



THE POLICE AND CRIME COMMISSIONER FOR CLEVELAND AND THE CHIEF CONSTABLE OF CLEVELAND

Vetting

Internal audit report 6.23/24

FINAL

26 October 2023

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1. EXECUTIVE SUMMARY

Why we completed this audit

As part of the 2023/24 internal audit plan, we have reviewed the Force's vetting regime in line with the requirements of the authorised professional practices (APP) Vetting Guidance (2021) published by the College of Policing and the Code of Practice for Vetting (2023).

Since the previous audit RSM carried out in 2022/23, which resulted in a partial assurance opinion, the Force has assigned a new Vetting Manager who has reviewed the vetting arrangements in place to identify any inefficiencies in processes to improve the effective use of resources within Cleveland Police. The Vetting Manager has set out a clear structure and direction for the Vetting Team. The Vetting Manager has focused on providing an on-site presence within the Vetting Team to ensure significant oversight of the demand, and backlog affecting the current work environment. Additionally, the Vetting Manager has considered the current pressures on Force vetting, such as demand and resource within the Vetting Team, and has identified these as key issues. As a result, the Vetting Manager has raised a business case to employ a further five employees to the current team, consisting of three Vetting Researchers, one Administration Apprentice, and one full time Administrator to directly support renewals.

Since the appointment of the Vetting Manager there has been significant reductions in the backlog of expired vetting clearances. In September 2022, it was reported to the Chief Officer Team (COT) that there were 2,558 expired vetting clearances outstanding, which has been reduced significantly to the current position of 433 as of 12 September 2023. The breakdown of the 433 expired clearances is as follows:

- Four UKSV (United Kingdom Security Vetting);
- 20 MV (Management Vetting);
- 64 RV (Recruitment Vetting);
- Six NPPV (Non-Police Personnel Vetting) Level 3 vetting;
- 256 NPPV Level 2 vetting; and
- 83 NPPV Level 1 vetting.

The Force operates in line with the College of Policing APP Vetting and Code of Practice for Vetting and all testing has been carried out to assess compliance with these requirements. As part of our sample testing, we have considered Non-Police Personnel Vetting (NPPV) Levels 1, 2 and 3, Recruitment Vetting (RV) and Management Vetting (MV).

Conclusion

Since the previous RSM audit, the new Vetting Manager and the Vetting Supervisor have spent the last nine months reviewing and implementing the actions agreed by RSM and the HMICFRS recommendations raised as part of the inspection into the effectiveness of vetting and counter-corruption arrangements in Cleveland Police, in which the Force was rated as 'adequate'.

Management has significantly reduced the level of expired and outstanding vetting applications, and has implemented a robust control framework to ensure all necessary checks are completed as required and evidence retained on file. Due to the high risk nature of vetting, the Vetting Manager reports on a fortnightly basis to the COT with a rolling report on vetting performance.

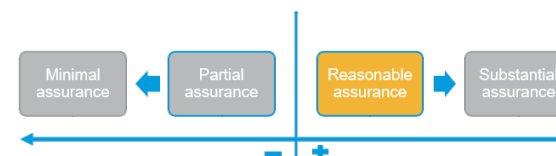
We identified three areas of weakness as a result of our review. Firstly, we noted for one of the 20 samples assessed for NPPV clearances that evidence of identification checks carried out was not retained on the CoreVet system, which risks checks not being carried out in line with requirements. Secondly, we identified that the previous Vetting Manager carried out six monthly checks on access to the CoreVet system to ensure access is appropriately restricted; however, we were unable to obtain evidence to support these checks as these were carried out by the previous manager. From our sampling, we identified two instances where read only access was granted for two individuals, whose roles do not require access to the CoreVet system. Lastly, we noted that for three volunteers from a sample of 10 that identification documents were not stored on the CoreVet system, as the initial vetting clearance was granted prior to the CoreVet system being introduced.

As a result of our review we have agreed **three medium** priority management actions.

Internal audit opinion:

Taking account of the issues identified, the Police and Crime Commissioner for Cleveland and the Chief Constable of Cleveland can take **reasonable assurance** that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied and effective.

However, we have identified issues that need to be addressed in order to ensure that the control framework is effective in managing the identified risk.



Key findings

We identified the following exceptions resulting in three medium priority actions being agreed:



NPPV - all levels

We tested a sample of 20 NPPV cleared individuals in the last 12 months in line with the stipulated checks in the APP Vetting Guidance and identified the following discrepancy:

- In one case there was no evidence retained on file to confirm identity and proof of address in line with the nationality and residency checks.

