

Police & Crime Commissioner for Gwent
Internal Audit Recommendations - Status Report as at 6th September 2017

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

REPORT RECOMMENDATIONS				IMPLEMENTATION		
<i>RED – HIGH PRIORITY/RISK</i>		<i>BLUE – MEDIUM</i>	<i>BLACK - LOW</i>	<i>GREEN – UPDATES</i>		
Ref	Narrative	Risk	Original Plan Date	Current Plan Date	Responsible Officer	Current Status
	<u>IT DISASTER RECOVERY 2010/11</u> <u>- June 2011 (report by Deloitte)</u>					
R03	<p>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>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	Sep 17	Rachel Titcombe Project Manager	<p>Work is on-going at SRS, Blaenavon to migrate data to new storage infrastructure.</p> <ul style="list-style-type: none"> • Migration of SQL Database instances, is at ¾ complete and will be completed by end of September, with approval of required downtime permitting. • Migration of Oracle Database instances and standalone applications to be completed by end of November • Re-configuration of infrastructure to allow replication between 2 storage solutions. With 1 of the storage solutions to be located at SWP, Fairwater site to completed by end of January.

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	Continued:					<p>Once the above work has been completed phase 2 of the Disaster Recovery project can be scoped further and started. Anticipated milestones at this point are:</p> <ol style="list-style-type: none"> 1. Review and amend DR Planning Policy 2. Conduct Business Impact Analysis 3. Create DR Strategies 4. Develop DR Plan <p>Plan, training and testing exercises.</p> <p>Revised Date for reporting progress to JAC: 21 January 2018.</p>
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	Sep 17	Rachel Titcombe Project Manager	<p>See recommendation R03 above.</p> <p>This is covered as part of the Create DR Strategies milestone of phase 2 of the DR project</p> <p>Revised Date for reporting progress to JAC: 21 January 2018.</p>

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	<u>IT GENERAL CONTROL:</u> <u>CHANGE MANAGEMENT 2012/13</u> - <u>November 2012 (report by Deloitte)</u>					
R02	Introduce a test environment.	H	Dec 13	Sep 17	Rachel Titcombe Project Manager	See IT DR June 2011, recommendation R03, above. To be scoped as part of phase 2 of the DR project. Revised Date for reporting progress to JAC: 21 January 2018.
R08	Retain prior versions of applications and source code.	M	Oct 13	sep 17	Rachel Titcombe Project Manager	See IT DR June 2011, recommendation R03, above.. To be scoped as part of phase 2 of the DR project. Revised Date for reporting progress to JAC: 21 January 2018.

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	<u>BUSINESS CONTINUITY & DISASTER RECOVERY</u> <u>2013/14- June 2014</u> (report by Deloitte)					
R01	<p><i>Recovery Time and Point Objectives:</i></p> <p>Re-issue of the recommendation 2.1 raised within 2012/13 report IT General Controls</p>	M	n/a	Sep 17	Rachel Titcombe Project Manager	<p>See IT DR June 2011, recommendation R03, above.</p> <p>These will be confirmed as part of the Business Impact Analysis of phase 2 of the DR project.</p> <p>Revised Date for reporting progress to JAC: 21 January 2018.</p>
	<u>SHARED RESOURCE SERVICE (SRS)</u> <u>VIRTUALISATION 2016/17 - October 2016</u> (report by Torfaen County Borough Council)					
R02	<p><u>Data Back-up</u></p> <p>GP data should be subject to replication as soon as possible (rather than being backed up to tape).</p> <p>Management needs to act on the reported mirroring issues to provide an adequate environment that ensures all data is replicated successfully in line with the set schedule. Consideration of the need for automated monitoring of the mirroring process and whether too much data is being replication at too high a frequency should be made.</p>	M	Mar 17	Sept 17	Jon Price	<p>This is ongoing as the GP Disaster Recovery replication migration is still moving towards a September start date. We have however resolved the issues internally with lack of capacity for data replication in house as the new SAN is now in place and replicating between devices.</p> <p>Ongoing as part of the DR migration.</p> <p>Revised Date for reporting progress to JAC: 21 January 2018.</p>

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R04	Encryption of Data-in-Motion Management should progress the efforts to backup GP in a manner similar to that for MCC and TCBC as a matter of urgency.	M	Sep 17		Jon Price	This will be completed by the revised timeframe. This is an identical action as R02 above. Once data replication is matched in the GPA DR site, then backup and transit of data will be identical to TCBC. Ongoing as part of the DR migration. Revised Date for reporting progress to JAC: 21 January 2018.

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	<u>REVIEW OF THE CREDITORS ARRANGEMENTS 2016/17 - December 2016</u>					
R03	The process for checking for duplicate payments be reviewed to ensure that all eventualities are taken into consideration.	M	Jul 17		HOF	<p>This recommendation needs to be considered with recognition of the impending change of accounting system and associated processes. The Purchasing and Payments Manager will work with the FIRMS implementations team to determine an appropriate future process to resolve and address this recommendation. They will also consider actions to be taken to address this in the closing months of the old Lawson system.</p> <p>1.8.17 - New System Implemented and all payments checked for risk of duplication. This will complete when all legacy payments have been discharged.</p> <p>Revised Completion Date: 31 October 2017</p>

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

There are none on this occasion.

