



CHIEF CONSTABLE OF CLEVELAND

Estate Management - Lockers

FINAL

Internal Audit Report: 10.16/17

30 November 2016

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CONTENTS

| | |
|---------------------------------------|----|
| 1 Executive summary | 2 |
| 2 Action plan..... | 4 |
| 3 Detailed findings..... | 7 |
| APPENDIX A: SCOPE | 15 |
| APPENDIX B: FURTHER INFORMATION | 17 |
| For further information contact | 18 |

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|------------------------------------|------------------|----------------------------|---|
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1 EXECUTIVE SUMMARY

1.1 Background

An audit of lockers was requested by the force due to the reduction in their estate and staff and officers relocating to new premises. The force has identified that there is a cost implication of having more lockers than staff at each site. This audit was undertaken to ensure estate floor costs are minimised and to evaluate the procedures and controls in place to ensure lockers were being allocated appropriately to members of staff within the force, based on their role and responsibilities, with larger lockers allocated to staff with extra uniform and equipment.

Our audit focussed on the lockers held at Middlesbrough (M8), Hartlepool headquarters, Stockton headquarters, Redcar headquarters and Wynyard Park because of the large volume of lockers at these sites. The management of lockers was previously undertaken by Local Policing Assistants, but since the redundancy of these positions, the role was passed on to Steria staff in the Central Cash Team at M8 and the front desk staff at the other three main police stations. Any lockers at satellite stations are managed by sergeants at each site.

The staff managing lockers at each site maintain a live spreadsheet that details all lockers on site, who they have been assigned to and their location if there is more than one locker room at the site.

1.2 Conclusion

Our review has confirmed that the force does not have documented procedures in place for the management of lockers; however, through interview with key staff there was clear understanding of what tasks need to be completed to ensure lockers were allocated appropriately. Furthermore, there have been recent changes in the responsibilities and ownership of this particular area which has perhaps impacted on the number of findings and inconsistent approach that our audit has highlighted. Our testing resulted in six audit findings that fell under three areas for improvement, as a result we have combined our findings into three management actions. Of these three, we have categorised one management action as 'high' and further two as 'medium' priority, as detailed below:

- Policies or procedural documents of locker allocation and maintenance;
- Responsibilities of staff involved with the lockers; and
- Communication to staff allocating lockers and maintaining the locker spreadsheets of starters, leavers and relocating staff and their locker requirements.

(Background context - The Force has significant changes to its estate planned over the next two years largely driven by the decant from Ladgate Lane and commissioning of the Learning and Development Centre and Community Safety Hub.)

Ensuring that officers have appropriate storage facilities within the context of optimising the floor space (and therefore cost) allocated to storage will be part of this reconfiguration.

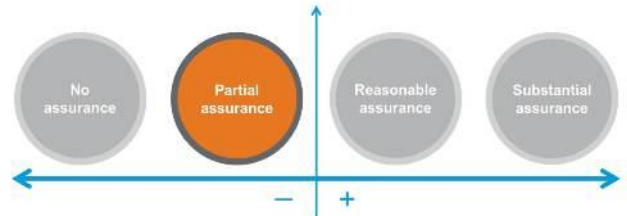
A rationalisation exercise and development of procedures for the allocation and ongoing administration of lockers will be developed and implemented during this period.

It should be noted that whilst we have issued a partial assurance opinion, the issues identified are not sufficient to negatively impact our year end opinion.

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

We identified the following areas of concern that require the force's attention and remedial action that have led to the partial assurance opinion. We have therefore agreed **one 'high'** and **two 'medium'** management actions in relation to the following findings

- There was no procedure in place for the maintenance or administration of lockers, which had resulted in a lack of clear protocols for staff to follow consistently at each site. (Medium)
- Due to changes to estates and changes to staff roles there was no clear ownership or clear responsibilities of the management of the locker spreadsheets. (Medium)
- A reconciliation of data held on the locker spreadsheets with a current list of staff provided from HR found that staff were allocated to lockers at sites they were not based at, or they were allocated to individuals no longer on the current staff list. (High)

We did however find some controls upon which the Chief Constable relies to manage the area are suitably designed, consistently applied and are operating effectively. These were established following discussions held with key staff and in conjunction with sample testing. These controls included:

- The sergeants we spoke to during the audit gave consistent answers when asked about what can be stored in the lockers, this was uniform and various personal items but no items of evidence or case files.
- At Wynyard Park larger lockers had been allocated to all Motorcycle Constables based there to accommodate their extra clothing and equipment.

