Tiaa Outstanding Audit Recommendations (downloaded 21 August 2019)

1. Recommendations Requiring Members' Agreement of an Extension of the Planned Completion Date						
Job	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Latest Response
Creditors	Recovery of identified duplicate payments be prioritised to ensure that Gwent Police recover the monies outstanding.	1	Agreed.Controls have been in place for a number of months that are working well in preventing any further duplicate payments. As at 21/11/18 we have identified the duplicate payments totalled 130 invoices for the sum of £1,045k. Of this, £482k has been recovered and £564k remains outstanding. These outstanding amounts continue to be vigorously pursued with suppliers with a specific focus on recovering the high value items in the first instance. Copy evidence to confirm payment to, and recovery from, suppliers is being provided. The level of recovery is also being monitored and reported on a weekly basis to the ACOR.	Joint Heads of Finance	31/07/2019	23.08.19 - this process is still ongoing. Gwent Police have recovered £840,583.77 from duplicate payments to date with £235,710.17 outstanding. These outstanding amounts continue to be vigorously pursued with suppliers, using Joint Legal Services input where necessary. The level of recovery continues to be monitored on a regular basis. The recommendation is being implemented. An update will be provided to the Joint Audit Committee on 12.09.19. **Extension requested to 30.09.19.**
Staying Ahead 8 theme – Corporate Communications	The proposals outlined in the Options Paper "What Works" be presented to the OEEB in April as planned and evaluated and approved as appropriate.	2	Paper drafted but deferred to Service improvement Board May 2019.	Supt Vicki Townsend	31/05/2019	27.08.19 - The Service Improvement Board has been delayed by Chief Officers until September 2019. **Request for extension to 30.09.19.**
Local Policing–Property and Cash	The Access code to the Drugs and Firearms Store room at Ystrad Mynach be changed and provided to officers on a need to know basis.	2	The security issues raised would be best resolved by introducing a swipe entry mechanism to the room (similar to existing entry systems in place to buildings around the force). This will be formally requested The entry code written close to the door has been removed. A sign reminding staff not to note the number in a similar location has been placed on the door as an interim measure, pending a more robust solution being introduced by Estates.	Kieran McHugh, Head of Estates	31/07/2019	27.08.19 - the work to secure the door has been addressed with the existing digital lock. The PFI Voluntary Termination process is ongoing and a new card access will be fitted on completion of this. **An extension to 31.10.19 is requested based on PFI termination date.**
Fleet Management – Single system	The import facility within Tranman to automatically download tyre spreadsheet data and create jobs be fully utilised as an efficiency measure in order to achieve the intended benefits of the collaboration agreement.	2	Agreed.Training with System Supplier has been arranged. A lack of management in the workshop, coupled with a high turnover of admin staff has meant that the facility hasn't been developed.	Head of Fleet, Gwent	31/07/2019	08.08.19 - SWP is implemented and DPP utilised from September 2018. GP has now had training and Go Live 1 September 2019. **Extension requested to 30.09.19.**
Payroll 17-18	A payroll procedures manual be developed as planned.	2	A joint manual with SWP will be developed based on the structures and processes implemented.	Payroll Services Lead	31/07/2019	22.08.19 - Payroll has transferred to Finance and this will be addressed by 30 September 2019. **Extension requested to 30.09.19.**
Payroll 17-18	The payroll processing routines be finalised and documented as planned.	2	A joint manual with SWP will be developed based on the structures and processes implemented.	Payroll Services Lead	31/07/2019	22.08.19 - Payroll has transferred to Finance and this will be addressed by 30 September 2019. **Extension requested to 30.09.19.**
Collaborative Project	Clarification be obtained as to how the risks are reported to the Risk Leads in each individual force.	3	A process will be introduced whereby the Risk Register will be shared with Risk leads in the three Forces following the Quarterly Oversight Board Meeting.	Head of ROCU	10/07/2019	May 2019 - A process will be introduced whereby the Risk Register will be shared with Risk leads in the three Forces following the Quarterly Oversight Board Meeting. Progress Report has not been received and will be folowed up prior to the Joint Audit Committee. **Request extension to 30.09.19.**
Governance Assurance Framework	The Delivery Board and Strategic risk registers be updated to include the initial risk score as required by the template.	3	The update reports into board will contain the original risk assessment to each risk.	Rachel Jones Performance/Risk Officer	30/06/2019	22.08.19 - Proposal has been drafted for consideration by ACOR and Head of Service Development in September so that this is signed off and implemented by 30.09.19. **Extension requested to 30.09.19.**
Collaborative Project	The profile of the Unit's staffing by force be reviewed and agreed.	3	It is believed that there has been a misinterpretation of the resources provided by SWP between April 2018 and February 2019. A review of the findings in this report identified a minimal change (two individuals) in the make-up of South Wales Police staff between the material dates.	Head of ROCU.	31/05/2019	28.8.19 Progress Report has not been received and will be folowed up prior to the Joint Audit Committee. **Request extension to 30.09.19.**
Collaborative Project	Clear recruitment protocols be established to ensure transparency in the appointment process, in order to avoid negative reactions such as allegations of poaching or cherry picking staff, and ensure all parties receive the benefits of the collaboration.	3	Since the issue that arose in 2018, processes have been altered to ensure that line managers are made aware when their staff apply for roles in the ROCU. Across the three forces, the recruitment process for roles within the ROCU is fair and transparent.	Head of ROCU	01/04/2019	22.08.19 - Progress Report has not been received and will be folowed up prior to the Joint Audit Committee. **Request extension to 30.09.19.**
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.	Payroll Lead	31/07/2019	22.08.19 - Payroll has transferred to Finance and this will be addressed by 30.09.19. **Extension requested to 30.09.19.**

