



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

Follow Up of Previous Internal Audit Management Actions: Visit 2

FINAL Internal Audit Report: 7.24/25

7 March 2025

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# AUDIT OUTCOME OVERVIEW

The overview of our findings is detailed below.

## Conclusion:

We have undertaken a review to follow up on progress made to implement the previously agreed management actions from the following audits:

- Health and Safety (7.23/24);
- Victims' Code (9.23/24);
- Performance and Capability Management (13.23/24); and
- Select Key IT Security Controls (14.23/24).

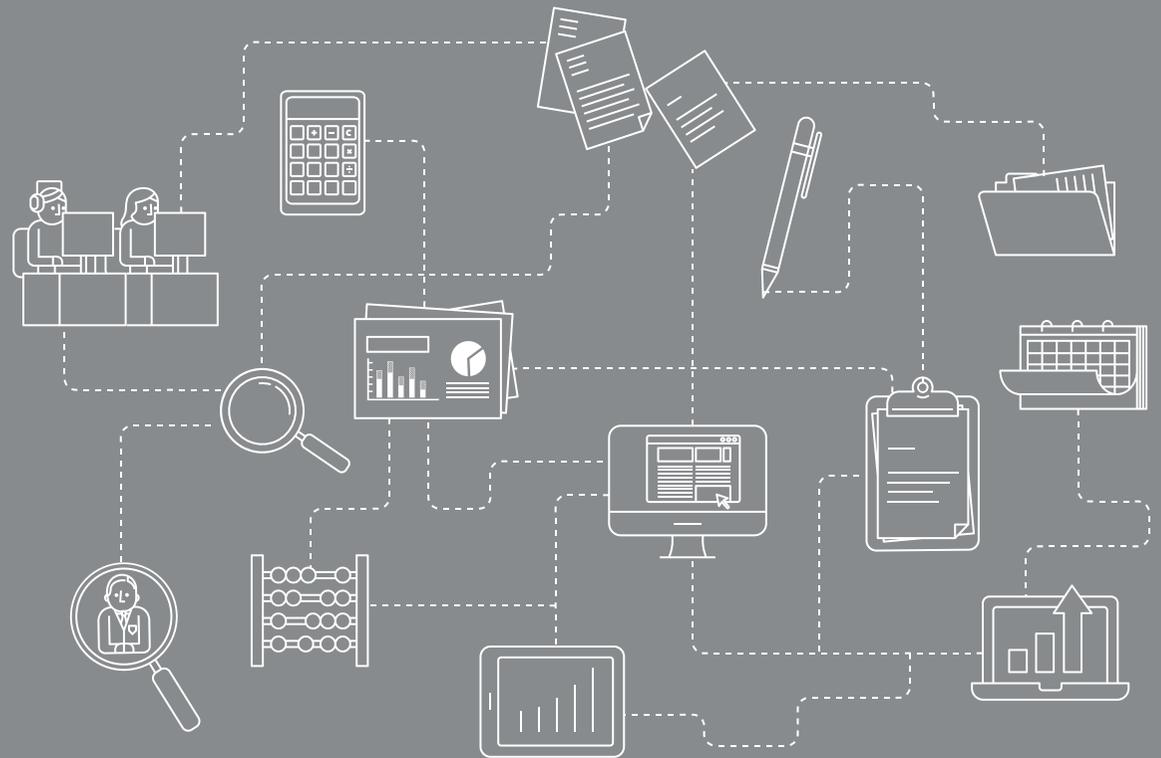
We have considered one low priority, 15 medium priority and two high priority actions agreed within the above reports. We initially agreed to review six actions from the Select Key IT Security Controls (14.23/24) report as part of this audit. However, due to the availability of staff and the upcoming Information Commissioner's Office audit, we agreed with management that we would not cover four of these actions.

Taking account of the issues identified in the remainder of the report and in line with our definitions set out in Appendix A, in our opinion the Force has demonstrated **good progress** in implementing agreed management actions.

Of the actions considered, 16 actions have been fully implemented and two have been superseded.