1.4 Additional information to support our conclusion

| Area | Control design* | Compliance with controls* | Agreed actions | | |
|--------------|-----------------|---------------------------|----------------|----------|----------|
| | | | Low | Medium | High |
| Lockers | 2 (6) | 1 (6) | 0 | 2 | 1 |
| Total | | | 0 | 2 | 1 |

* Shows the number of controls not adequately designed or not complied with. The number in brackets represents the total number of controls reviewed in this area.

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 |
|----------------------|--|----------|--|-----------------------------|--------------------------------------|
| Area: Lockers | | | | | |
| 1 | There was no procedure in place for the maintenance or administration of lockers. | Medium | A formal and robust policy will be put in place for the administration and maintenance of lockers so the process is consistent across all locations. | 31 st March 2019 | Head of Business Transformation Unit |
| | There was a difference between the enforcement of spot checks between different sergeants. | | Ahead of putting this policy in place there will be consideration of what lockers are used for so the policy has clarity of what can and can't be stored in them and what size lockers are required for each role. | | |
| | One locker we spot checked had three large files of documents in it. | | Staff will be informed when given a locker of items they can keep in them. The requirement for spot checks will be assessed and policy updated accordingly. If this assessment finds that lockers are currently being used as intended there may be no need to change current practice. If they are not then enforcement of locker spot checks should be considered. | | |

| Ref | Findings summary | Priority | Actions for management | Implementation date | Responsible owner |
|-----|--|----------|--|-----------------------------|--------------------------------------|
| 3 | <p>The physical location of lockers did not agree to the locations on the lockers spreadsheet.</p> <p>A comparison of data on the locker spreadsheets to a list of current staff found lockers had been allocated to staff that were not based at the site of the locker, and some lockers had been allocated to individuals that did not work at the force.</p> <p>83 current staff had been allocated to lockers at two different sites.</p> | High | <p>A reconciliation will be carried out (and then repeated periodically) at each site to identify all physical lockers, their size and their location to ensure this matches the details held on each locker spreadsheet and there are no missing details on the spreadsheets.</p> <p>The locker spreadsheets will then be reconciled to the HR list of current staff, to ensure only current staff at each site are allocated a locker there and that the allocation of the locker is appropriate for their role.</p> | 31 st March 2019 | Head of Business Transformation Unit |

| Ref | Findings summary | Priority | Actions for management | Implementation date | Responsible owner |
|-----|---|----------|--|-----------------------------|--------------------------------------|
| 5 | <p>The staff maintaining the locker spreadsheets were not being informed of new starters, leavers or staff relocating. There were still leavers from the past year on three of the four locker spreadsheets we reviewed.</p> <p>There was a lack of ownership of the allocation and maintenance of lockers and there was no central point of contact for issues arising with lockers to be raised with.</p> | Medium | <p>The process for new starters or transferred staff will be reviewed to ensure the team allocating lockers are informed of the additional locker requirements so they can ensure the correct locker is allocated.</p> <p>As part of the leaving process and transfer process, there will be communication with the staff managing the allocation of locker keys so they can request the return of locker keys. All keys will be returned to these locker staff so they can update the spreadsheet with the next officer allocated to that locker.</p> <p>When officers are re-allocated, locker staff will confirm with staff at the officers' previous location to ensure they have returned their locker key and emptied their lockers before allocating them a locker at the new site.</p> <p>This process should be detailed in the policy proposed in management action one.</p> <p>The policy should also establish ownership and clear responsibilities of the management of lockers and management of the locker spreadsheets.</p> <p>A lead contact will be established at each site for the staff managing lockers to escalate any issues to.</p> | 31 st March 2019 | Head of Business Transformation Unit |

