1. Recommendations Requiring Members' Agreement to an Extension on the Planned Completion Date							
Audit Title	**Recommendation**	**Priority**	**Management Response**	**Responsible Officer**	**Due Date**	**Revised Due Date**	**Latest Response**
Follow Up	R03 - IT DISASTER RECOVERY 2010/11 - June 2011 We recommend that mgmt 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. 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 info processing site facilities as well as office facilities and functions, within specified timeframes. Such procedures should exist for varying levels of disasters and should support the Force's Business Continuity Planning arrangements.	1	With the issues in Autumn 2012 in ICT infrastructure, the Disaster Recovery solution will be developed. This will need to be procured after implementation of the primary services which is expected to be completed by March 2013.Business case being developed for BTCG. Revised completion date Sept 2013. Revised completion date Dec 2013. Revised completion date Sept 2015. Revised completion date July 2016. SWP current estimate for completion of the build for the Fairwater DR site is Dec 2015. Therefore installation of networking and IT equipment can commence post build date with a target commission date for the DR service of Sep 2016.	Rachel Titcombe, SRS	01/09/2016	31/01/2018	01.12.17 - SQL data migration is complete and Oracle migrations commenced. These migrations will be completed by end of January. The Network Link to SWP, Fairwater is on-going and configuration and testing is anticipated to be complete by end of January. The agreed date for the configuration of the infrastructure to perform replication will be complete by end of February and data replication and infrastructure to be located in Fairwater by end of March. Once the above work has been completed phase 2 can be started which will include: 1. Review and amend DR Planning Policy 2. Conduct Business Impact Analysis 3. Create DR Strategies 4. Develop DR Plan 5. Plan, training and testing exercises. *Revised Date for reporting progress to JAC: 31 March 2018*

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Follow Up	R02 - IT GENERAL CONTROL: CHANGE MANAGEMENT 2012/13 - November 2012 Introduce a test environment.	1	We will develop a business case for Gwent Police through the BDG/BTCG process to take this recommendation forward. Revised completion date (based on potential DR dates with SWP "end Aug 2014 for building works and 6 months commissioning work for ICT end of Feb 15-Apr 15. Revised completion date Apr 15. See report IT Disaster Recovery 2010/11 above. Revised completion date Sept 15. Revised completion date Jul 16. SWP current estimate for completion of the build for the Fairwater DR site is Dec 15. Therefore installation of networking and IT equipment can commence post build date with a target commission date for the DR service of Sep 16.	Infrastructure Services Manager, Paul Higgs, SRS	01/09/2016	31/01/2018	*Revised Date for reporting progress to JAC: 31 March 2018*

Police and Crime Commissioner for Gwent
Internal Audit Recommendations – Status Report as at 12 December 2017

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
# SRS Virtualisation 16-17	Data Back-up GP data should be subject to replication as soon as possible (rather than being backed up to tape).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. Realistic RPO's and RTO's should exist with defined policy requirements for meeting them that are supported by a SLA. The Infrastructure Team should be informed of these in order that they can be met.	2	The replication for GP will not be in place for all systems until September 2017. The limited replication is due to the volume of data being replicated to the available / lack of capacity.	Assistant Director SRS, Jon Price	31/03/2017	30/09/2017	The replication for GP will not be in place for all systems until September 2017. The limited replication is due to the volume of data being replicated to the available / lack of capacity.

1.12.17 – This forms part of the Disaster Recovery work for which there is a separate report on the agenda.

Revised Completion Date: 31 March 2018 |

Police and Crime Commissioner for Gwent
Internal Audit Recommendations – Status Report as at 12 December 2017

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
# SRS Virtualisation 16-17	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. 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.	2	This will be completed by the revised timeframe. Once data replication is matched in the GPA DR site, then backup and transit of data will be identical to TCBC.	Assistant Director SRS Jon Price	30/09/2017	30/09/2017	1.12.17 – This forms part of the Disaster Recovery work for which there is a separate report on the agenda.

Once data replication is matched in the GP DR site, then backup and transit of data will be identical to approach for TCBC.

