

Office of the Police and Crime Commissioner – Internal Audit Recommendations

Ref.	Report Date	Report title	Action	Priority	Original delivery date	Revised delivery date	Responsible Owner:	Action Update	Status
1	Mar 23	Commissioning	The OPCC will develop a commissioning policy outlining the process from start to finish. The policy will be made available to staff in a shared location.	Medium	30 September 2023	31 January 2024	Head of Policy, Partnerships and Delivery	<p>Document is in final stage of draft and will provide a broader structure and policy for all OPCC related commissioning activity (including procurement and grant funding).</p> <p>This document will be an essential toolkit for OPCC staff to utilise when leading and supporting any commissioning process. This will include processes for grant funding and formal procured contractual arrangements including ongoing performance, delivery, financial and risk management/ monitoring.</p> <p>As part of the development of this policy 1:1s have taken place with all OPCC staff involved in the commissioning process to set clear standards and consistency across team members.</p> <p>A final draft has been submitted to SMT and has been approved.</p> <p><u>Update June 2025</u></p> <p>In February 2025, a full review of the document took place including consultation on the content with team members to ensure it was fit for purpose and provided clarity in the commissioning process for them. A final updated version was shared in May 2025 including updated templates following annual review.</p> <p>The document is stored in a central location in the OPCC teams folder and can be accessed by the whole team.</p>	Complete
2	Mar 23	Commissioning	A declarations of interest process will be created to help identify potential conflicts of interest.	Low	31 December 2023		Head of Policy, Partnerships and Delivery	<p>Meeting arranged between Head of Policy, Partnership and Delivery and Head of Procurement early December to ensure declarations of interest process is in place and utilised consistently across the OPCC / Cleveland Police.</p> <p><u>Update June 2025</u></p> <p>Procurement rules and regulations will be followed when contracting services (with advice and guidance provided by procurement). In terms of grants, any conflict/ declarations of interest will be noted in grant decision meeting minutes.</p> <p>This is included as part of the commissioning toolkit for consistency across the OPCC team.</p>	Complete
3	Mar 23	Commissioning	<p>Where an organisation receiving funding is not set up correctly and no credit check details can be provided, additional due diligence and monitoring will be undertaken and the decision to continue with funding will be formally documented.</p> <p>Staff will also be reminded that checks should be undertaken before the grant agreement is signed and before the funding period begins.</p>	High	30 April 2023		Head of Policy, Partnerships and Delivery	<p>This process is in place and has been embedded across the team.</p> <p>Process for such situations is built into the commissioning document as described at point 1 above.</p> <p>Approval for such organisations described at point 3 require approval by the OPCC Chief Finance Officer prior to any arrangements being put in place with appropriate risk mitigation and risk management in place. Communications are saved on file for audit purposes.</p> <p><u>Update June 2025</u></p> <p>The process around this action is embedded within the commissioning toolkit.</p>	Complete
4	Mar 23	Commissioning	<p>Staff will be reminded of the requirement to ensure insurance documentation is obtained and this has been provided before the grant agreement is signed and before the funding period begins.</p> <p>All insurance documents will be obtained in a timely</p>	High	30 April 2023		Head of Policy, Partnerships and Delivery	<p>This process is in place and have been embedded across the team for all new contract / grants awarded. Like above this requirement will be clearly set out in the document referred to at point 1 above.</p> <p>To support the embedding across the team the importance of this</p>	Complete