Without appropriate supporting evidence retained on file for nationality and residency checks, we cannot confirm whether the individual identified has had identity checks carried out in the APP Vetting Guidance. There is therefore a risk of clearance being granted inappropriately and non-compliance with the APP Vetting Guidance and Vetting Code of Practice. **(Medium)**



Volunteers

For a sample of 10 current volunteers, we reviewed the CoreVet system to confirm that volunteers were vetted in line with the NPPV Level 2 full clearance requirements. For three of the samples, we noted that evidence to support identification checks was not retained on the CoreVet system, although there was clear rationale on the system to confirm vetting status. This is due to identification checks being carried out in 2018, prior to the introduction of the CoreVet system. For renewals, the Vetting Team would necessarily request additional copies of identification documents.

The Force Vetting Manager reviewed each case and noted two instances where the volunteers have not volunteered since 2022, and vetting clearance should be withdrawn. The Force Vetting Manager has requested an audit be completed of the vetting status for all volunteers. In the final case, it has been requested that the identification documentations be added to the CoreVet file.

Without adequate audit trail to support full checks for volunteers, there is a risk that checks have not been carried out in line with APP Vetting Guidance. There is a further risk if volunteer records are not regularly reviewed that vetting status may be in place for individuals who do not require clearance. **(Medium)**



Access to CoreVet

We sample tested 10 users who currently have access to the CoreVet system to confirm the correct permissions were granted based on their role and the Vetting Supervisor has agreed their access.

For the sample of 10, we confirmed eight of the users had appropriate access relevant to their role and this was agreed by the Vetting Supervisor. In the remaining two cases the individuals had read only access to CoreVet; however, the Vetting Supervisor confirmed neither needed access to the system for the roles they are currently undertaking. The Vetting Supervisor confirmed these access concerns would have been picked up as part of the six monthly checks, scheduled for October 2023.

The Force risks users having access to data and information, which is highly classified on the CoreVet system that is not / no longer required for their current role. **(Medium)**

Our audit review identified that the following controls are suitably designed, consistently applied, and are operating effectively:

New starters



We tested a sample of 10 new starters (three requiring MV clearance and seven requiring RV clearance) and confirmed a clear decision outcome was recorded on the CoreVet system. We confirmed for six of the samples a clear rationale was recorded on the system, in the remaining four cases the applications were submitted before the HMICFRS requirement for rationale to be documented (required from November 2022). History checks have been undertaken for all 10 samples, using Police National Computer (PNC) and Police National Database (PND) and the results are recorded within the CoreVet system. We found supporting documentation for all 10 samples, including identity and proof of address. Evidence was available for all 10 samples to confirm the level of clearance required for the role was correct. For all 10 samples we confirmed a full and clear audit trail was available and up to date, and complied with the requirements of the APP Vetting Guidance.

National Decision Model



In the testing completed for NPPV all levels, RV and MV clearances, we noted that rationale documentation was on file, where required based on the changes to the APP Vetting Guidance from November 2022, and the rationale outlined the key considerations to support decisions made. Considerations include how the information has been gathered and what tools have been used, such as, the PNC, PND and Experian checks. A risk assessment is completed based on the results of the checks undertaken and whether any traces have been found, and mitigating controls are considered and documented, where applicable. Consideration is also given to the potential legal impact on the Force if the individual has a prior record. The APP Vetting Guidance also stipulates that all vetting should be reviewed periodically, and requirements for review are clearly recorded in the CoreVet system in line with the level of clearance granted.

We confirmed for all samples under these controls were completed in line with the National Decision Model and evidence of the results can be found within the individual CoreVet record.

Appeals



We tested five appeals within the last 12 months against the appeals policy requirements and confirmed:

- in all five cases, the refusal letter was available and on file;
- for all five appeals, we confirmed the appeal request was raised within the 21-day requirement;
- all five appeals were reviewed and considered by the Superintendent, Directorate of Standards and Ethics (DSE); and
- in four cases we noted that the Superintendent, DSE, decision was made within 28 days. In the remaining case, the Superintendent, DSE, made their decision on 24 December 2022; however, further testing was required to be completed by the Counter Corruption Unit (CCU) and subject to mitigating controls being implemented, provisional clearance was granted.

None of the samples considered included protected characteristics and therefore there was no requirement for the appeal to be considered by the Scrutiny Panel.