3. RECOMMENDATIONS THAT HAVE BEEN COMPLETED OR REJECTED

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	<u>WALES INTERPRETATION & TRANSLATION SERVICES (WITS) 2014/15</u> - <u>April 2015 (report by Deloitte)</u>					
R01	<i>Clarity over Responsibilities, Liabilities and Insurance:</i> 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.	H	Apr 16	Jun 17	WITS Manager	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. 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. Transfer date to Cardiff City Council now fixed for 1 st July 2017. Completed.

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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	Jun 17	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. e 2017. Completion date 30th June 2017. Completed.</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 <i>operations</i> are compliant under European procurement requirements.</p>	M	Apr 16	Jun 17	WITS Manager	<p>The contract framework documents are drafted with support of the Nat. Procurement Service.</p> <p>See R01 above. Completion date 30th June 2017. Completed.</p>

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	<u>ICT – NETWORK CONTROL ARRANGEMENTS 2015/16</u> <u>- October 2015</u>					
R03	Processes be put in place to notify SRS of the departure of any South Wales Police account holders with access to Gwent Police networks so that access can be rescinded in a timely manner.	M	Dec 15	July 17	Head of People Services	<p>A schedule of the SWP staff with access will be provided to the ICT JOINS Group to confirm continuing access requirements.</p> <p>Revised Completion date 31 March 2016.</p> <p>To be reviewed following the re-structure of transactional HR & payroll services and the implementation of a new HR and payroll system in April 2017.</p> <p>The joint HR/Payroll system Goes Live in July 2017 and will enable the review of access to collaborative ICT services.</p> <p>Revised Completion date: 31 July 2017.</p> <p>Reviewed by Information Security and accounts deleted, as appropriate.</p> <p>Completed.</p>

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	<u>REVIEW OF THE CREDITORS ARRANGEMENTS 2016/17 - December 2016</u>					
R04	Following full implementation of the Agresso Business World, the Scheme of Delegations be updated as planned to ensure the authorisation levels remain practical but appropriate.	L	Jul 17		HOF	<p>This recommendation needs to be considered with recognition of the impending change of accounting system and associated processes. The Head of Finance will work with the FIRMS implementations team and Procurement to update the authorisation limits. In addition the Head of Finance will work towards an updating of the Scheme of Delegation to support the delivery of the new ABW system during 2017-18.</p> <p>ABW is now live and a scheme of delegation has been input into the system.</p> <p>Completed.</p>
R06	The authorisation arrangements for BACS payments process be formally documented.	L	Mar 17	July 17	HOF	<p>These arrangements will be considered and appropriate documentation prepared for adoption during in the new financial year (2017-18).</p> <p>Revised Completion Date: 31 July 2017.</p> <p>Completed.</p>

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	<u>REVIEW OF THE BUDGETARY CONTROL ARRANGEMENTS 2016/17 - December 2016</u>					
R01	The budgetary control framework document be updated following implementation of Agresso Business World (ABW) / FIRMS.	M	Aug 17		HOF	The implementation of the ABW system will allow this document to be updated to complement the new system. Completed.
	<u>REVIEW OF THE GOVERNANCE – PERFORMANCE MANAGEMENT 2016/17 - January 2017</u>					
R01	The performance management framework be finalised and fully documented at the earliest opportunity.	M	Apr 17	July 17	Chief Supt Warr-ender	The work is progressing with the framework has been designed and consulted. It was piloted at the February Force Performance Meeting and has ben presented to HMIC. The formal sign off is planned with the new governance meeting structure. Revised Completion Date: 31 st July 2017. Performance Framework has been signed off together with a new Governance Structure with implementation 1 September 2017. Completed.

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R02	The performance management reporting cycle be fully developed and documented along with the timelines within which the Analysis and Research Management Team are to provide information to support the performance framework.	L	Apr 17	July 17	Chief Supt Warr-ender	The work is progressing with the framework has been designed and consulted. It was piloted at the February Force Performance Meeting. As R01 Above. Completed.
	<u>REVIEW OF THE CORPORATE COMMUNICATION ARRANGEMENTS 2016/17 - February 2017</u>					
R03	To continue as planned to develop an annual communications campaign plan, which will focus priorities over the forthcoming months to deliver targeted communication activities.	L	Apr 17	Sep 17	Head of Corp Comms	A campaign calendar is up to date and is maintained on a weekly basis. Completed.