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			manner and this requirement will be enforced through the audit activity if a decision is made to restart it.					<p>recommendation has been stressed to the team on a number of occasions including at 1:1 meetings, during team meetings and quarterly Contract and Grant Management Overview meetings which have recently been introduced and discussed further at point 10 below.</p> <p>Update June 2025</p> <p>This action is embedded across the team. In addition, up to date insurance forms part of the quality schedule document to ensure adherence at all times.</p>	
5	Mar 23	Commissioning	<p>A decision will be made on whether an audit activity will be restarted to provide additional oversight that appropriate documentation is on file (DRF, grant agreement, due diligence documents) and the commissioning process has been undertaken in the correct order.</p> <p>For example, checking to make sure due diligence has been undertaken after the DRF is signed but before the grant agreement has been signed before the funding period begins.</p>	Medium	30 September 2023		Chief Finance Officer	<p>The Chief Finance Officer has considered the reintroduction of the audit activity as described. However, given clear policy and procedures will be in place with robust quality assurance by the Head of Policy, Partnership and Delivery he is satisfied at this time the additional due diligence activity is not required.</p>	Complete
6	Mar 23	Commissioning	Minutes and / or action logs will be maintained and kept on file for all commissioned services.	High	30 April 2023		Head of Policy, Partnerships and Delivery	<p>A template has been developed for the team to utilise in support of contract/grant performance meetings. Currently all contracts/grants are managed in the same way.</p> <p>The commissioning document referred to at point 1 will provide some guidance in relation to proportionality so that the high value contracts can be managed more robustly.</p> <p>June 2025</p> <p>The process for noted action points and points of discussion are embedded within performance frameworks that the team utilise to manage contracts. This template is reviewed annually with the most recent review taking place in April/May 2025.</p>	Complete
7	Mar 23	Commissioning	Staff will be reminded of the importance of performance reporting and ensuring this is reviewed and kept on file. If a provider fails to provide performance reports, this should be escalated within the OPCC.	Medium	1st April 2023		Head of Policy, Partnerships and Delivery	<p>Please see updates at point 4 and 6.</p>	Complete
8	Mar 23	Commissioning	Authorisation limits will be added to the authorised signatories list.	Low	30 April 2023		Chief Finance Officer	<p>This action has been complete.</p>	Complete
9	Mar 23	Commissioning	All grant agreements will be signed after the DRF has been signed by the Monitoring Officer and the Commissioner, and always before the funding period begins.	High	31 March 2023		Head of Policy, Partnerships and Delivery	<p>As per updates above.</p> <p>Update June 2025</p> <p>Decision Record Forms are the formal public notice of a decision being made. The actual decision may take place on a different day to the formal record. Where this happens the date the formal decision is made will be reflected in the DRF that is signed at a later date.</p> <p>Where possible this will be kept to a minimum and decision forms will be completed swiftly following decisions being made.</p>	Complete
10	Mar 23	Commissioning	An internal reporting process will be started highlighting all active partnerships, the total amount	Medium	31 March 2023		Head of Policy, Partnerships and	<p>A quarterly grant / contract management overview and planning meeting has</p>	Complete

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			<p>due, amount paid out and whether the organisation is delivering against requirements set out in the grant agreement.</p> <p>An agreed frequency will be established, and consistent reporting provided to relevant staff members.</p> <p>The reporting could also include reference to the Police and Crime Plan to make clear how commissioned services are delivering against the objectives highlighted within the Plan. This could also be used to feed into the annual report and future commissioning decisions.</p>				Delivery	<p>been introduced with a clear terms of reference outlining the purpose and importance of the meeting.</p> <p>This meeting is Chaired by the Head of Policy, Partnership and Delivery. To support discussion at the meeting on a quarterly basis grant/contract managers are required to risk rate their grants/contracts for discussion in the meeting. A risk rating structure has been provided to encourage consistency in grading. The grading is based on service delivery, risk and finances. Those contracts identified as very high and high risk are discussed in detail at the meeting with a point of escalation to OPCC Senior Management Team if required.</p> <p>Update June 2025</p> <p>These meetings have been re-focussed for 2025/26. The meeting will also be used to develop funding / service pipelines for the future.</p>	
11	October 2023	Police and Crime Plan	<p>The performance framework for 2023/24 will be completed and made available to staff within the OPCC and relevant individuals within the Force.</p> <p>This will include a list of individuals that are responsible for managing performance for each area or the source of the information and data</p>	Low	31 December 2023		Head of Policy, Partnerships and Delivery	<p>The performance framework for 2023/24 was completed in September 2023 and was used to provide a quarter 1 update to the Police and Crime Panel. It is likely this will continue to expand over time as our recording as an OPCC improves and the data becomes more reliable for us to report on.</p> <p>Quarter 1 performance and delivery report can be found here. This report and information within it is discussed in the OPCC Police and Crime Plan Delivery and Performance Meeting to identify any issues, opportunities for development and where relevant to support scrutiny of the force.</p> <p>Responsibility for performance management sits with the Police and Crime Plan priority lead – this will be clearly displayed in the performance framework and improved upon further following the May elections.</p>	Complete
12	October 2023	Police and Crime Plan	As part of the planning process for the next delivery plan and Police and Crime Plan, the OPCC should consider outlining measures and objectives for each deliverable to outline how the action will be achieved	Medium	31 July 2024	July 2025	Head of Policy, Partnerships and Delivery	<p>A new PCC was elected in May 2024, the police and crime plan is currently in development and measures and objectives for each deliverable will be set with an outline of how the action will be achieved. The new plan will be presented to the Police and Crime Panel in November 2024 so the delivery date has been changed to reflect this.</p> <p>Update June 2025</p> <p>The new Police and Crime Plan launched in December 2024 – the associated delivery plan was finalised in April 2025. Work in terms of performance of the delivery plan remains ongoing including work in relation to how the force are delivering in relation to the plan.</p>	Ongoing
13	October 2023	Police and Crime Plan	An action log or set of minutes should be retained for the meeting between the Head of Policy, Partnership and Delivery and the PCC.	Low	31 October 2023		Head of Policy, Partnerships and Delivery	This has been implemented from quarter 2 period onward (2024/25).	Complete
14	October 2023	Police and Crime Plan	As part of the planning process for the next delivery plan and Police and Crime Plan, the OPCC will ensure a reference number is added to deliverables in the delivery plan that corresponds to a performance metric in the performance framework. Where it is not possible to monitor a deliverable, this should be clearly documented and the OPCC should continue to include updates to the action.	Medium	31 July 2024	July 2025	Head of Policy, Partnerships and Delivery	See item 12 above	Ongoing