Transferees and re-joiners



We confirmed all transferees and re-joiners are required to undertake a full re-vet to ensure their details are current and up to date. We tested the only two re-joiners and only four transferees which were recorded in the last 12 months:

- All six samples had a decision rationale recorded and retained on the CoreVet file. For all six samples all necessary vetting checks were undertaken such as; nationality, residency, Check 7, PNC, PND, Niche, Experian, Pentip and Special Branch. For all six samples we confirmed an email was available on the CoreVet record to outline any prior disciplinary action taken by other Forces.

Vetting reviews



As part of the previous testing completed in earlier controls we have considered vetting reviews are undertaken for NPPV 3 and MV clearance individuals. For the testing completed on NPPV 3 only three individuals have been granted this clearance level in the last 12 months. We

confirmed for all three samples, the first and second reviews were scheduled and recorded on the CoreVet system. For a sample of 10 new starters, three individuals were granted MV clearance. We confirmed for all three individuals had the first and second reviews scheduled and recorded on the CoreVet system.

Communication of change of circumstances



In discussions with the Vetting Researcher, we confirmed for a change of circumstances, officers and staff are required to complete the change of circumstances form which is available via the SharePoint Intranet to declare their personal changes in circumstance. It is the responsibility of officers and staff to declare any changes. In order to ensure all officers and staff are consistently made aware of the requirements to inform the Vetting Team of their personal changes, a quarterly bulletin is issued via the internal news dashboard on the SharePoint Intranet. We noted that the Force is working to strengthen this process further based on the HMICFRS recommendations raised following the inspection (see key finding below).

We discussed with the Vetting Supervisor how the Vetting Team is notified of misconduct or misogyny hearings and the decision outcome, and they confirmed that the Counter Corruption Unit (CCU) has notification flags within the system to identify any current employees that have a disciplinary ongoing. If any indicators are raised, the CCU will inform the Vetting Team via the disclosure.vetting@cleveland.police.uk inbox. From this point the Vetting Team will further investigate alongside intel from the CCU, and we reviewed an example with the Vetting Team to confirm this.

Annual security appraisals



Annual appraisals will only be conducted for Security Check (SC) cleared individuals as per the APP Vetting Guidance. Previously MV cleared individuals were required to undertake the annual security appraisal; however, the Chief Constable made the decision to stop the annual check for MV cleared individuals as this is not a requirement by the College of Policing, and therefore annual reviews have not been added to CoreVet for MV clearance since November 2022. Although, the Vetting Team did state that if an annual review was already scheduled for a date since November 2022 the check will be completed. We have tested a sample of five MV and five SC cleared individuals to confirm if an annual security review has been completed:

- for the five MV cleared individuals we confirmed each had been granted vetting clearance in the last 12 months and two of the individuals were historical renewals where an annual security review was completed, available on file and within the required timeframe. In the remaining three cases we noted no annual security review was required, alternatively we confirmed the first and second life time reviews were scheduled and recorded on CoreVet; and
- for the five SC cleared individuals we confirmed each had been granted vetting clearance in the last 12 months and one of the individual's annual security review's had been completed and evidence was available and retained on CoreVet.

In the remaining four cases we noted, the individuals had not been vetted for at least 12 months therefore the annual security appraisal was not completed yet, but we confirmed they were scheduled in the system at the appropriate time.



Performance Measures

We obtained the latest vetting performance report presented to the COT on 12 September 2023 and confirmed the report is a rolling dashboard, which is completed on a fortnightly basis to show the bi-weekly current position to allow oversight of the reductions and increases in demand. In addition to the dashboard, the Vetting Manager also includes specific updates on: resourcing and current vacancies, performance, renewals, dip sampling, and the Acro project.



HMICFRS inspection

We obtained the latest update provided to the National Police Chief Council (NPCC) in August 2023 by the Inspector of the Assurance Team and noted of the 33 recommendations raised, 27 have been implemented (green), two recommendations are likely to be implemented by deadline (amber), four recommendations will not be implemented by deadline (red).

Of the two amber recommendations we noted:

- #23998: For MV posts, an assessment with HR and vetting will be undertaken to determine vulnerability and to determine whether MV is the correct level of clearance required as per job description.
- #24086: The Force will now consider the PND and PNC as part of the routine checks for vetting clearance.