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 |
|----------------------|--|----------------------------------|---------------------------------|---|----------|---|
| Area: Lockers | | | | | | |
| 1 | <p><u>Missing control</u></p> <p>Procedures are in place that articulate the management of lockers across the force.</p> <p>The procedures are consistency applied across the main local police stations and the satellite offices.</p> | No | No | <p>We confirmed there was a Checking Lockers Policy available on the intranet, dated January 2010, that covered the organisational rights in terms of checking or searching lockers.</p> <p>It stated that while officers can store personal property in their lockers, they should not expect privacy for any property stored in them. Line managers were encouraged to conduct locker checks in the document, however it did not state that they had to or how often they should be carried out.</p> <p>There was no procedure in place for the maintenance or administration of lockers. Without this, the administration function of lockers is not consistent across all sites and there is a lack of clarity of responsibility around the maintenance of lockers.</p> | Medium | <p>A formal and robust policy will be put in place for the administration and maintenance of lockers so the process is consistent across all locations.</p> <p>Ahead of putting this policy in place there will be consideration of what lockers are used for so the policy has clarity of what can and cannot be stored in them and what size lockers are required for each role.</p> <p>Staff will be informed when given a locker of items they can keep in them. The requirement for spot checks will be assessed and policy updated accordingly. If this assessment finds that lockers are currently being used as intended there will be no need to change current practice. If they are not then enforcement of locker spot checks should be considered.</p> |
| 2 | The expected use of lockers is communicated to the officer once it has been allocated by the sergeant and is maintained to the expectations of the force. | Yes | No | <p>We interviewed sergeants at M8, Hartlepool headquarters and Wynyard Park, only one sergeant performed spot checks on lockers and this was done on an adhoc basis. The others would only perform a spot check as part of a criminal or misconduct investigation.</p> <p>All sergeants confirmed that they would expect personal effects to be kept in lockers, but items of evidence, exhibit and case files were not allowed to be stored in the lockers.</p> | - | See management action 1 |

| Ref | Control | Adequate control design (yes/no) | Controls complied with (yes/no) | Audit findings and implications | Priority | Actions for management |
|-----|--|----------------------------------|---------------------------------|--|----------|--|
| | The sergeant performs a spot check on the maintenance of the locker and informs the officer is expectations are not of the required standard. | | | <p>We spot checked lockers at M8 and Wynyard Park and confirmed that all lockers we checked contained uniform and police equipment and allowed personal items. One locker at M8 had a large file of documents in it, which, depending on the nature of the documents, could potentially not be permitted to be stored in the locker.</p> <p>There were many lockers in the M8 locker room that had been left unlocked and open, we also checked in each of these lockers to ensure they had not left their PAVA spray in the locker, we did not see any PAVA spray in any case.</p> <p>At Wynyard Park, the sergeant in charge of the allocation of lockers did not want to open lockers without the officers present, so we looked in the lockers of two officers that were in the office. As before, the lockers contained uniforms and equipment as well as personal items.</p> | | |
| 3 | <p>The management of locker keys was previously undertaken by the Local Policing Assistants (LPA) and updated on a spreadsheet which recorded the name of the officer or staff, key number/airwaves key number and location.</p> <p>The management of the force's lockers is now undertaken by the Cash Team at M8 and by front desk staff</p> | Yes | No | <p>We reviewed the lockers spreadsheet for M8, Hartlepool, Stockton and Redcar and confirmed there was sufficient data maintained for all lockers. The location of lockers was included on the spreadsheet for Hartlepool and Stockton. The lockers at M8 and Redcar were all stored in one locker room.</p> <p>On the Stockton spreadsheet there was five lockers with no location, three of these were physically missing. On the Hartlepool spreadsheet there was three lockers with no location and four lockers were physically missing.</p> <p>For some of the lockers on the spreadsheets a note had been added that officers had taken the lockers with them when they had relocated.</p> <p>We confirmed the physical location of 20 lockers on the M8 locker spreadsheet. This spreadsheet stated that five DSU</p> | High | <p>A reconciliation will be carried out (and then repeated periodically) at each site to identify all physical lockers, their size and their location to ensure this matches the details held on each locker spreadsheet and there are no missing details on the spreadsheets.</p> <p>The locker spreadsheets will then be reconciled to the HR list of current staff, to ensure only current staff at each site are allocated a locker there and that the allocation of the locker is appropriate for their role.</p> <p>This reconciliation should be repeated periodically to ensure any changes in staff</p> |