Revised Completion Date: 31 March 2018 |
| Duty Resource Management 15-16 | Development of the requirements for the new duty resource management system be considered alongside the implementation of the new finance, human resources and payroll systems either as a combined HR / payroll and duty resource management system implementation or to take into account the requirements in a separate, later implementation. | 2 | This is agreed and will be considered as part of the FIRMS Programme in collaboration with SWP. | ACOR | 30/09/2016 | 31/03/2018 | The FIRMS implementation has completed for HR, Finance and Payroll.
The LDS system is planned for implementation in April 2018.
The Duty Resource Management system is planned for implementation May 2018. The corporate and user requirements are built into the specification for this system.

Revised Completion Date: 31 May 2018 (Phase 3 FIRMS) |

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Vetting 17-18	A process be introduced to notify sponsors in advance of pending expiry dates of vetting clearance to ensure new Non-Police Personnel Vetting forms are completed before their clearances expire.	2	This recommendation identifies good practice. When the clearance of the redundant 'Core-Vet' records has been achieved, the Vetting Dept. will have the capacity for advance identification of clearance expiry and the ability to give early notification to subjects and sponsors.	Head of PSD/Vetting Manager	01/09/2017	01/09/2017	This recommendation identifies good practice. When the clearance of the redundant records has been achieved, the Vetting Dept. will have the capacity for advance identification of clearance expiry and the ability to give early notification to subjects and sponsors. 30/11/17 – the backlog will be cleared following approval of resources within an agreed prioritised plan with the DCC. An Update on progress will be provided to the next JAC meeting. *Revised Date for Completion: 31 July 2018.*
Fleet Management – Delivery 17-18	An exercise be undertaken to determine the utilisation of pool vehicles including the mileage covered to ascertain if fleet vehicles are being fully utilised.	3	Pool vehicles at HQ are monitored and managed daily by a dedicated member of staff. This ensures the best use of this group of vehicles. Extracting, structuring and analysing data from the pool car booking system is time consuming and consideration will be given to upgrading the Pool Car IT system.	Assistant Chief Officer - Resources	01/12/2017	01/12/2017	1.12.17. Pool vehicles at HQ are monitored and managed daily by a dedicated member of staff and cars re-allocated to improve efficient use. Data analysis has been completed and further work is ongoing due to data accuracy but mileage data is reviewed monthly to monitor distance travelled to ensure continued use of vehicles. The reporting tool will be developed to complete the analysis. *Revised Completion Date: 31 March 2018.*

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Payroll 15-16	The relevant Payroll sections of the Financial Procedures Manual be updated as planned.	3	Competing demands means this work has not been prioritised. Furthermore, with the implementation of a new HR/ Payroll system in the next 12 months consideration is being given to drafting new procedures for those systems rather than this one. This shall be reviewed in October 2016.	Rob Hart, Payroll	31/10/2016	30/09/2017	The new procedures have been developed in the new finance system, the work to draft the procedures has been tendered and contract awarded based on three month programme. Revised completion date: 30th Sept 2017. 1.9.17 - Head of Finance sourcing a resource for this work. 07.12.17 – Since the introduction of ABW there have been a number of agreed changes to the processes to ensure they are efficient and effective. In turn, this impacts on the drafted procedures. Management believe the latest change in process (November 2017) now addresses issues arising with the new system so the manual will begin to be updated. *Revised Completion Date: 31 March 2018.*