Of the four red recommendations we noted:

- #8: The Equality, Diversity and Inclusion Team will compile weekly reports on vetting data such as age, gender, ethnicity and other characteristics to the Chief Constable.
- #24043: All officers and staff are made aware of the requirements to report any changes of personal circumstances to allow the Vetting Team to determine the impact on the individual's vetting status.
- #24881: Robust process in place to complete annual health checks for officers and staff.
- #24967: Linking Force vetting system and HR IT system to allow data to be transferable.

For the outstanding actions, the Force is awaiting a further update to the APP Vetting Guidance, which is expected later in 2023 and to confirm the requirements with HMICFRS. These actions are all ongoing.



New requirements by the College of Policing

As part of the recommendations made within the HMICFRS report, the Force reported they had carried out the following:

- The Vetting Manager has raised a business case for five new members for the Vetting Team to support the demand and backlog to allow the team to have capacity and capability to complete vetting requirements to the agreed timeframe; and

- Transferees and re-joiners go through a full re-vet to ensure the checks and traces are current and up to date. For any transferees, an additional check is completed, and they will email the previous Force to identify if there is any previous or current misconduct or misogyny hearings for the individual.

Although the Force is currently working through their own recommendations from HMICFRS, they cannot implement the recommendations or improvements in the HMICFRS report for inspection of vetting, misconduct, and misogyny in the police service until the College of Policing publish the updated APP Vetting Guidance as they are governed by this protocol.

Acro project



The Force has a service level agreement with Acro to complete vetting checks on behalf of the Force. This is being used as a national pilot and the Acro project progress and performance is being reported to the COT. To date, there has been 87 submissions to Acro for vetting checks to support applications, of which 26 have been returned to the Force and the applications are in the process of being reviewed. Three individuals have received their full clearance and we tested all three samples, and noted the following:

- for all three applicants, the vetting request form was submitted and returned within the agreed 14 working day timescales;
- for all three applicants, we confirmed the results recorded on the vetting request form were accurately updated in the CoreVet system;
- in all three cases, the vetting request form was uploaded and retained on each individual record in CoreVet.

The project went live in July 2023 and we note that the Force is reviewing the progress and performance of the project on an ongoing basis. As part of the fortnightly reporting to COT, the Vetting Manager provides progress updates on how the Acro project is currently working within the team and any lessons learnt from applications completed. The service level agreement expiry is dated August 2024, and a decision will be made nationally following the feedback from the Force on whether the project has worked effectively to support national vetting resources.

When completing our audit, we encountered the following limitation:



Data analysis – expiry / renewals

We completed a walkthrough of the CoreVet system to confirm how renewals are identified. In discussion with the Vetting Supervisor, we confirmed that although the team actively reports on the numbers of renewals and expiry dates, they do not have the current functionality within the CoreVet system to review renewals before their expiry date on an individual basis due to system limitations. We were therefore unable to obtain a report which shows all vetting clearances per individual, with the relevant expiry or required renewal dates, meaning we were unable to complete the intended analysis.

However, as of September 2023, there are currently 433 expired clearances in comparison 2,558 outstanding in September 2022.

The Vetting Supervisor advised that reporting functionality will be available within CoreVet 5, which is due to be rolled out within the Force as of October 2023.

2. DETAILED FINDINGS AND ACTIONS

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.

Risk: Vetting (Risk Reference 1724)			
Control	For all non-police personnel vetting (NPPV) (regardless of level), residency checks, PNC and PND checks, credit checks and background checks are completed.	Assessment:	
	All NPPV 3 requires an annual vetting review.	Design	✓
	All NPPV vetting requires approval from an authentication sponsor.	Compliance	×
	A clear rationale is recorded on CoreVet in line with HMICFRS requirements (from November 2022).		
	Supporting evidence should be retained on file for the individual.		
Findings / Implications	<p>As part of the sample testing, we have considered all NPPV levels to confirm the individuals in the sample have the following documented on CoreVet in line with the policy:</p> <ul style="list-style-type: none"> the decision outcome and rationale recorded within the CoreVet record; nationality checks and all checkable history has been completed and documented, and results recorded in the system; supporting evidence (such as passport, driving licence, proof of address) is on file; level of clearance is correct with position and role; evidence of sponsor is in place, where applicable; an audit trail can be seen on file and is up to date; and for NPPV 3, an annual vetting review is undertaken or scheduled. <p>We tested a sample of 20 applications within the last 12 months for NPPV clearance, which were categorised as; five NPPV 1, one NPPV 2 abbreviated refused, one NPPV 2 full refused, five NPPV 2 abbreviated cleared, five NPPV 2 full cleared, and three NPPV 3.</p> <p>We identified the following:</p> <ul style="list-style-type: none"> for all 20 samples we confirmed a clear decision outcome was recorded and available on CoreVet, and in two cases (as referred to in sample selection above) the vetting applications were refused. In nine cases, we confirmed a rationale was available to support the decision outcome and this was recorded and available on the system. In 11 cases, we noted the individuals' applications were submitted before the HMICFRS rationale requirement was introduced in November 2022. we confirmed for 19 of the samples, appropriate evidence was on file to confirm nationality and residency checks. In the remaining case, there was no evidence on the CoreVet record to confirm these checks had been completed to support the application for NPPV 2 full clearance; 		