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	<u>REVIEW OF THE HR ABSENCE MANAGEMENT ARRANGEMENTS 2016/17 - February 2017</u>					
R01	Line managers be reminded of their responsibilities in regard to the Absence Management Procedures and Guidance.	L	Apr 17		Sarah Davies	<p>Through the introduction of the new attendance procedure, training will be carried out for all supervisors in relation to process.</p> <p>Therefore future non-compliance could result in performance of supervisor being reviewed.</p> <p>All training and new procedure completed by 1st April 2017.</p> <p>There has been a delay in the introduction of the new attendance procedure due to some ET cases that the Force has experienced and legal wanted the outcomes to ensure that the new procedure took into consideration any comments from the cases. The procedure will shortly go out for consultation and a clear training plan for all supervisors will be completed prior to the launch of the new procedure to ensure compliance. In the meantime managers have been reminded of their responsibilities. Completed.</p>

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	<u>SHARED RESOURCE SERVICE (SRS)</u> <u>CHANGE MANAGEMENT 2017/18</u> - April 2017 <u>(report by Torfaen County Borough Council)</u>					
R01	Management needs measures in place to identify the number of change requests approved with less than complete information and the %age of change requests not meeting their approval timeframes	M	Jun 17		Change Analyst	The process to monitor and store this information has to be collated manually and will start from the beginning of June 2017. The metrics around age and approval timescales is again a different piece of information to be automatically captured so will be manually logged. Both of these metrics will be highlighted as required deliverables in the new service desk procurement planned for October 2017. Completed.
R02	The Change Analyst should receive a copy of the Sprint Outcomes Document to attach to any relevant Change Requests as evidence of changes held up in Test or Blocked on the Kanban's	L	Jun 17		Change Analyst	A copy of the sprint outcomes is now stored centrally and is accessible across the SRS. From June 2017 the change analyst will be attending the sprint reviews cross the SRS. Completed.

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	<u>REVIEW OF THE FIRST POINT OF CONTACT ARRANGEMENTS 2016/17</u> <u>- May 2017</u>					
R11	Further guidance and support be provided to supervisors to enable them to more effectively identify occasions when operators can be more efficiently deployed within the suite.	M	Jul 17		Supt. Roberts	Direction has been provided to FIM's to undertake this role. Good practice has been provided at the FIM development day. Completed.
	<u>SHARED RESOURCE SERVICE (SRS) EMAIL 2017/18</u> <u>- May 2017</u> (report by Torfaen County Borough Council)					
R01	The web server and the mail server should be located on separate machines.	M	Sep 17		Jon Price	Discussions have taken place and migration of the Hub Transport Server will be removed to a new server. This work is planned for Week Commencing 7 th August 2017, and will take 2 days to complete. Completed.
R03	The email logs should be covered by the Event Log Analyser to identify and report on events that could indicate an issue requiring attention.	M	Jul 17		Scott Nichol-son	Completed.

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	<u>REVIEW OF FLEET MANAGEMENT –DELIVERY ARRANGEMENTS 2017/18</u> <u>- June 2017</u>					
R01	<p>The responsibility for identifying when vehicle services fall due be delegated to the Fleet Department and the five vehicles overdue a service be completed as planned.</p>	M	Jun 17		Head of Fleet Services	<p>The overdue services were identified by management and an action plan was implemented immediately. This included replacement vehicles being issued.</p> <p>Mechanism is now in place to identify and plan vehicle servicing 1 month in advance of due date.</p> <p>Completed.</p>
	<u>COMPLIANCE REVIEW OF VETTING ARRANGEMENTS 2017/18</u> <u>- June 2017</u>					
R06	<p>The number of outstanding expired or not-up-to-date security clearances be reported as a performance measure in the quarterly vetting report to provide assurance in compliance with the National Vetting Policy.</p>	L	Jun 17		Head of PSD / Vetting Manager	<p>Agreed. Vetting Manager has implemented a manual spreadsheet to record the number of outstanding clearances as well as the number which are pending.</p> <p>Completed.</p>

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R07	Where Police Officers and Police Staff who have not returned their vetting application forms as part of the retrospective vetting programme, the escalation process of notifying line managers be undertaken as planned.	L	May 17		Head of PSD	Direct contact with officers/staff and line managers to reinforce the need for compliance. Completed.
R08	All copies of applicants ID verified by relevant departments be submitted to the Vetting Unit in order that the ID documentation is also retained on Core-Vet for vetting completeness.	L	May 17		Head of PSD	Agree with the additional assurance that being able to retrospectively audit the verification documents would provide. Those responsible for the verification stage of the vetting process would need to comply with the request to scan the documents to the Vetting Dept. In the experience of the Vetting Manager many external contractors would fail to comply with a very broad specification and advises that the request be made on a case-by-case basis for the requisite higher-level checks according to the nature and degree of access to Gwent Police and its systems. Completed.
R09	The lack of forthcoming ID documentation from ID number 11043 be escalated to a higher ranking officer in order that security clearance can be obtained.	L	May 17		Head of PSD	Clearance achieved. Completed.

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	<u>REVIEW OF THE RISK MANAGEMENT – MITIGATING CONTROLS 2017/18 - September 2017</u>					
R02	Arrangements be put in place to ensure that there is a deputy with the appropriate accreditation to provide cover for the Force Crime Registrar in the event of absence.	L	n/a		n/a	The Force Crime Registrar for Gwent Police is accredited. Demand levels have been mapped across the force and Chief Officers have made the decision not to appoint an accredited deputy. Recommendation not accepted.