



Open Session - Internal Audit Update Report for the Audit Committee June 2025

This document has been prepared for the Audit Committee to provide a status update in relation to the Force’s actions arising from Internal Audit Inspections.

The current Force register includes 14 recommendations, with the oldest having been issued in June 2024. The table below provides a ‘quick’ summary of the live actions:

Report	High Priority	Medium Priority	Low Priority	Comment
ICT Security Controls		2 (2)	3 (3)	All actions identified as complete, awaiting review by RSM
Payroll			3 (3)	All actions identified as complete, awaiting review by RSM
Business Continuity		1	1 (1)	1 action identified as complete, awaiting review by RSM, the remaining action remains ongoing – working with other forces to identify the best method for testing cycles
Data Protection		2		Both actions being progressed
HR Medical Retirements			2 (1)	New actions 1 already identified as complete.
Total		5 (2)	9 (8)	

(*) numbers in brackets represent actions identified as complete by the Force, awaiting RSM Follow-up review.

Of the 14 recommendations 10 have been identified, so far, as complete by the Force; as these have to be signed off by the auditors, they will remain on the action plan as “Closed locally awaiting sign off” until this is fulfilled.

The remaining live actions continue to be monitored, with regular updates provided by their owners.

The action plan below provides further details of the ‘live’ actions with status updates from the action owners.

It should be noted that the RAG (Red, Amber and Green) rating descriptors have been amended to reflect the completion status of the recommendation. The colour key and other details can be found at the end of the report.

Gill Currie
HMIC Liaison Officer
Cleveland Police

Summary of All Outstanding Internal Audit Recommendations – Oldest Implementation Date First

No.	Report	Action Owner	Management Action	Implementation Date		Action Progress	Delivery Group	Status
				Original	Revised			
607	Select Key IT Security Controls 2024	Information Security Manager	Management will adequately track the status of findings from the penetration tests and vulnerability scans findings to ensure timely remediation of vulnerabilities and ensure that adequate tooling is utilised to track all vulnerabilities to remediation. (Medium)	30 September 2024	Complete	<p>Responsible Owner – Phil Brooke Delivery Lead – as above</p> <p>Report Published June 2024 Presented to Audit Committee June 2024</p> <p><u>Update July 2024</u> The flow chart, provided as evidence, shows a series of destinations for issues, including Cireson, the ISMS task list and the SecOps issues list. The latter is particularly important as it collates cross-team issues.</p> <p>Action Complete</p>	DDAC	
610	Select Key IT Security Controls 2024	Information Security Manager via DDAC	Management will implement processes to ensure relevant buy-in from management responsible for ensuring staff completion of information security training. (Medium)	31 October 2024	Complete	<p>Responsible Owner – Phil Brooke Delivery Lead – as above</p> <p>Report Published June 2024 Presented to Audit Committee June 2024</p> <p><u>Update October 2024</u> Reporting is now regularly via (1) monthly report from Infosec to H/DDaT and (2) from IMU to DDaC. This shows measurement. There is a task item in the ISMS to repeatedly push messaging. This will be an ongoing matter. ISMS ticket PEP66FGD is on a weekly-repeat to consider messaging options that week and push out relevant messages. This now falls into business as usual.</p> <p>Action Complete</p>	DDAC	
611	Select Key IT Security Controls 2024	Information Security Manager	Management will ensure that that incident trend tracking processes are implemented to allow for process improvements, this should include the collation, tracking, and analysis of incident data. (Low)	30 September 2024	Complete	<p>Responsible Owner – Phil Brooke Delivery Lead – as above</p> <p>Report Published June 2024 Presented to Audit Committee June 2024</p> <p><u>Update October 2024</u> The Force is making progress. The number of incidents has reduced to 78 incidents opened before October 2024, from 150 in early September. Completion anticipated by end November.</p> <p>Action Complete</p>	DDAC	
612	Select Key IT Security Controls 2024	Head of ICT Services and Operations	Management will actively track and monitor non-network connected assets as part of the asset management programme. Management will determine which assets to formally track (e.g. monitors) and which are to be classed as consumables (e.g. keyboards and mice). (Low)	31 October 2024	Complete	<p>Responsible Owner – Phil Brooke Delivery Lead – as above</p> <p>Report Published June 2024 Presented to Audit Committee June 2024</p> <p><u>Update October 2024</u> Recommended for CLOSURE at DDaC in October 2024. Rationale: “tracking of some particular assets (e.g., monitors) will now be via Vivatrack, facilitated by ICT Support colleagues. This work has started.” It is essentially business-as-usual for the ICT Support team.</p> <p>Action Complete</p>	DDAC	
613	Select Key IT Security Controls 2024	Information Security Manager	Management will include target due dates for mitigation actions within the Information Security risk register. (Low)	28 February 2025	Complete	<p>Responsible Owner – Phil Brooke Delivery Lead – as above</p> <p>Report Published June 2024 Presented to Audit Committee June 2024</p> <p><u>Update October 2024</u> This work is planned to take place in late November.</p>	DDAC	

