

Police & Crime Commissioner for Gwent
Internal Audit Recommendations - Status Report as at 12th December 2016

1. RECOMMENDATIONS REQUIRING MEMBERS' AGREEMENT TO AN EXTENSION OF THE PLANNED COMPLETION DATE

REPORT RECOMMENDATIONS			IMPLEMENTATION			
RED – HIGH PRIORITY/RISK BLUE – MEDIUM BLACK - LOW			GREEN – UPDATES			
Ref	Narrative	Risk	Original Plan Date	Current Plan Date	Responsible Officer	Current Status
	<u>IT DISASTER RECOVERY 2010/11 - June 2011</u>					
R03	<p style="color: red;">We recommend that management produce and test a formal Disaster Recovery Plan covering force wide IT infrastructure, systems and processes. The Plan should include timescales of when an appropriate solution will be in place to mitigate the risk of prolonged loss of the Force's IT infrastructure and systems.</p> <p style="color: red;">The Plan should include procedures for the recovery and reconfiguration of critical systems and data, network links, hardware (including servers), software, operating systems, communication links (built in redundancy and alternative routing), systems interfaces, activation of hot/ cold/ warm/ duplicate information processing site facilities as well as office facilities and functions, within specified time frames. Such procedures should exist for varying levels of disasters and should support the Force's Business Continuity Planning arrangements.</p>	H	Apr 12	Nov 16	Assistant Director SRS	<p>Confirmation received at JOINS-IT Board on 12 Feb 2016 that the Fairwater DR site has now been handed over to SWP ICT from the supplier, therefore that update describes next steps and the change required to delivery date. Revised completion date Nov 16.</p> <p style="color: green;">The New Net App San Storage has been built, configured and tested. The data migration plan has been drafted and the implementation manager starts in January 2017.</p> <p style="color: green;">Once the data has been migrated the old storage system will be installed in the DR site and services transferred in priority order.</p> <p style="color: green;">Progress will be monitored with the service established during 2017, dependant on the complexity of the implementation plan.</p> <p style="color: green;">Revised completion date: April 2017.</p>

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R09	It is recommended that all mission critical applications are supported by effective and available systems level documentation for users to support the recovery and continued operation of any available disaster recovery solutions, for example for Command and Control.	M	Sep 11	Nov 16	Assistant Director SRS	This now forms part of the SRS audit plan and current documented procedures are being revised. See recommendation R03 above. Revised completion date: April 2017.
	<u>IT GENERAL CONTROL: CHANGE MANAGEMENT 2012/13 - November 2012</u>					
R02	Introduce a test environment.	H	Dec 13	Nov 16	Infrastructure Services Manager	See IT DR June 2011, recommendation R03, above. Revised completion date: April 2017.
R08	Retain prior versions of applications and source code.	M	Oct 13	Nov 16	Development & Implementation Services Manager	See IT DR June 2011, recommendation R03, above. Revised completion date: April 2017.
	<u>BUSINESS CONTINUITY & DISASTER RECOVERY 2013/14- June 2014</u>					
R01	<i>Recovery Time and Point Objectives:</i> Re-issue of the recommendation 2.1 raised within 2012/13 report IT General Controls	M	n/a	Nov 16	SRS	See IT DR June 2011, recommendation R03, above. Revised completion date: April 2017.

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	<u>WALES INTERPRETATION & TRANSLATION SERVICES (WITS) 2014/15</u> - <u>April 2015</u>					
R01	<p><i>Clarity over Responsibilities, Liabilities and Insurance:</i></p> <p>It is recommended that WITS seeks legal advice in order to clarify the responsibilities and liabilities involved in operating WITS as a matter of urgency. In the absence of interpreters holding professional indemnity insurance, an alternative type of insurance or protection should be secured to mitigate the serious risk of legal action in relation to a misinterpretation. Gwent Police, WITS, partner organisations, non-partner organisations and interpreters should be made aware of the responsibilities and liabilities as soon as they are clarified.</p>	H	Apr 16	Dec 16	WITS Manager	<p>The pilot with CIOL took place in March 2016. This involved examination and the option of student membership that in turn enables interpreters to obtain insurance.</p> <p>Much of the governance concerning people, assets and location is being finalised and proposed to reach WITS Governance Board for decision in December 2016. Recommended Completion Date: December 2016</p> <p>The new Governance Framework has been provided to partners for comment by 31/12/16. This addresses service configuration, people, procurement and ICT.</p> <p>Final decision for the transfer to Cardiff City Council is scheduled for the January 2017 Cabinet meeting with agreed target date for transfer on 1 April 2017.</p> <p>Revised date April 2017.</p>

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R04	<p><i>Documentation of WITS' Governance Structure:</i></p> <p>It is recommended that clear, formal and up to date documentation of the governance structure in place at WITS is established.</p> <p>In addition, up to date terms of reference should be defined for the WITS Partnership Management Board.</p>	H	Oct 15	Dec 16	WITS Manager	<p>Legal advice has been received and planning work has commenced to manage the handover of WITS to a Local Authority.</p> <p>See R01 above - Revised date April 2017.</p>
R06	<p><i>Procurement Process:</i></p> <p>It is recommended that a formal procurement process is established, documented and applied to all new interpreters added to the WITS Register of Interpreters. WITS should ensure that its operations are compliant under European procurement requirements.</p>	M	Apr 16	Dec 16	WITS Manager	<p>The contract framework documents are drafted with support of the Nat. Procurement Service.</p> <p>See R01 above - Revised date April 2017.</p>

2. HIGH PRIORITY RECOMMENDATIONS WHERE THE PLANNED COMPLETION DATE HAS NOT YET EXPIRED

There are none on this occasion.

