user forum had been put in place, the officers in our focus group were not aware of this group and how they could be a part of it. Furthermore we noted that there was currently no documented frequency of the forum.</p> <p>Lack of officer input could result in issues not being identified and resolved in a timely manner. The Force also needs to ensure that future project forums are set up in a timely manner.</p>	Medium	<p>Mobile working user forums are now scheduled on a quarterly basis, the next one is 27 October 2016. Communications to be issued advertising forum and local points of contact.</p>
5	Police officers can use the intranet site to suggest new applications to be used. The list is collated by the ICT Technical Consultant who in turn produces a business case and a risk analysis to ensure that there are no security issues.	Yes	No	<p>Discussions with the ICT Technical Consultant noted that the process of the prioritisation of new applications within Smartworks was based on business needs as assessed by IT.</p> <p>There are two categories of applications, one being functionality within SmartWorks, and the other being third party applications. SmartWorks functionality is prioritised by the Force.</p>	High	<p>The Force will ensure that any faults are logged with the ICT Service Desk.</p> <p>Any SmartWorks issues are logged on Capita's JIRA service desk, and weekly conference calls are held to progress outstanding issues.</p>

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Actions for management
				<p>When we inquired with officers the applications they would like to be prioritised and put in place, we obtained the following responses:</p> <ul style="list-style-type: none"> <li>Officers were wary of other functionalities being added to Smartworks. This was due to the current software not being user friendly and had a number of issues highlighted in this report which were yet to be resolved.</li> <li>Officers felt it was time that the Force looked at adopting a programme by which officers' receive different devices in accordance to their policing roles.</li> </ul> <p>As at the 5<sup>th</sup> October 2016, the Force was considering the use of 4G tablet devices for Digital Witness Statements</p> <ul style="list-style-type: none"> <li>At the time of the audit, four applications had been suggested by officers, we found that half of them had been suggested by senior officers who were not involved in using the devices operationally.</li> </ul> <p>We therefore concluded from the focus group responses and walkthrough of the process that officers were not adequately consulted on an ongoing basis on the functionalities that would be useful in improving remote/mobile working.</p> <p>Failure to priorities applications could result in applications being developed that do not improve the operational activities of officers.</p>		
6	<b><u>Missing Control</u></b>  There is currently no mechanism in place set up to identify and monitor	No	-	During our discussions with officers we found that there were some officers who had transferred from different forces who had experienced devices which officers were happy to use and had good functionality.	Medium	The Force is open to collaborative arrangements; however, nationally the Force is the only user of Smartworks. Opportunities for partnership working

Ref	Control	Adequate control design (yes/no)	Controls complied with (yes/no)	Audit findings and implications	Priority	Actions for management
	improved partnership opportunities with other forces in order to improve the Force's mobile devices.			We could not find evidence of the Force having a process in place for identifying partnership opportunities for improving the functionality of mobile devices.		will be reviewed on an on-going basis and explored as and when they arise.

# APPENDIX A: SCOPE

## Scope of the review

To evaluate the adequacy of risk management and control within the system and the extent to which controls have been applied, with a view to providing an opinion. The scope was planned to provide assurance on the controls and mitigations in place relating to the following area:

### Objective of the area under review

To ascertain operational officers' perception of whether mobile devices have delivered the benefits detailed in the mobilisation business case.

## Areas for consideration:

Our review has mapped the benefits against current system delivery to evaluate whether those benefits had been achieved. In particular, we have considered the following:

- Operational officers' assessment on the functionality of the mobile devices to improve mobile working. We have considered how the Force has obtained the views of operational officers and how this has informed future decisions. As part of the audit, we have also conducted focus groups with a sample of operational officers to determine the suitability and functionality of the current mobile devices.
- Operational officers' assessment of applications available and their involvement in the decision making process. As above, we have conducted focus groups with a sample of operational officers to determine the suitability and functionality of the current applications and future requirements.
- Review of the development of applications and how future applications are priorities to increase operational effectiveness and further reduce administration and travel of operational officers. We have considered the rationale for the development of the current suite of applications to determine if the most appropriate and effective applications have been developed to improve operational delivery.
- Review of how improved partnership opportunities have been identified, monitored and what benefits have been realised.

### The following limitations apply to the scope of our work:

- We have not considered the procurement of the mobile devices.
- Testing was completed on a sample basis and has not confirmed all benefits have been realised.
- We have not reviewed the development or approval of the original business case but confirmed that clear deliverables have been identified.
- We have not commented on the suitability or that all benefits have been identified.
- Our work does not provide absolute assurance that material errors, loss or fraud do not exist.

## APPENDIX B: FURTHER INFORMATION

### **Persons interviewed during the audit:**

- Andrew Wood, ICT Technical Consultant
- Chris Sandford, Project Manager
- Scott Cowie, Inspector
- Anonymous, 21 police officers

### **Documentation reviewed during the audit:**

- Business case 2012
- Mobile issue documents
- Smartworks current applications
- Future developments spreadsheet

## FOR FURTHER INFORMATION CONTACT

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