Summary of All Outstanding Internal Audit Recommendations – Oldest Implementation Date First

No.	Report	Action Owner	Management Action	Implementation Date		Action Progress	Delivery Group	Status																
				Original	Revised																			
						<p>Update January 2025 All risks on the ISMS risk register have been reviewed. In some cases, these risks have monitoring actions rather than requiring anything specific. 17 risks were closed in the last month following review.</p> <p>At this point in time,</p> <table><tr><td>Risks at report time:</td><td>41</td></tr><tr><td>Risks overdue for review:</td><td>0</td></tr><tr><td>Risks without review date:</td><td>0</td></tr><tr><td>Risks for review <= 1m:</td><td>13</td></tr><tr><td>Risks for review >1m and <=3m:</td><td>10</td></tr><tr><td>Risks for review >3m and <=6m:</td><td>2</td></tr><tr><td>Risks for review >6m and <=1y:</td><td>8</td></tr><tr><td>Risks for review >1y and <=2y:</td><td>8</td></tr></table> <p>The table above is generated daily on the ISMS ticket server (ISMS ticket report), so we have better sight of this.</p> <p>Action Complete</p>	Risks at report time:	41	Risks overdue for review:	0	Risks without review date:	0	Risks for review <= 1m:	13	Risks for review >1m and <=3m:	10	Risks for review >3m and <=6m:	2	Risks for review >6m and <=1y:	8	Risks for review >1y and <=2y:	8		
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614	Key Financial Controls – Payroll 2025	Strategic Finance Manager	The most recent version of the Corporate Governance Framework will be made available via the Police and Crime Commissioner for Cleveland website. (Low)	31 December 2024	Complete	<p>Responsible Owner – Ged Gallagher Delivery Lead – as above</p> <p>Report Published January 2025 Presented to Audit Committee March 2025</p> <p>Update March 2025 The Office of the Police and Crime Commissioner update their website with the latest version of the Corporate Governance Framework following Joint Audit Committees. Screen shots provided as evidence.</p> <p>Action Complete</p>	Strategic Workforce Planning Board																	
615	Key Financial Controls – Payroll 2025	Head of Finance, Accounting and Payroll	Payroll control account reconciliations will be independently reviewed and signed off each month. (Low)	31 December 2024	Complete	<p>Responsible Owner – Ged Gallagher / Bev Cook Delivery Lead – as above</p> <p>Report Published January 2025 Presented to Audit Committee March 2025</p> <p>Update April 2025 Action complete, review report provided as evidence for closure.</p>	Strategic Workforce Planning Board																	
616	Key Financial Controls – Payroll 2025	Resourcing Assistant	New starter information entered on Oracle will be cross checked to ensure all information entered is correct and agrees back to the source documentation for accuracy. (Low)	31 December 2024	Complete	<p>Responsible Owner – Ged Gallagher / Bev Cook Delivery Lead – as above</p> <p>Report Published January 2025 Presented to Audit Committee March 2025</p> <p>Update April 2025 Action complete, review report provided as evidence for closure.</p>	Strategic Workforce Planning Board																	
617	Business Continuity Planning 2025	Business Continuity Manager	Management will ensure that isolated staff not involved in drafting the plans are regularly made aware of their roles and responsibilities for specific elements of the business continuity plan activation process by the Department Heads and this responsibility to be updated in the Force BCP. (Low)	31 March 2025	Complete	<p>Responsible Owner – Graeme Carter Delivery Lead – as above</p> <p>Report Published January 2025 Presented to Audit Committee March 2025</p> <p>Update April 2025 Reminder issued to all BC Leads/Champions to regularly advise staff of their roles in relation to their departments Business Continuity Plans.</p>	Specialist Capabilities Group																	