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							
Audit Title	**Recommendation**	**Priority**	**Management Response**	**Responsible Officer**	**Due Date**	**Revised Due Date**	**Latest Response**
Fixed Assets 16-17	The relevant policy or procedure be located which directs the process of disposing of all information communication technology assets.	2	The policy is attached.	Assistant Director SRS	06/12/2016	06/12/2016	The policy has been revised. **Completed.**
Marketing Social Networking 16-17	Review social media guidance to ensure that it is up to date.	3	Review of guidance to be carried out on appointment of new Corp Communications Operational Manager	Corp Comms Manager	30/10/2016	30/11/2017	*Revised date: 30 November 2017.* 07.12.17 - the social media guidance is drafted and has completed consultation awaiting DCC approval. It will be provided to Force social media users as part of "Crowd Control" system implementation in January 2018. **Completed.**
Duty Resource Management 15-16	Responsibility for ensuring that all training records and databases are accurate and up to date, and that all databases hold the same records be determined.	2	Agreed. This is a large piece of work and will require resource to cleanse all data sets. It will be co-ordinated as part of the SA8 reviews of the IRSC and L & D to allow ownership and accountability.	Insp Mark Thomas, L & D	31/08/2016	30/09/2017	Individual training records are recorded on the ITrent system which is cleansed as part of the FIRMS implementation of the LDS system in April 2018. The data is used for monthly national returns on force capabilities and drives the training for police officers to ensure compliance for each aspect of operational duty. **Completed.**
Social Networking – HR 16-17	Out of date YouTube channels be deleted and content, where appropriate, migrated to current channels.	3	The old videos will be transferred to the new site	SRS Project Team, Bob Bickel, SRS	30/10/2016	31/12/2017	The old videos will be transferred to the new site. 1.9.17 - This work is progressing as stage 2 internet implementation. *Revised Completion: 31 December 2017* 29.11.17 – The work has been undertaken. **Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Social Networking – HR 16-17	Instagram and Pinterest accounts be either properly maintained or else deleted.	3	The Pinterest account will be closed Corporate Comms officers will manage Instagram	SRS Project Team, Bob Bickel, SRS Corporate Comms Officers	30/09/2016	31/12/2017	The Pinterest account will be closed. Corporate Comms officers will manage Instagram. 1.9.17 - This work is progressing as Stage 2 internet implementation. Revised Completion: 31 December 2017 29.11.17 – The internet implementation has slipped and is now revised for completion 31 March 2018. Pintrest: This service is not used but due to technical issues the account cannot be deleted but it is inactive. Corporate Communications use Instragram and have established processes to manage the service. **Completed.**
Social Networking – HR 16-17	Blog posts be organised to signpost/link to similar blogs.	3	The SRS will create a link from the internet page to a specific blog page containing all Inspectors blogs	SRS Projects Team, Bob Bickel, SRS	30/09/2016	31/12/2017	The SRS will create a link from the internet page to a specific blog page containing all Inspectors blogs. 1.9.17 - This work is progressing as stage 2 internet implementation. Revised Completion: 31 December 2017. 29.11.17 – The request is complete and there is a blogs page on the website that links through to the blogs of the various Inspectors: https://www.gwent.police.uk/en/newsroom/blogs/ **Completed.**
Corporate Communications 16-17	To continue as planned to develop a Communication Plan, which aligns to the available resources of the restructured corporate communications department and the associated functions delivered by the team.	3	This plan will be produced in line with the PCC's Police and Crime Plan.	Corp Comms Manager	01/05/2017	30/09/2017	PCC and Force engagement document complete. Force Communications Strategy in draft for approval by 30th September. 07.12.17 – The Communications Plan for 2018 complete. **Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Corporate Communications 16-17	To continue as planned to develop an annual communications campaign plan, which will focus priorities over the forthcoming months to deliver targeted communication activities.	3	A campaign calendar is being drafted which will incorporate the national and local campaigns for the year.	Kate Tuck	01/04/2017	30/12/2017	The campaign calendar is up to date and is maintained on a weekly basis. **Completed.**
Corporate Communications 16-17	The arrangements for evaluating media and communication campaigns be formalised so to consistently evaluate the impact of each campaign, through a method which is proportionate to the resources invested in a campaign.	3	The value of campaign evaluation is well understood by the team. Once the other three plans are implemented a formal evaluation tool will be developed.	Emily Cheasty	01/12/2017	30/12/2017	Campaign evaluation is being reviewed and will be incorporated as part of drafting of Corporate communications plan. 07.12.17 - Evaluation will be incorporated in the communications plan for 2018. This will comprise use of existing platforms (Vuelio, Kantar Media, Crowd Control) to measure campaign efficacy and production of monthly reports. **Completed.**
First Point of Contact 16-17	Plans be put in place to ensure that the required level of quality assurance reviews are taking place.	2	Capacity of supervisors has been identified as an issue for the PIR to address. In the short term I have set an expectation that supervisors focus their efforts on staff who are believed to be in need of extra support and development. Good work is notified to me to be acknowledged within the staff bulletin	Supt Roberts	31/03/2018	31/03/2018	30.11.17 - Capacity of supervisors has been identified as an issue in the Post implementation Review process. In the short term the direction is for supervisors to focus their efforts on staff who are believed to be in need of extra support and development. Good work is recorded and acknowledged in the staff bulletin. The process has been implemented and therefore the action is complete. The Post Implementation Review will advise whether further supervision is required. **Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
First Point of Contact 16-17	The expectations of the mentoring role performed by omni-competent operators be formally determined and a process be put in place to ensure that they have the appropriate training for the role and that the guidance and instruction provided by each mentor is consistent.	2	Immediate management review to be undertaken of the expectations of those carrying out a mentor role. Training requirements will be identified and short, medium and long term actions identified	Supt Roberts	01/06/2017	01/06/2017	Management Review undertaken of the expectations of those carrying out a mentor role. Training requirements were identified and short, medium and long term actions identified. Process Implemented. **Completed.**
First Point of Contact 16-17	A formal process be established for operators to regularly meet with their supervisor on a one-to-one basis.	3	Capacity of supervisors to manage up to 24 monthly 1:1's has been acknowledged as an issue for the PIR. Expectation has been set that supervisors focus efforts on those who require additional support	Supt Roberts	31/03/2018	31/03/2018	Process Implemented and all operators have one to one meetings; the frequency determined by the level of support required by individuals. **Completed.**