# Summary of Action Status

01



## SUMMARY OF PROGRESS ON ACTIONS

The following table includes details of the status of each management action:

Report	Status of management actions					
	Number of actions agreed	Implemented	Partly implemented	Not implemented	Superseded	Implemented or superseded
Health and Safety (7.23/24)	1	1	0	0	0	1
Victims' Code (9.23/24)	7	6	0	0	1	7
Performance and Capability Management (13.23/24)	8	7	0	0	1	8
Select Key IT Security Controls (14.23/24)	2	2	0	0	0	2
<b>Total</b>	<b>18</b> <b>(100%)</b>	<b>16</b> <b>(89%)</b>	<b>0</b> <b>(0%)</b>	<b>0</b> <b>(0%)</b>	<b>2</b> <b>(11%)</b>	<b>18</b> <b>100%</b>

# Detailed Findings and Actions

# 02



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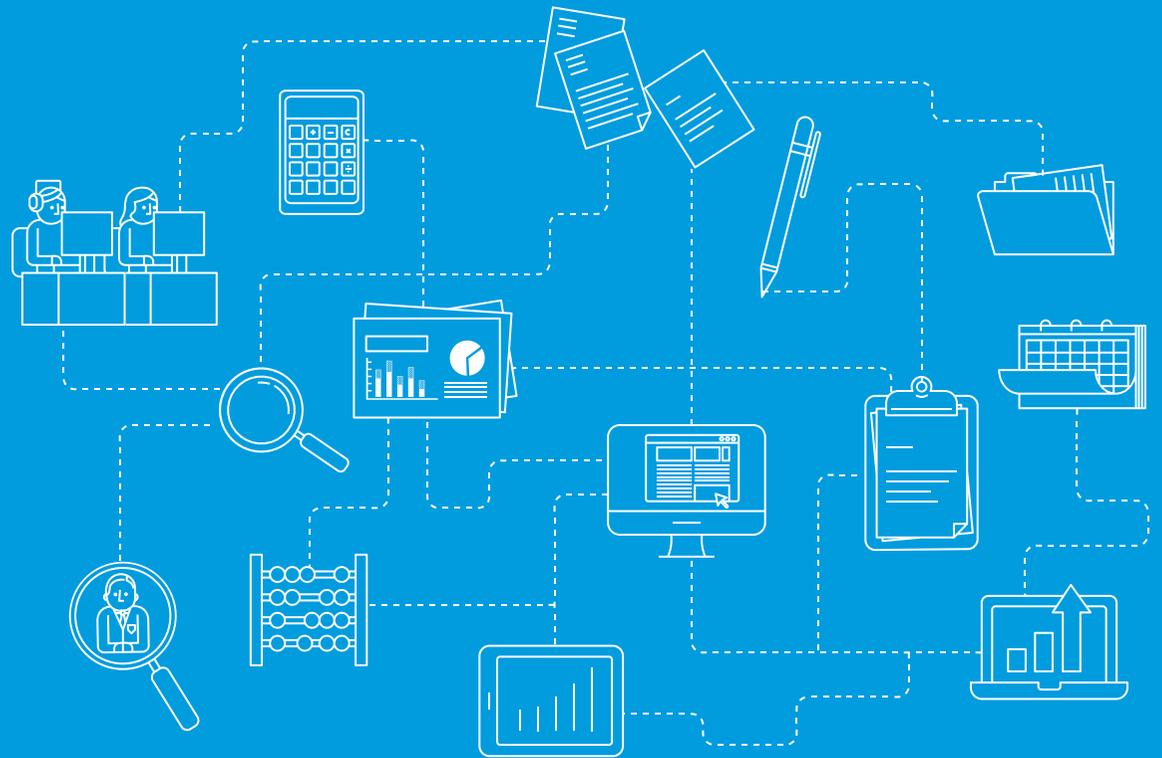
## FINDINGS AND MANAGEMENT ACTIONS

Status	Detail
1	The entire action has been fully implemented.
2	The action has been partly though not yet fully implemented.
3	The action has not been implemented.
4	The action has been superseded and is no longer applicable.
5	The action is not yet due.

As per the conclusion, all actions have been marked as implemented or superseded and no further actions have been agreed.