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15	October 2023	Police and Crime Plan	Each action will be given a 'target completion date', which should not be altered to reflect progress. Instead, the OPCC should document a separate column of 'revised end date' to ensure that any slippage is clearly recorded and evidenced.	Medium	31 July 2024	1 November 2024	Head of Policy, Partnerships and Delivery	See item 12 above	Ongoing
16	October 2023	Police and Crime Plan	Terms of reference will be created and approved for the expanded SMT meetings	Low	31 September 2023		Chief Executive	Terms of reference have been produced and approved by SMT.	Complete
17	August 2024	Complaints	Management will ensure that the SLA and SOP is reviewed and approved in line with the annual review requirement.	Low	30 July 2024		Head of Standards, Scrutiny and Accountability	A meeting has been arranged between the OPCC and DSE to discuss this Update – DSE cancelled this meeting and did not rearrange. Head of SSD has added this to the 2025/26 SSD Work Programme	Ongoing
18	August 2024	Complaints	The Complaints Resolution Team will be reminded of the requirement to ensure all complaints are acknowledged in writing as soon as possible, or within two working days of receipt.	Low	30 September 2024		Team Leader – Resolution Team	This will be delivered within the target date	Complete
19	August 2024	Complaints	The Complaints Resolution Team will be reminded of the requirement to ensure all complaints are fully documented via a policy log, and recorded on Centurion. We will also ensure that where complaints have been put on hold, these are revisited every six months to identify if the complaint can now be progressed.	Low	30 September 2024		Team Leader – Resolution Team	This will be delivered within the target date	Complete
20	August 2024	Complaints	A process will be implemented to ensure that complaint investigations are monitored for progression, and prioritised where this is not the case, allowing complaints to be updated within 28 days, where possible.	Low	30 September 2024		Team Leader – Resolution Team	This will be delivered within the target date and is now BAU	Complete
21	August 2024	Complaints	Consideration will be given to whether it would be beneficial to expand their customer feedback survey, to allow complainants who do not have email access to provide feedback.	Suggestion	N/A		N/A	This suggestion will form part of the team's customer service accreditation work and is being developed during 2025/26	Ongoing
22	August 2024	Complaints	A reporting and review mechanism will be implemented to allow for the customer feedback survey results to be collated, reviewed, and reported through a suitable governance structure, to allow for the effective identification and remediation of any dissatisfaction trends, where necessary.	Medium	31 December 2024		Team Leader – Resolution Team	This suggestion will form part of the team's customer service accreditation work and is being developed during 2025/26	Complete
23	November 2024	Commissioning Re-visit	The updated Commissioning Strategy will be finalised, approved and published online	Low	30 June 2025	Sept 2025	Head of Policy, Partnerships and Delivery	<u>Update June 2025</u> Following the launch of the Police and Crime Plan in December 2024 and the subsequent development of the delivery plan it is expected that the commissioning strategy will align to these documents covering the PCCs full terms of office (to 2028) and be finalised by end of September 2025.	Ongoing
24	November 2024	Commissioning Re-visit	An updated Delivery Plan and Performance Framework will be created and maintained following the approval of the new Police and Crime Plan	Low	30 June 2025	July 2025	Head of Policy, Partnerships and Delivery	<u>Update June 2025</u> A 12 month delivery plan has been developed and launched across the team for delivery in April 2025 – the performance framework to sit alongside this is currently under development and will be completed by early Quarter 2.	Ongoing
25	November 2024	Commissioning Re-visit	Credit checks will be undertaken at a more regular frequency to allow for financial issues to be identified at an earlier stage. Alongside this, the CreditSafe system will be reviewed to determine whether automated updates can be provided.	Low	31 May 2025		Head of Policy, Partnerships and Delivery	Credit Safe does not provide the automated update option. <u>Update June 2025</u> This action is currently being considered in terms of how this can be	Closed