| Ref | Control | Adequate control design (yes/no) | Controls complied with (yes/no) | Audit findings and implications | Priority | Actions for management |
|-----|---|----------------------------------|---------------------------------|--|----------|---|
| | at the other three main sites. Lockers at satellite stations are managed by sergeants on site. | | | <p>lockers had been removed by officers and taken to another site but we saw two of these lockers in the locker room. We could not find two of the DSU lockers from the spreadsheet, however there were three larger lockers in the locker room with no numbers on them. Five of the lockers on the DSU spreadsheet were not actually larger lockers, they were normal sized lockers.</p> <p>For a sample of 20 lockers on Hartlepool's spreadsheet, we confirmed the physical location of 14 lockers. When looking for four of the lockers in our sample we found that there were lockers in the places the lockers were expected to be (in between the correct numbers) but they either did not have a number on them or they had a different number on them, hand written or on an older style sticker. There were two DSU lockers in our sample; all DSU lockers had been moved to the Thornaby site, however they were still on the spreadsheet as being at Hartlepool.</p> <p>There were 88 lockers on the Hartlepool spreadsheet from locations the Force no longer owned (West View, York Road, Dyke House, and Jutland Road) but there was no indication of their current location at Hartlepool. The staff managing lockers at Hartlepool informed us that these lockers had been placed wherever there was a space for them in the locker rooms when staff moved over from these sites.</p> <p>We carried out a reconciliation of data on the most up to date locker spreadsheets for M8, Hartlepool, Stockton, Redcar and compared this to a list of current staff provided by HR. The analysis of this data found the following for each site:</p> <p><u>M8</u> There were 464 lockers and 538 staff per the HR list, which would result in 14% staff not having a locker. However, we found there was 171 staff at M8 on the HR list that were not allocated lockers (32%).</p> | | that aren't communicated to the staff maintaining the lockers spreadsheet are captured. |

| Ref | Control | Adequate control design (yes/no) | Controls complied with (yes/no) | Audit findings and implications | Priority | Actions for management |
|-----|---------|----------------------------------|---------------------------------|--|----------|------------------------|
| | | | | <p>35 lockers had been allocated to staff that no longer worked for Cleveland Police and 40 had been allocated to staff that did not work at M8, but did work within the force (Total 17% of lockers allocated to individuals not at M8).</p> <p>70 staff at M8 had a locker in another location, of these 33 also had a locker at M8.</p> <p>The staff in charge of M8's locker spreadsheet informed us there was some staff that were no longer based at M8 but still kept a locker there to store their uniform for when they work at football matches in Middlesbrough.</p> <p><u>Stockton</u> There were 246 lockers and 208 staff, so all members of staff should have been allocated a locker. Of the 208 staff we found only 163 had been allocated a locker (78%).</p> <p>44 lockers were allocated to staff no longer based at Stockton and 43 were allocated to individuals that were not on the HR list (35% of lockers).</p> <p>70 staff based at Stockton had a locker in another location, of these 18 also had a locker at Stockton.</p> <p>There were 33 (13%) empty lockers (this included lockers with broken locks or missing keys)</p> <p><u>Hartlepool</u> There were 274 lockers and 140 staff on the HR list, almost twice as many lockers as there was staff. 31 of these staff members were not allocated a locker (22% of staff).</p> <p>There was 72 unallocated lockers on the spreadsheet (26% of</p> | | |