Police and Crime Commissioner for Gwent
Internal Audit Recommendations – Status Report as at 12 December 2017

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
First Point of Contact 16-17	A process be established for obtaining information on complaints and feedback on performance of the First Point of Contact service be established and the information be included within the routine performance reporting for the service.	3	Regular monthly meetings have already been initiated with the Deputy Police and Crime Commissioner with a view to identifying feedback from complaints data. Lessons learned are to feature in regular staff bulletins for staff. FAQ's will also be placed onto force website and covered in social media posts as a pro-active means of raising public awareness of our services and performance	Supt Roberts	01/09/2017	01/09/2017	Complaints data formally reviewed monthly. Lessons learned feature in regular staff bulletins. FAQs also be placed onto force website and in social media posts as a pro-active means of raising public awareness of our services and performance. **Completed.**
First Point of Contact 16-17	Regular updates on the progress of the First Point of Contact project be provided to staff and other stakeholders.	3	This is to be addressed through regular staff bulletins	Supt Roberts	01/09/2017	01/09/2017	This is addressed through regular staff bulletins. **Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Vetting 17-18	The organisation's Vetting Policy be reviewed and updated as planned.	2	The National Vetting Code of Practice, established by the College of Policing has been in draft format since April 2014. It will replace all guidance previously issued in relation to Force Vetting. There have been continued delays in it being laid before Parliament but the College have announced an expected implementation date of September 2017. Review of the Gwent Police Policy and Procedures has been postponed on the basis that until May 2017, The College of Policing informed that publication was 'imminent'. Once The Vetting Code of Practice is in place, it will replace the local policy/procedure which will simply be to comply with the Code of Practice. The current policies comply with the eight principles of good	Head of PSD	30/09/2017	30/09/2017	Still awaiting National Vetting Code of Practice. 30/11/17 – the National Vetting Code of Practice is now in place and Gwent has adopted this as best practice and replaced the previous vetting policy. **Completed.**

			vetting practice as set out in The Code. The Draft Code is available for reference by the Force Vetting Dept. Local Policy/ procedure will be replaced with the National Vetting Code of Practice.			