Risk: Vetting (Risk Reference 1724)

- in all 20 cases, we confirmed address history checks were completed and evidence was available and retained on file;
- for 19 cases, we confirmed supporting evidence was retained to confirm identity and proof of address in line with the nationality and residency checks. In the remaining case, no evidence was available on file and the individual was granted NPPV 2 clearance;
- in all 20 cases, the Vetting Supervisor confirmed the vetting level and clearance was appropriate for the position;
- within the evidence file on CoreVet, we confirmed all 20 samples had confirmation of authorisation from their sponsor to commence the vetting checks;
- in all 20 cases, we confirmed the audit trail was available and up to date and excluding the sample missing the ID checks, all evidence was on file of checks completed in line with vetting guidance; and
- for the three NPPV 3 cleared individuals in the sample, we confirmed the annual vetting review is scheduled on CoreVet.

We noted from the accumulation of days between the application being submitted and completed that the timeframes to complete some applications were significantly large, and some individuals waited over 12 months before a vetting decision has been made. We discussed this with the Vetting Researcher and confirmed the team had a backlog from 2022 to complete, which was raised on last year's RSM Vetting report. In addition, the Vetting Team had outstanding priority vetting requested for internal applicants from the HR Team, which has added to resource requirements. As highlighted previously within the report, the Vetting Team has significantly reduced the backlog and therefore we have not raised a further management action.

Without appropriate supporting evidence retained on file for nationality and residency checks, we cannot confirm that the individual identified has undertaken the sufficient checks outlined in the APP Vetting Guidance, which risks the individual being granted clearance when they have not conducted or retained the necessary information outlined in the APP. This could potentially risk non-compliance with the College of Policing APP vetting requirements.

Management Action 1	The Force will undertake a dip sampling exercise on cleared applicants to identify if there are consistent issues where supporting evidence has not been uploaded or retained on CoreVet as per the APP guidance.	Responsible Owner: Vetting Manager	Date: 31 March 2024	Priority: Medium
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Risk: Vetting (Risk Reference 1724)

Control	<p>All volunteers are vetted to NPPV 2 full level vetting.</p> <p>Residency checks, PNC and PND checks, credit checks and background checks are completed for all volunteers.</p> <p>A clear rationale is recorded on CoreVet in line with HMICFRS requirements.</p>	<p>Assessment:</p> <p>Design ✓</p> <p>Compliance ×</p>
Findings / Implications	<p>As outlined in the APP Vetting guidance, those who are volunteering to support the Force are required to hold clearance at NPPV level 2. The guidance states the following checks should be considered for volunteers as a minimum requirement. We have tested the following in line with the policy:</p> <ul style="list-style-type: none"> • vetting has been completed to an appropriate level; • a clear outcome and rationale had been recorded; • nationality/residency checks have been completed; • checkable history has been documented; and • supporting evidence is on file and an audit trail is available. <p>We tested a sample of 10 volunteers and identified the following:</p> <ul style="list-style-type: none"> • for all 10 samples, the Vetting Manager and Sponsor agreed the level of clearance was appropriate for the post; • in 10 cases, we confirmed a clear decision outcome was recorded on the CoreVet system. For five samples, we confirmed an appropriate rationale had been recorded to support the outcome and in the remaining five cases, the applications were submitted before the HMICFRS requirements to document the rationale was introduced; and • for seven of the samples, we confirmed nationality and residency checks were completed and evidence to support these were on file. In the remaining three cases, the vetting checks were completed pre-CoreVet system on paper-based documents and we were unable to access support for these checks. The audit trail on these cases was also not as complete as those managed solely through the CoreVet system. <p>We queried these cases with the Force Vetting Manager who informed us that two of the individuals have not volunteered at the Force since 2022, and therefore both records should be marked as withdrawn. The last vetting clearance reviews for these individuals were completed in 2018 and 2019. In the third case, the clearance for this individual was last reviewed in March 2019, and the Force Vetting Manager has requested that evidence of identification be attached to the CoreVet system as the individual is still a current volunteer. Where reviews are completed, the Force does not typically request ID to be re-submitted, unless required, and the supporting evidence of these checks is not always uploaded onto the CoreVet system.</p> <p>The Force Vetting Manager explained that they intend to link with the Citizens in Policing Coordinator moving forward and request an audit of volunteer activity to identify any volunteers who have been inactive for over 12 months. Following the principles of 're-joiners' set out</p>	