| Ref | Control | Adequate control design (yes/no) | Controls complied with (yes/no) | Audit findings and implications | Priority | Actions for management |
|-----|---------|----------------------------------|---------------------------------|--|----------|------------------------|
| | | | | <p>lockers).</p> <p>There were 48 lockers allocated to staff that were not based at Hartlepool, 14 of these had been highlighted as incorrect on the locker spreadsheet.</p> <p>40 lockers were allocated to staff that were not on the HR list, 11 of these were highlighted as incorrect on the locker spreadsheet (total of 32% lockers allocated to individuals not at Hartlepool).</p> <p>20 staff at Hartlepool had a locker in another location, of these 13 also had a locker at Hartlepool.</p> <p><u>Redcar</u></p> <p>There was 190 lockers and 162 staff on the HR list. 66 staff on the HR list had not been allocated a locker at Redcar (40% of staff).</p> <p>42 lockers had been allocated to staff that were not based at Redcar and 46 lockers were allocated to individuals not on the HR list. (46% of lockers allocated to individuals not at Redcar).</p> <p>10 staff at Redcar had a locker in another location, of these seven also had a locker at Redcar.</p> <p>One officer, 1655 Busby, had a locker in three locations as per the locker spreadsheets: Stockton, Hartlepool and Redcar.</p> <p>There is not adequate management of lockers in terms of who needs lockers and who no longer uses the lockers, this has resulted in the locker spreadsheets becoming out-of-date with no reconciliations being performed of the current locker allocations and current staff.</p> <p>Staff maintaining the lockers are not being kept up to date with leavers or transfers, the result of this is that the locker</p> | | |

| Ref | Control | Adequate control design (yes/no) | Controls complied with (yes/no) | Audit findings and implications | Priority | Actions for management |
|-----|--|----------------------------------|---------------------------------|---|----------|---|
| | | | | spreadsheets are not up-to-date, leavers are not being chased to return their locker keys so there are spare lockers that are not being re-allocated or officers will have lockers at more than one site, so lockers cannot be allocated to new officers. | | |
| 4 | <p>The lockers are distributed to officers based on their roles and responsibilities. District support officers are provided with larger lockers at the main sites to accommodate the equipment to undertake their roles.</p> <p>At Wynyard Park, motorcycle constables are given larger lockers for their bike gear. Some special constables currently share lockers.</p> | Yes | No | <p>The DSU lockers spreadsheet for M8 was not up-to-date as it stated that five lockers had been removed by officers and taken to another site but we saw two of these lockers in the locker room. We could not find two of the DSU lockers from the spreadsheet, however there were three larger lockers in the locker room with no number on them.</p> <p>Five of the lockers on the DSU spreadsheet were not actually larger lockers, they were normal sized lockers. The above findings are covered in management action three</p> <p>There was a locker room for inspectors at Hartlepool with larger lockers in it. On the Hartlepool spreadsheet six of these ten lockers had been allocated to an inspector, three were allocated to Police Community Support Officers and three were unallocated.</p> <p>All Motorcycle Constables at Wynyard Park had been allocated two larger lockers to accommodate their extra clothing and equipment.</p> <p>We compared the details of the three lockers currently being shared by specials on the M8 spreadsheet to the HR spreadsheet and we found that some of the officers were not on the current list of staff provided from HR. The Cash Team Assistant was awaiting confirmation from the Inspector overseeing the Special Constables of which special officers were currently sharing lockers.</p> | - | See management action 2 |
| 5 | <p><u>Missing control</u></p> <p>The Cash Team Assistant is made</p> | No | No | <p>We obtained a sample of leavers since October 2015 and compared this to the locker spreadsheets for the four main sites. We found that:</p> | Medium | The process for new starters or transferred staff will be reviewed to ensure the team allocating lockers are informed of the additional locker requirements so they can |