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Vetting 17-18	The organisation's Vetting Procedure be reviewed and updated as planned.	2	See 1. above	Head of PSD	30/09/2017	30/09/2017	30/11/17 – the National Vetting Code of Practice is now in place and Gwent has adopted this as best practice and replaced the previous vetting policy. **Completed.**
Vetting 17-18	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.	3	Agreed. Vetting Manager has implemented a manual spreadsheet to record the number of outstanding clearances as well as the number which are pending.	Head of Vetting/ PSD Manager	30/06/2017	30/06/2017	**Completed.**
Vetting 17-18	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.	3	Direct contact with officers/staff and line managers to reinforce the need for compliance.	Head of PSD	31/05/2017	31/05/2017	**Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Vetting 17-18	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.	3	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.	Head of PSD	16/06/2017	16/06/2017	**Completed.**
Vetting 17-18	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.	3	Complete. Clearance achieved.	Head of PSD	16/06/2017	16/06/2017	**Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Vetting 17-18	Annual Reviews of randomly selected Management Vetting and Enhanced Management Vetting clearances be undertaken in accordance with the National Vetting Policy and these be recorded to demonstrate compliance.	3	Agreed as best practice, To be adopted	Head of PSD/Vetting Manager	10/06/2017	10/06/2017	**Completed.**
Fleet Management – Delivery 17-18	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.	2	The overdue services were identified by management and an action plan was established to mitigate the risk by providing replacement vehicles whilst the backlog was addressed. Mechanism is in place to identify and plan vehicle servicing 1 month in advance of due date.	Head of Fleet Services	22/06/2017	22/06/2017	**Completed.**
Fleet Management – Delivery 17-18	A process be put in place to identify when MOTs are due to expire to prevent the risk of vehicles being on the road without an MOT certificate.	2	The process for updating details on Tranman will be established.	Head of Fleet Services	01/09/2017	01/09/2017	The process for updating details on Tranman will be established. 08.12.17 - Process to identify when MOTs are due is in place. MOT expiry dates are now updated on Tranman and MOT certificates are scanned and attached to vehicle record on Tranman. **Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Fleet Management – Delivery 17-18	The Tranman electronic diary be re-introduced to enable the forward planning of workshop capacity.	3	The whiteboard details daily jobs and compliments the long term booking detailed in the Tranman system The implementation of the new tri force Tranman system is now implemented and the long term planning system needs to be re-established.	Head of Fleet Services	01/09/2017	01/09/2017	The whiteboard details daily jobs and complements the long term booking detailed in the Tranman system The implementation of the new tri force Tranman system is now implemented and the long term planning system is planned for implementation by 30 September. 08.12.17 - Management will assess demand and workflow to determine the benefit. Current working practice is that cars are brought to the workshop when there are problems at which time they are assessed, repaired and serviced as necessary. Cars are booked when they have undertaken 12,000 miles or one year since the previous service. **Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Risk Management – Mitigating Controls 17-18	A process of risk horizon scanning be implemented with Gwent Police's main forum for risk management and review of the risk register taking on responsibility for reviewing the work of other forums on a periodic basis to identify any potential threats or opportunities.	2	A horizon scanning process is in place to identify potential threats risks and opportunities. The scan is circulated force wide and specific articles to force area leads. It also feeds into force operational tasking and force planning meetings. Identified risks and potential risks are highlighted to management through both operational & business development meetings for monitoring. Daily Management Meetings are held to identify risk as are all operational and business focused meetings. The force also receives horizon scanning from other forces, identification of risk areas via correspondence from the National Police Chiefs' Council, Her Majesty's	Service Development Officer	30/09/2017	30/09/2017	Reminders will be issued to Management as to their responsibility in assessing and reporting risks. 07.12.17 The force governance structure has been reviewed and risks are allocated to individual boards to improve governance, oversight and accountability. Horizon scanning is undertaken on a daily basis and includes risk assessment. Futures scanning is now undertaken on a daily basis and submitted for analysis monthly and for Board scrutiny. **Completed.**

			Inspectorate of Constabulary inspection and is present at the national Futures meeting again to identify emerging issues and risk. Reminders will be issued to Management as to their responsibility in assessing and reporting risks.				