# Appendices

# 03



## APPENDIX A: DEFINITIONS FOR PROGRESS MADE

The following opinions are given on the progress made in implementing actions. This opinion relates solely to the implementation of those actions followed up and does not reflect an opinion on the entire control environment.

Progress in implementing actions	Overall number of actions fully implemented	Consideration of high priority actions	Consideration of medium priority actions	Consideration of low priority actions
Good	75% +	None outstanding.	None outstanding.	All low actions outstanding are in the process of being implemented.
Reasonable	51 – 75%	None outstanding.	75% of medium actions made are in the process of being implemented.	75% of low actions made are in the process of being implemented.
Little	30 – 50%	All high actions outstanding are in the process of being implemented.	50% of medium actions made are in the process of being implemented.	50% of low actions made are in the process of being implemented.
Poor	< 30%	Unsatisfactory progress has been made to implement high priority actions.	Unsatisfactory progress has been made to implement medium actions.	Unsatisfactory progress has been made to implement low actions.

## APPENDIX B: ACTIONS COMPLETED OR SUPERSEDED

From the testing conducted during this review we have found the following actions to have been fully implemented or superseded.

Assignment title	Details of management action or suggestion
<b>Management Actions</b>	
Health and Safety (7.23/24)	<p>Status: <b>Implemented</b></p> <p>Given the resource limitations of the Health and Safety Team, the Force will review how it obtains assurance on the completion of actions identified in the Health and Safety Inspection and Fire Risk Assessment Reports and also obtains assurance on the safety of drop-in buildings. A risk-based approach would be recommended.</p> <p>Priority: <b>Medium</b></p>
Victims' Code (9.23/24)	<p>Status: <b>Implemented</b></p> <p>The Force Victims Lead will work with the developers of Niche to understand how the victim of crime booklet section can be bypassed and how this can be rectified. Once this issue has been addressed, the Force will continue to monitor this through the monthly audit inspections and ensure the fields are mandatory.</p> <p>Priority: <b>Medium</b></p>
Victims' Code (9.23/24)	<p>Status: <b>Implemented</b></p> <p>The Force will ensure that the victims' code module on Niche is completed for all crimes with a victim. This will be supported through a variety of measures:</p> <ul style="list-style-type: none"><li>• the Power Bi dashboard and Inspectors' audits will continue to be used to identify instances where an officer is not completing the victims' code module.</li><li>• any exceptions will be discussed with the relevant officer or staff member to ensure they are aware of their responsibilities.</li><li>• any themes or trends identified will be raised and discussed with the Victim and Witness Group. This includes identifying specific teams that are less likely to be completing the victims' code module; and</li><li>• the Force will hold a series of training days to appropriately educate officers and staff. Whilst this will not exclusively cover the victims' code module, it will be included.</li></ul> <p>Priority: <b>High</b></p>

Assignment title	Details of management action or suggestion
Victims' Code (9.23/24)	<p>Status: <b>Implemented</b></p> <p>The Force Victims Lead will work with the Force's Corporate Communications Department to agree a series of internal communications to remind officers and staff of their requirement with regards to the Victims' Code. This will include:</p> <ul style="list-style-type: none"> <li>• the requirement to fully complete the victims' code module on Niche;</li> <li>• that the victims' code module should be completed when an officer is the victim;</li> <li>• the victim being contacted at the agreed contact frequency; and</li> <li>• victims being contacted at the relevant trigger points.</li> </ul> <p>Priority: <b>High</b></p>
Victims' Code (9.23/24)	<p>Status: <b>Implemented</b></p> <p>The Force will ensure all officers are recording a proportional contact frequency with victims and that this is adhered to. Where officers are not able to contact the victim at the required frequency, appropriate rationale will be documented to explain this. As well as contacting victims at the agreed frequency, officers will also ensure contact is made at each of the agreed trigger points (such as arrest and charge). This action will be supported by the measures identified in management action two and three (579, 580).</p> <p>Priority: <b>Medium</b></p>
Victims' Code (9.23/24)	<p>Status: <b>Implemented</b></p> <p>The Force will work with the developers of Niche to identify any potential opportunities for recording data regarding the victim personal statement (VPS). In particular, this will be reviewed alongside the upcoming KPIs to ensure any options are in line with proposed performance metrics.</p> <p>Priority: <b>Low</b></p>
Victims' Code (9.23/24)	<p>Status: <b>Implemented</b></p> <p>The Witness Care Unit will ensure victims are contacted in a timely manner after each of the relevant stages within the court process. This will include consideration for victims that may require enhanced needs. As well as this, the new monitoring form will be introduced to better track performance metrics and ensure the correct details are recorded.</p> <p>Priority: <b>Medium</b></p>