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								implemented in the least burdensome way. It is hoped through strong performance management arrangements that the OPCC have in place that any financial issues would be identified / openly discussed at the earliest opportunity. In addition to mitigate risk, all services unless authorised by the CFO are paid in arrears and are only paid for what they have delivered.	
26	November 2024	Commissioning – Revisit	Insurance documentation and safeguarding documentation will be retained on file for all required commissioned providers. The Commissioning Toolkit will be updated to set out any exceptions to due diligence checks such as insurance and safeguarding requirements. As well as this, Policy, Partnership and Delivery Officers and CURV Partnership and Delivery Officers will be reminded that insurance documentation should be monitored on a regular basis, with any expired or due to expire queried with the provider to ensure up to date documentation is collected.	Medium	30 June 2025		Head of Policy, Partnerships and Delivery	<u>Update June 2025</u> As per item 4 above – insurance is now covered within the quality schedule for contracts / grants over the threshold limit, this ensures documentation that is in date is held on file. The team will be reminded of the importance of this at the Contracts / Grants Management meeting in July.	Complete
27	November 2024	Commissioning – Revisit	Staff will be reminded that performance monitoring is required to be obtained and saved in a central location. Regular checks will be undertaken to identify any instances of non-compliance.	Medium	31 May 2025	Sept 2025	Head of Policy, Partnerships and Delivery	<u>Update June 2025</u> A central location for all commissioning documentation is currently being identified. In addition the Head of Policy, Partnerships and Delivery is going to introduce an annual assurance process of performance monitoring arrangements to drive consistency, high standards and provide positive feedback and learning across the team. A criteria for this audit which will commence in early 2026 is being developed.	Ongoing
28	November 2024	Commissioning – Revisit	Staff will be reminded that all grant agreements must be signed off and saved centrally prior to the beginning of any services. All grant agreements that have not been signed will be located and any still outstanding will be signed.	Medium	31 May 2025		Head of Policy, Partnerships and Delivery	<u>Update June 2025</u> Staff are routinely reminded of the importance of this action. Where grants are not signed prior to service commencement a record is made on file for future reference. An example of where this might happen (and agreement to carry risk is in place) is when Home Office or MoJ are delayed in sending their grants or confirming allocations.	Complete
29	November 2024	Commissioning – Revisit	The updated approved signatories list will be located and saved centrally	Low	31 May 2025		Chief Finance Officer	<u>Update June 2025</u> This document has been completed and is awaiting storage in a central location that can be accessed by all.	Complete

	Identified by the OPCC as closed – awaiting RSM sign off.
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		Colour coding <table><tr><th colspan="2">Status – RSM Definitions</th></tr><tr><td>High</td><td>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.</td></tr><tr><td>Medium</td><td>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.</td></tr><tr><td>Low</td><td>There is scope for enhancing control or improving efficiency and quality.</td></tr></table>	Status – RSM Definitions		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.	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.	Low	There is scope for enhancing control or improving efficiency and quality.
Status – RSM Definitions										
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.									
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.									
Low	There is scope for enhancing control or improving efficiency and quality.									
Report Title	Grading									
Commissioning 2023	Minimal Assurance									
Police and Crime Plan – October 2023	Reasonable Assurance									
Complaints – August 2024	Reasonable Assurance									
Commissioning Follow up – 2024	Reasonable Assurance									