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Risk Management – Mitigating Controls 17-18	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.	3	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	n/a	05/09/2017	05/09/2017	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. There are police officers who can cover the role if necessary. *Recommendation not accepted.*
Debtors 16-17	All sales invoice request forms be held in the shared folder for transparency.	2	Accepted. The importance of this control will be confirmed with all of the Purchase to Payment staff and monitored for compliance.	Head of Finance	31/12/2016	31/12/2016	The importance of this control will be confirmed with all of the Purchase to Payment staff and monitored for compliance. **Completed.**
Debtors 16-17	Processes within the purchasing and payments team be revised to ensure that the authorisation of sales invoice request forms can be demonstrated ensuring sufficient segregation of duties.	2	Accepted. Independent verification and authorisation of the sales invoice requests is essential. The importance of this control will be confirmed with all of the Purchase to Payment staff and monitored for compliance.	Head of Finance	31/12/2016	31/12/2016	**Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Debtors 16-17	Contact be made with Joint Legal Services to ascertain the position of the debts referred in the summer of 2016.	2	Accepted. Regular review meetings will be arranged to ensure that progress is made on the recovery of debt and that appropriate transparency of action is established.	Head of Finance	31/01/2017	31/01/2017	**Completed.**
Debtors 16-17	The arrangements for recommending the write-off of debt to the Joint Audit Committee and the subsequent follow up actions be clearly recorded within the minutes to ensure appropriate action is taken.	2	The minutes will capture decisions specifically to confirm write off.	JAC Secretariat	08/12/2016	08/12/2016	The minutes will capture decisions specifically to confirm write off. This was discussed and recorded in the minutes of the meeting held on 21st December 2016. **Completed.**
Debtors 16-17	In instances where outstanding debt is referred to the Joint Audit Committee for write-off confirmation be sought that such payments remain outstanding prior to the meeting taking place.	2	Accepted. The debtor control account reconciliation will confirm the accuracy of the declared status for each invoice. This will better inform the declaration of intention in the Joint Audit Report. The timing and checking of the debtor control account reconciliation will be reinforced.	Head of Finance	31/12/2017	31/12/2017	The debtor control account reconciliation will confirm the accuracy of the declared status for each invoice. This will better inform the declaration of intention in the Joint Audit Report. The timing and checking of the debtor control account reconciliation will be reinforced. **Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Counter Fraud 17-18	A target date be set and monitored for the completion of the NCALT Level 1 Information Governance training package by police staff.	2	This will be included as a mandatory element of induction of police staff to the force. Advice issued to Line Managers with list of staff who have not completed NCALT Level 1.	ACOR	31/10/2017	31/10/2017	The Information Assurance Board has reviewed the current compliance and actioned departmental heads to ensure this is arrange with their staff. Overall compliance across the force is good. **Completed.**
Counter Fraud 17-18	Regular payment card refresher guidance be provided to card holders to ensure they are fully aware of payment card fraud methods.	2	Advice note has been issued to all procurement card holders to ensure heightened awareness of the risk.	Head of Finance	31/10/2017	31/10/2017	**Completed.**
Counter Fraud 17-18	Sufficient prioritisation be applied to routine housekeeping tasks and to the issues identified during the fortnightly vulnerability scans to ensure that they are included on and addressed through the fortnightly sprint process operated by SRS.	2	The maintenance programme is detailed with specific reference to each task. Critical issues are prioritised with high, medium and low risks addressed with reference to other priorities in the force.	ACOR	03/10/2017	03/10/2017	This process has been established with the Information Security Team and communications issued throughout the force when necessary. **Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Estate Management - Delivery 17-18	Presentation of information on the annual maintenance plan be included as a standard agenda item for the Estates Implementation Group.	2	This information is presented annually to the Service Improvement Board to formally approve and record the capital maintenance programme. The same will be provided to the Estate Implementation Group.	Head of Estate & Facilities	31/03/2018		08.12.17 – A report is submitted to the Estate Implementation Group. **Completed.**
Estate Management - Delivery 17-18	A formal process for post project review of Estates schemes be implemented.	3	A summary of lessons learnt will be developed to focus on improvements. This is currently being completed for the latest development: Caerphilly Town Centre Premises.	Head of Estate & Facilities	30/11/2017		08.12.17 - A report has been submitted for Caerphilly Police Station and similar have been agreed for other significant developments. **Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Capital Programme 17-18	The Capital Programme spreadsheet be corrected with protection being applied to relevant cells to avoid overwriting in error.	2	Capital programme and monthly monitoring report has been revised and provided the updated spreadsheet to TIAA during the audit. The update has removed the formula errors. The errors identified were in the supporting tab and not in the front sheet that was submitted to management therefore we do not believe there was any risk of incorrect reporting.	Jackie Glossop (Accountant)	31/10/2017		07.12.17 – This has been addressed. **Completed.**
Capital Programme 17-18	Future monthly cashflow projections be included in the capital programme spreadsheet.	2	Future cash flows in relation to capital expenditure are included as part of the MTFP and capital programme. In year projections/forecasts are currently being considered as part of phase 2 of the FIRMS project which we anticipate going live in 2018/19.	Jackie Glossop (Accountant)	30/06/2018		07.12.17 – This has been addressed. **Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
People Services – Training and Development 15-16	A satisfaction/usefulness questionnaire be developed and completed to determine outcomes, such as whether value for money was achieved and this be recorded on I-Trent.	3	Completed level 1 evaluation on selected internal and external courses. Both on-line and paper based evaluation questionnaire are used by the force. Following attendance at a conference /seminar on the individual should brief / update their line manager and where appropriate, learning and development. There is no current system in place that will automatically issue such evaluation requests and to do so will require investment. Will review system operated by SWP as part of the FIRMS implementation. All conferences are recorded on iTrent.	Ch Insp Mark Thomas, L & D	31/03/2016	30/11/2017	Manual System established in force. Will review and revise in conjunction with SWP. **Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Stop and Search - Compliance testing 17-18	All Officers be reminded to record the reasons for "genuine suspicion", particularly in the instances where there are multiple person searches undertaken.	2	Implemented by Supt Fernquest via Corporate Comms Guardian Entry and e mails directly to all Workstream leads	Supt Fernquest	31/08/2017	31/08/2017	30.11.17 – the User Group has been set up under Insp Nigel Lewis to continue the feedback the cycle of learning driven by 'front line officer' experiences and suggestions for improvement. **Completed.**
Stop and Search - Compliance testing 17-18	Officer GWP1473 be reminded of the need to record the full details of each search on the Niche system.	2	1473 spoken to (in person) by Supt Fernquest and his supervisor and documented. .1473 has been incorporated into the improvement of stop search by acting as an 'operational guide' to the FUSION team who address IT issues with stop search	Supt Fernquest	31/08/2017	31/08/2017	30.11.17 – This has been addressed. **Completed.**
Stop and Search - Compliance testing 17-18	Further training for Special Constables in the recording of Stop and Search cases be undertaken.	2	Ch Insp Mike Richards (Specials Lead) has discussed with Supt Fernquest and will incorporate this feedback into the next Special Constabulary Training day and to address the actual individuals personally and their supervisors	Supt Fernquest/ Ch Insp Richards	31/08/2017	31/08/2017	05.12.17 - PC Craig Ellis developed and delivered a bespoke training package for the Special Constabulary. This consisted of a presentation which was supported by a number of scenarios. Most SCs have attended and the Special Constabulary Inspectors have a copy of the presentation to deliver the input to the few that missed the sessions. **Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Stop and Search - Compliance testing 17-18	Officers be reminded of the need to accurately record details relating to both parts of the legal test.	2	Stop Search has been planned into the Force Training day in February 2018 (no earlier date available)All Work stream leads asked to address this issue with their staff via SMT / Supervisors meetings	Ch Insp Mark Thomas (L&D) Supt Fernquest	28/02/2018	28/02/2018	05.12.17 - Stop Search training was delivered in Force Training Day 9 which ran from 3/11/16 to 4/1/17. All student officers going independent since that date have received stop search training. A suite of short video clips are being planned for Stop Search. **Completed.**
Stop and Search - Compliance testing 17-18	Supervising Officers be reminded to complete the supervisor check on each case.	2	To be covered in the workstream leads feedback to supervisors from the direction via Supt Fernquest at SMT on 31/8/17. This area will also form a major part of the Training Day input through L & D	Supt Fernquest / Workstream Leads Ch Insp Mark Thomas (L & D)	28/02/2018	28/02/2018	A suite of short video clips are being planned for Stop Search that will confirm the responsibilities of officers and supervisors to supplement the feedback currently in place with line managers. **Completed.**
Stop and Search - Compliance testing 17-18	Supervising Officers be reminded of the "reasonable grounds" criteria to ensure the checks are performed effectively.	3	Both Sergeants have been advised by Supt Fernquest and informed of requirements. This will form part of the Supervisors input on the Force Training day as "Lessons Learnt"	Supt Fernquest Ch Insp Mark Thomas (L & D)	28/02/2018	28/02/2018	The monitoring and feedback is undertaken through the Force "Use of Force" Management Group. Feedback is given the line managers and supervisors. **Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Stop and Search - Compliance testing 17-18	Officers be reminded of the need for accuracy of the completion of the stop and search record regardless of the outcome of the search.	3	This will form part of the Workstream Leads feedback to staff following the direction from Supt Fernquest at SMT and Via Corporate Comms This will be incorporated into the Force Training Day input	Supt Fernquest / Worksteam Leads Ch Insp Mark Thomas (L & D)	28/02/2018	28/02/2018	The monitoring and feedback is undertaken through the Force "Use of Force" Management Group. Feedback is given the line managers and supervisors. **Completed.**
Estate Management Strategy 16-17	The annual outturn report to provide reference to the Estates Strategy's objectives and principals and whether they have been met in the current year.	3	Agreed.	Head of Estate and Facilities	31/08/2017	31/03/2018	This 2016/17 report has been prepared and submitted to the Estate Strategy Board. **Completed.**
Capital Programme 17-18	Workshops be held with the managers responsible for the capital programme to provide them with the training to enable them to manage their area of the programme.	2	This is a proposal that has been driven from finance and is in progress. Once the finance team is at full complement the business partnering will be launched.	Lorna Virgo (Head of Finance)	31/01/2018		07.12.17 - the support and training has been provided to Fleet, Estate and IT. **Completed.**