| Ref | Control | Adequate control design (yes/no) | Controls complied with (yes/no) | Audit findings and implications | Priority | Actions for management |
|-----|--|----------------------------------|---------------------------------|---|----------|--|
| | <p>aware of staff that have left the force or transferred to another force location.</p> <p>The officer hands their keys back in a timely manner and reallocated where appropriate.</p> <p>There is a process in place, although it has not been documented, stating that staff who have transferred to another station cannot get a locker at the new station unless they hand in the locker keys for their locker at the previous station.</p> | | | <ul style="list-style-type: none"> • There were no leavers on M8's locker spreadsheet; • There was one leaver still on Stockton's locker spreadsheet; • There were three leavers still on Hartlepool's locker spreadsheet; and • There were four leavers still on Redcar's locker spreadsheet. <p>We interviewed a sample of sergeants at M8, Wynyard Park and Hartlepool. They were not aware of the process for allocating lockers to transferred or new starters and confirmed that communicating with staff managing lockers is not part of the leavers or transfer process. One sergeant at Hartlepool told us that when staff leave or relocate they collect their locker keys but then holds onto them to give the locker to another member of staff, instead of giving them back to the locker staff.</p> | | <p>ensure the correct locker is allocated.</p> <p>As part of the leaving process and transfer process, there will be communication with the staff managing the allocation of locker keys so they can request the return of locker keys. All keys will be returned to these locker staff so they can update the spreadsheet with the next officer allocated to that locker.</p> <p>When officers are re-allocated, locker staff will confirm with staff at the officers' previous location to ensure they have returned their locker key and emptied their lockers before allocating them a locker at the new site.</p> <p>This process should be detailed in the policy proposed in management action one.</p> <p>The policy should also establish ownership and clear responsibilities of the management of lockers and management of the locker spreadsheets.</p> <p>A lead contact will be established at each site for the staff managing lockers to escalate any issues to.</p> |
| 6 | <p><u>Missing control</u></p> <p>The team maintaining the lockers spreadsheet performs a periodic</p> | No | - | <p>There were no reconciliations being carried out between the locker spreadsheets and changes in staff.</p> <p>As no reconciliations are carried out of the locker spreadsheets to current staff and leavers, changes in staff at each site had not been picked up and lockers were still</p> | - | See management action 2 |

| Ref | Control | Adequate control design (yes/no) | Controls complied with (yes/no) | Audit findings and implications | Priority | Actions for management |
|-----|--|----------------------------------|---------------------------------|--|----------|------------------------|
| | reconciliation between the locker management spread sheet and of staff that have left the force or transferred to identify underutilised locker space. | | | allocated to staff no longer based at each site. | | |

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

Lockers are allocated appropriately based on the role and responsibilities of the member of staff to ensure estate floor costs are minimised.

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

Areas for consideration:

The following areas were considered as part of the review:

- Procedures were in place and had been disseminated to staff. We performed substantive testing to confirm compliance with the procedure to ensure a consistent practice in the provision, administration and management of lockers had been applied across the Force.
- Substantive testing was undertaken to confirm:
 - Lockers had been allocated appropriately based on the role and responsibility of the member of staff.
 - Locker Key Forms were in place and had been signed by the member of staff.
- Review of leavers and staff that transfer in terms of location and rank to ensure lockers had been assigned/reallocated appropriately.
- Locker spot checks had been performed on a periodic basis by the relevant Sergeant. We confirmed this process through interview.
- We performed locker spot checks at various locations to ensure lockers were maintained in accordance with the force's expectations.
- Reconciliation of staff lockers at force owned properties to ensure the allocation was appropriate based on the number of staff.

Limitations to the scope of the audit assignment:

- We did not consider lockers at rented properties.
- Any testing undertaken was completed on transactions within the current financial year. Where this is not possible we will look at transactions from the prior financial year.
- Our testing was completed on a sample basis so will not confirm lockers have been allocated appropriately in all cases.

- We have not quantified the cost saving of underutilised or incorrectly allocated lockers to the force's estate.
- 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:

- Danielle Ventress, Cash Team Assistant (M8)
- Helen Tavinder, Enquiry Office and Central Cash Team, Team Leader (M8)
- James Podd, Incident Resolution Team Constable (M8)
- Colin Robinson, Incident Resolution Team Sergeant (M8)
- Paul Harker, Road Policing Unit Support Sergeant (Wynyard Park)
- Brian Rooney, Neighbourhood Policing Team Sergeant (Hartlepool HQ)

Documentation reviewed during the audit:

- Checking Lockers Policy, January 2010
- Lockers spreadsheets for Hartlepool, M8, Redcar and Stockton
- Locker list for Wynyard Park
- List of current staff, provided by HR

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