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3. RECOMMENDATIONS THAT HAVE BEEN COMPLETED OR REJECTED

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	<p><u>REVIEW OF CONTER FRAUD ARRANGEMENTS - LEARNING FROM CASES 2016/17</u> - August 2016</p>					
R01	A formal arrangement be established for the sharing of information between PSD and the Shared Resource Service.	L	Oct 16	Nov 16	Information Security Manager	<p>A standard operating procedure will be developed to include matters of data management, information security and professional standards to ensure investigative requirements are managed appropriately.</p> <p>In the meantime the current custom and practice arrangements will continue to operate.</p> <p>The Information Security Manager commences 26th September and will progress formalisation of arrangements.</p> <p>Revised Completion Date: 30 November 2016</p> <p>Completed</p>
	<p><u>REVIEW OF THE MARKETING SOCIAL NETWORKING ARRANGEMENTS 2016/17</u> - August 2016</p>					
R06	Out of date YouTube channels be deleted and content, where appropriate, migrated to current channels.	L	Oct 16		SRS Project Team	<p>The old videos will be transferred to the new site.</p> <p>Completed.</p>

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	<u>REVIEW OF THE FLEET STRATEGY ARRANGEMENTS 2016/17 - August 2016</u>					
R01	The ongoing role of the Fleet Strategy Group be reviewed and, if the Group is to be discontinued, the references to the Fleet Strategy Group within the Fleet Strategy be removed.	M	Oct 16		Head of Fleet Services	Purpose of the FSG is now not relevant as: <ul style="list-style-type: none"> • New national contract for purchases. • New Operating Model has determined allocation of vehicles to the force. • The service levels provided by Workshops are established. The group will be discontinued and the annual fleet report distributed to commanders. The Fleet Strategy document will be amended. <i>Completed.</i>
R02	The ongoing role of the Fleet User Group be considered and, if discontinued, all references to the Fleet User Group be removed from the Fleet Strategy.	M	Oct 16		Head of Fleet Services	The FUG is not relevant for the same reasons above. <i>Completed.</i>
R03	The Fleet Services staffing chart included as an appendix to the Fleet Strategy be updated to reflect the proposed staffing subsequent to the most recent re-organisation.	M	Oct 16		Head of Fleet Services	This will be updated. <i>Completed.</i>

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	<p><u>SHARED RESOURCE SERVICE (SRS)</u> <u>VIRTUALISATION 2016/17</u> <u>- October 2016</u> <u>(report by Torfaen County Borough Council)</u></p>					
R01	<p><u>Provisioning/De-Provisioning</u></p> <p>The current policy / procedure for the provisioning / de-provisioning a VM should be documented. The 3 decommissioned VM's should be deleted as a matter of urgency.</p>	M	Oct 16		J Price	<p style="color: blue;">A policy / procedure will be produced for the provisioning / de-provisioning of a VM. The servers SOCSSERVERAPPS and GP-GISROUTE1 have been deleted. The server MCC-BLAM OLD is an infrastructure one that has legacy keys for the bitlocker software. This has to remain in the decommissioned folder until all the current laptops are replaced.</p> <p style="color: green;">A policy has been created and circulated to the team involved in this process. The servers noted (SOCSSERVERAPPS & GP-GISROUTE1) have been removed from the system in their entirety, and the MCC-BLAM server remains switched off in the decommissioned folder as old laptops are still in circulation.</p> <p style="color: green;">Completed.</p>

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R05	<u>Critical Virtual Machines</u> Access to critical virtual machines should be appropriately restricted / isolated to protect sensitive information.	M	Oct 16		J Price	A firewall has been created to provide segregation for TCBC and MCC to provide a control between a user and a server. Completed.
R06	<u>Security Monitoring</u> Appropriate monitoring of the environment ideally in a 'built-in' manner should operate to identify changes and security vulnerabilities.	M	Mar 17		Informtn Security Manager	Tools will be implemented on the completion of the Public Service Network priority. In the interim there is mitigation through daily monitoring by the infrastructure team. VMWare Patch Management and Alerting has been implemented into the infrastructure. Log management is also now installed and being monitored by the Security Team. Completed.
	<u>REVIEW OF THE FIXED ASSET ARRANGEMENTS 2016/17 - December 2016</u>					
R01	The relevant policy or procedure be located which directs the process of disposing of all information communication technology assets.	M	Dec 16		Assistant Director SRS	The policy is now available. Completed.

PFA - Principal Financial Accountant HOP – Head of Procurement