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Capital Programme 17-18	The rationale for carrying forward funds to following financial years be documented and held by the Management Accounts Team in order to inform future year projections of the Capital Programme.	3	Due to staff turnover management concede that some historic knowledge has been lost within finance. This has been resolved by detailed involvement from ACO-R Nigel Stephens. The finance team has reviewed the carry forward positions and ensured that the capital programme reflects the future plans of the organisation.	Jackie Glossop (Accountant)	30/11/2017		07.12.17 – the approach has been agreed and will form the Month 12 finance report. **Completed.**
Information Management 16-17	Processes be implemented to ensure that data held within individual and departmental drives is regularly reviewed and disposed of in accordance with MoPI and Force retention and disposal polices when no longer required.	2	This work is programmed within the Data Management Programme.	Force Records Manager, Tricia Broadway	31/03/2018	30/01/2018	Looking to initiate a package alongside Niche and Force electronic records. A report to IAB to be completed with all files saved to the drive. 29.11.17 – a Project Engagement Request has been submitted to start work on reviewing the force electronic storage. This will be a project that will last a number of years and will require ongoing support from SRS and Force Records Manager. In respect of Niche, the MOPI module is due to go live in March which will automatically categorise records and automatically delete. The project arrangements are in place and a project plan will be followed. Monitoring through the Information Assurance Board. **Completed.**