Risk: Vetting (Risk Reference 1724)

within the Code of Practice on Vetting (2023), it would be expected that an integrity health check would be completed, or vetting withdrawn altogether, dependent on the information available to confirm whether the individual is a current volunteer.

Where evidence to support historic volunteer records is not fully retained on the CoreVet system or volunteers are inactive, there is a risk that vetting status could be granted to individuals who do not require clearance and a full audit trail may not be available to support decisions made.

Management Action 2		Responsible Owner:	Date:	Priority:
The Force Vetting Manager will instruct a volunteer vetting audit to be conducted in conjunction with the Citizens in Policing Coordinator to confirm that volunteers remain active and vetting clearance is still required. This audit will be kept under review and conducted at least annually to ensure regular review.		Force Vetting Manager Citizens in Policing Coordinator	30 November 2023	Medium
Decisions in respect of vetting status will be made in line with the 're-joiners' section within the Code of Practice on Vetting.				
For any current volunteers, it is recommended that the Force attach evidence of identification to the CoreVet system to ensure adequate audit trail is retained.				

Risk: Vetting (Risk Reference 1724)

Control	Only officers and staff who require access to the CoreVet system as part of their job role have access to the system. The Vetting Team undertakes six monthly reviews on user access to determine whether individual access is appropriate.	Assessment:		
		Design	✓	
		Compliance	×	
Findings / Implications	<p>We confirmed that the Vetting Supervisor reviews CoreVet access every six months and undertakes a rationale review to confirm whether it is still appropriate for the user to have access. However, the previous Vetting Supervisor completed these audits, and no evidence has been retained due to their departure from the Force. However, the new Vetting Supervisor has taken over the six monthly checks and will be completing the first review in October 2023.</p> <p>In discussions with the Vetting Manager, we considered the access process and whether anyone on the list provided did not need access to CoreVet and they advised there are likely individuals who have changed roles which require their access to be revoked. We noted there are only two system access options; read only and admin. We confirmed the process previously completed was for the Vetting Supervisor to email all current users (aside from the Vetting Team) to confirm the rationale for their access to the CoreVet system. If they deemed the rationale to be in accordance with the individual's role, then access will remain intact, if not then the user's access will be revoked.</p> <p>We obtained the current user list which included 64 individuals and sample tested 10 users who currently have access to the CoreVet system to confirm the correct permissions per their role and that the Vetting Supervisor agrees with their access.</p> <p>For the sample of 10, we confirmed eight of the users had appropriate access relevant to their role and this was agreed by the Vetting Supervisor, in the remaining two cases the individuals had read only access to CoreVet; however, the Vetting Supervisor confirmed neither needed access to the system for the roles they are currently undertaking. The Vetting Supervisor confirmed these access concerns would be picked up in the next audit, which is scheduled for October 2023.</p> <p>Without appropriate evidence of rationale on file, the Force risks any current users having unnecessary access to data and information which is highly classified and could potentially be used inappropriately if access is given without justification. Without audit evidence on file the Force cannot confirm they have periodically reviewed user access to CoreVet to ensure it is appropriate.</p>			
Management Action 3	<p>The Force will ensure audit evidence such as rationale is retained to confirm they have appropriately reviewed the access to the CoreVet system and confirmed the users are appropriate.</p> <p>Upon completion of the audits, evidence retained will be stored centrally.</p>	Responsible Owner: Vetting Supervisor	Date: 30 November 2023	Priority: Medium

APPENDIX A: CATEGORISATION OF FINDINGS

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 following table highlights the number and categories of management actions made as a result of this audit.

Risk	Control design not effective*	Non Compliance with controls*	Agreed actions		
			Low	Medium	High
Vetting (Risk Reference 1724)	0 (14)	3 (14)	0	3	0
Total			0	3	0

* 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.

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We thank you again for working with us.

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