Assignment title	Details of management action or suggestion
Victims' Code (9.23/24)	<p>Status: <b>Superseded</b></p> <p>The Force will ensure that victim needs assessments are completed and that this is done so in a timely manner. Officers will also be reminded of the importance of identifying whether the victim is entitled to enhanced needs and ensuring an initial update is provided within 24 hours.</p> <p>This action will be supported by the measures identified in management actions two and three (579,580).</p> <p>Priority: <b>Medium</b></p>
Performance and Capability Management (13.23/24)	<p>Status: <b>Implemented</b></p> <p>A register of pre-induction whereby officers are required to sign in will be retained. Documentation, including declarations, will be signed in a timely manner, scanned and sent to the HR Team for storage.</p> <p>Priority: <b>Medium</b></p>
Performance and Capability Management (13.23/24)	<p>Status: <b>Superseded</b></p> <p>We will review the PDR system in place and consider how to improve the data integrity of PDR completion, ensuring that it is fit for purpose and allows mitigating controls to be implemented to identify the failures in the system.</p> <p>Priority: <b>Medium</b></p>
Performance and Capability Management (13.23/24)	<p>Status: <b>Implemented</b></p> <p>The results of this audit will be presented to an appropriate Board to ensure they have oversight of the findings and agree a way forward to ensure the wider Force are embedding the PDR process and to highlight the importance of why the PDR process should be completed.</p> <p>Priority: <b>Medium</b></p>
Performance and Capability Management (13.23/24)	<p>Status: <b>Implemented</b></p> <p>The Force will consider the quality of SMART objectives within the e-PDR system and based on the findings escalate to the Strategic Workforce Planning Board.</p> <p>Priority: <b>Medium</b></p>
Performance and Capability Management (13.23/24)	<p>Status: <b>Implemented</b></p>

Assignment title	Details of management action or suggestion
	<p>The Force will have a Force-wide roll out plan of performance and potential calibration ensuring consistency and fairness of performance and potential ratings.</p> <p>Priority: <b>Medium</b></p>
<p>Performance and Capability Management (13.23/24)</p>	<p>Status: <b>Implemented</b></p> <p>The Force will develop guidance outlining the process if an officer's overall end of year rating falls below 4, with suggestions on how to support and resolve underperformance.</p> <p>Priority: <b>Medium</b></p>
<p>Performance and Capability Management (13.23/24)</p>	<p>Status: <b>Implemented</b></p> <p>All live UPP cases will be reviewed against the defined policy and procedure to assess whether they are completed as required. Where identification of incorrect procedures being followed, officers will be provided training on the UPP process.</p> <p>Priority: <b>Medium</b></p>
<p>Performance and Capability Management (13.23/24)</p>	<p>Status: <b>Implemented</b></p> <p>The Strategic Workforce Planning Board will undertake an annual review of the PDR process to identify lessons learnt and to ensure the current process is effective and identify development areas.</p> <p>The Force will review the current process, system, and the integration of both to understand where there are opportunities to develop and identify any lessons to be learned.</p> <p>Priority: <b>Medium</b></p>
<p>Select Key IT Security Controls (14.23/24)</p>	<p>Status: <b>Implemented</b></p> <p>Management will ensure that processes for third-party access control have been documented.</p> <p>Priority: <b>Medium</b></p>
<p>Select Key IT Security Controls (14.23/24)</p>	<p>Status: <b>Implemented</b></p> <p>Management will include vulnerability scanning processes within the ICT Infrastructure Information Security Expectations document.</p> <p>Priority: <b>Medium</b></p>

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<b>Debrief held</b>	21 February 2025
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<b>Responses received</b>	7 March 2025

<b>Final report issued</b>	7 March 2025
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