Police and Crime Commissioner for Gwent
Internal Audit Recommendations – Status Report as at 12 December 2017

Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Information Management 16-17	Information Sharing Protocol owners be contacted to determine what Protocols are still required to enable new Information Sharing Protocols to be implemented.	2	ISP Leads will be contacted for review and update.	~~Force Records Manager, Tricia Broadway~~ Paul Adams	30/09/2017	30/09/2017	07.12.17 – The baseline work is complete. Those agreements that are no longer used have been removed. Owners have been asked to review and revise their agreements. Ongoing monitoring and review is part of the Staying Ahead Review of Data Management which will confirm capacity to maintain and manage the Information Sharing Agreements. **Completed.**
Debtors 15-16	To continue as planned, to demonstrate compliance with the Financial Procedures Manual (Debtors and Debt Recovery) for the recovery of any outstanding debts in excess of 28 days of an invoice being raised.	2	Agreed - SH.	Lorna Virgo	30/06/2016	31/03/2018	**Updated.**
Debtors 15-16	The Financial Procedures Manual, Section A2 Debtors and Debt Recovery be updated to incorporate a value over and above that debts will be pursued using Legal Action.	3	To align with SWP processes, no debt greater than £220 will be referred to JLS. Gwent Financial Procedures to be updated accordingly.	Lorna Virgo	31/03/2016	31/03/2016	**Completed.**
Debtors 15-16	Copies of any reminder letters issued to debtors regarding outstanding payments be retained so to support the work of the Joint Legal Service to successfully pursue any outstanding debts.	2	Agreed. New process put in place and copies of reminder letters and monthly statements retained as evidence for any potential reclaims via JLS.	Lorna Virgo	31/03/2016	31/03/2016	**Completed.**

Green = Greater than 31 days from due date

Amber = Implementation due within 30 days

Red = Implementation overdue