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				Original	Revised			
						Email provided as evidence. Action Complete		
618	Business Continuity Planning 2025	Business Continuity Manager	The Force will ensure that a full risk-based testing cycle priority list has been completed, including an analysis of all departments. This will include testing cycles for the departments listed and be approved and published on the Force's SharePoint system and shared with Department Heads. (Medium)	30 June 2025	30 September 2025	<p>Responsible Owner – Graeme Carter Delivery Lead – as above</p> <p>Report Published January 2025 Presented to Audit Committee March 2025</p> <p>Update May 2025 The Business Continuity Manager is working with National Business Continuity Leads to help devise an appropriate plan.</p> <p>The Force is in the process of recruiting a dedicated Business Continuity Manager, who will lead on this work. The recruitment is currently at the vetting stage as a higher level of vetting is required.</p>	Specialist Capabilities Group	
619	Data Protection 2025	Information Governance Manager	The Force will investigate the most effective ways to make staff aware of the bi-annual training and improve completion rates. Non completion of training will be monitored and chased to ensure that all staff complete the required training. (Medium)	30 September 2025		<p>Responsible Owner – Simon Walker / Phil Brooke Delivery Lead – as above</p> <p>Report Published January 2025 Presented to Audit Committee March 2025</p> <p>Update May 2025 The training relates to:</p> <ul style="list-style-type: none"> Managing Information (operational or non-operational as appropriate to role) Government security classification <p>This training must be completed at least every two years.</p> <p>Training compliance is a force-wide issue that should be managed by supervisors as part of PDR processes, using the training dashboard as a monitoring resource.</p> <p>The Digital, Data and Change Board (DDaC) continues to receive reports from the Information Management Unit (IMU) on compliance.</p> <p>A review of infosec and data protection training is intended once the teams have sufficient capacity.</p>	Digital, Data and Change Board	
620	Data Protection 2025	Head of Digital Data and Technology	The Force will recruit and employ a permanent DPO with detailed roles and responsibilities. There will also be a Deputy DPO in place to ensure there is enough resource to cover all roles and responsibilities required of a DPO. (Medium)	31 July 2025		<p>Responsible Owner – Simon Walker Delivery Lead – as above</p> <p>Report Published January 2025 Presented to Audit Committee March 2025</p> <p>Update June 2025 The Force will recruit and employ a permanent DPO with detailed roles and responsibilities. There will also be a Deputy DPO in place to ensure there is enough resource to cover all roles and responsibilities required of a DPO.</p> <p>The DPO role has now gone through the relevant HR and grading procedures and is now advertised. Shortlisting will commence in June 2025. In the absence of this the Information Security Manager has deputised as DPO with support from the Head of DDaT to assess incoming work, share where relevant, and where appropriate making evidence-based evidence decisions. We have also assessed where other elements of Information Management Unit work can be redistributed to support the Information Security Manager.</p>	Digital, Data and Change Board	
636	HR: Wellbeing Framework / Medical Retirement	Head of People Operations, Wellbeing Manager	The BLF Action Plan will be reviewed and updated to ensure it accurately reflects the Force's current position. As part of this review, consideration will be made as to the format of the Action Plan to ensure a consistent format is used for each section. (Low)	31 July 2025		<p>Responsible Owner – Emma Doubouni Delivery Lead – Michelle Glenton</p> <p>Report Published May 2025 Presented to Audit Committee June 2025</p> <p>Update June 2025</p>	Strategic Workforce Planning Group	

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				Original	Revised			
						<p>The BLF action plan is currently being updated to have the most accurate data and will also be checked for terminology and gaps in each section which will be updated to ensure consistency.</p> <p>Once this has been updated then a copy of the BLF will be shared as evidence</p>		
637	HR: Wellbeing Framework / Medical Retirement	Head of People Operations, HR Policy Advisor	The Attendance Management Procedure and the supporting process flowchart for EMR will be reviewed and updated to outline that officers are provided with a HR contact as part of the EMR process, and that they can provide guidance and information regarding appeals. (Low)	30 June 2025	Complete	<p>Responsible Owner – Emma Doubouni Delivery Lead – Nadine Smith</p> <p>Report Published May 2025 Presented to Audit Committee June 2025</p> <p>Update June 2025 The attendance management procedure has been updated in the medical retirement section 11.5 appeals process to include the below wording:</p> <p><i>‘A nominated HR representative will be involved in the medical retirement process to provide support and advice to Individuals and Line Managers.</i></p> <p><i>Where an Individual wishes to appeal the decision of the medical practitioner (e.g., they have been advised that they are not suitable for medical retirement), the nominated HR team member will be able to provide guidance and information on the appeals process’</i></p> <p>Medical Retirement Process Flowchart - The overall Medical Retirement process flow chart has been updated and provided for evidence.</p> <p>Action Complete – both documents published</p> <p>Evidence The new attendance management procedure and Medical Retirement Process Flowchart</p>	Strategic Workforce Planning Group	

Reference key to Audit Reports:

Report Title		Grading	Published	Presented to Audit Committee
Business Continuity planning		Substantial Assurance	January 2025	27/3/2025
Data Protection		Advisory Only	January 2025	27/3/2025
Payroll		Substantial Assurance	January 2025	27/3/2025
Select Key IT Security Controls		Reasonable Assurance	June 2024	26/6/2024
RSM Grading:				
Minimal Assurance	Partial Assurance	Reasonable Assurance	Substantial Assurance	

Colour Code for actions – final column	
	Complete; awaiting sign off by the auditors
	Recommendation being progressed
	New Action – first update not yet requested/received
	Action against the recommendation to commence