2. High Priority (Priority 1) Recommendations Where the Planned Completion Date Has Not Yet Expired
None.

3. Recommendations That Have Been Completed or Rejected						
Job	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Latest Response

HR Management – Training and Development	Urgent attention be given to ensuring all staff complete all mandatory courses within a specified period of time. This must be driven by Business Unit and Department heads.	1	A force wide email has been circulated to all staff by CI Mark Thomas to ensure staff are completing the mandatory packages. This was also discussed with department heads at the quarterly training plan meeting on 7th May to ensure NCALT completion is discussed with staff and they are given protected time to complete. They were also advised at this meeting that there will be a CPD training day commencing in July where staff will have protected time to complete NCALT packages.Compliance is being monitored and appropriate escalation routes are in place.The mandatory NCALT packages will be reviewed on an ongoing basis.	CI Mark Thomas (Head of L&D) & Laura Andrews (Service Delivery Manager)	31/07/2019	22.08.19 - a Force wide email has been circulated in relation to mandatory packages. It was also discussed at the latest training plan meeting on 18.07.19regarding completion and what packages are required next year. The People & Diversity Board are updated with compliance figures within the highlight report. Force Training Day CPD day has now commenced where staff have the opportunity to complete NCALT packages on this day. Compliance will be checked whilst the CPD day is running. **Complete.**
Follow Up	R03 - IT DISASTER RECOVERY 2010/11 - June 2011 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 wil 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 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.	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.	Assistant Director SRS	31/07/2019	22.08.19 - the DR Tests for the Platinum Systems are now tested as part of normal business practice. **Complete**.
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 â€" end of August 2014 for building works and 6 months commissioning work for ICT â€" end of February 15 â€" April 15. Revised completion date April 2015. See report IT Disaster Recovery 2010/11 above, recommendation R03.	Infrastructure Services Manager	31/07/2019	22.8.19 - test environments (Sandpits) now established for primary systems (NICHE, FIRMS and Storm Command & Control) as force primary systems. **Complete.**
Finance and Resource System Implementation	Appropriate line managers be identified for GWP277675 and GWP400673 and information on Agresso Business World be updated accordingly.	2	There is currently a 'gap' in the notification of changes, this is due to be addressed as part of the impending restructure which will see the creation of HR Officers which will be allocated to business areas. Part of their role will be to update systems and ensure the 'golden record' is achieved and maintained.	Head Acting Head of HR	01/09/2019	22.08.19 - All officers and staff have been linked to line management. **Complete.**
Finance and Resource System Implementation	People Services to ensure that employee changes are made on Agresso Business World in a timely manner to ensure that the 'golden record' remains accurate and up to date.	2	There is currently a 'gap' in the notification of changes, this is due to be addressed as part of the impending restructure which will see the creation of HR Officers which will be allocated to business areas. Part of their role will be to update systems and ensure the appropriate 'golden record' is achieved and maintained.	Acting Head of HR	01/09/2019	28.08.19 - Actvity on the Golden Record is progressing between Acting Head of HR and the FIRMS Team and linked into the implementation of the National Enabling Programme. This includes regular sample tests on the quality of records. **Complete.**
HR Management – Training and Development	Analysis of additional charges incurred on training from outside the L&D department be undertaken and departments requested to identify the propriety of individual transactions.	2	This has been reviewed as part of the year end out-turn. Cost codes will be re-issued to ensure control is improved to spend against the central budget.	Neil Lewis – Head of PS CI Mark Thomas (Head of L&D)	31/07/2019	22.08.19 - External Training account codes have now been restricted to L&D staff to ensure that other departments are not raising purchase orders on their own cost codes. **Complete.**
HR Management – Training and Development	The department to look to optimise the functionality of the new systems to save cost and time when the core system has been embedded including ensuring Staff receive training on the new functionality as required.	2	We are currently exploring the wider uses of Kallidus, starting with the evaluation sheet.The 'Self Serve' function will be tested when we have a course suitable to be used this way.Our South Wales Business partner is happy to support us and deliver any training required to the team as we are exploring all Kallidus functions.	Laura Andrews (Service Delivery Manager) & Ann-Marie Richardson (L&D admin supervisor)	31/07/2019	22.08.19 - The 'Self Serve' function has now been tested on a course and this has been successful. Staff have been able to use the function to book themselves on to available dates. **Complete.**
Staying Ahead 8 theme – Corporate Communications	The draft Corporate Communications Delivery Plan is to be finalised, reviewed and approved for 2019/20.	2	The Gwent Police (Force) Delivery Plan for the Joint Communication & Engagement Strategy was submitted to OEEB in April prior to sign off at COT in May and submission to SPB in June.	T/Insp David Seymour	30/07/2019	23.08.19 - the delivery plan has been completed and approved and is being built into the Force Performance Framework by Supt Jason White. **Complete.**
HR Management – Training and Development	Core training of Gwent Officers transferred into Collaborative Units be routed through L&D to ensure there is no duplication or additional expense incurred where Gwent has the availability and resource to provide the training internally. This will ensure accuracy of the training record and potentially lead to cost savings.	2	Gwent finance department are currently querying this with South Wales Police finance department. The Service Delivery Manager has made the heads of departments of both JSIU and JFU aware of Gwent training processes.	Laura Andrews (Service Delivery Manager)	01/07/2019	22.08.19 - Collaborative department heads have been made aware that all training requests for Gwent officers and staff are to be directed through L&D for authorisation and booking. Agreement reached with SWP L&D department not to charge collaborative staff and signed off by the force finance directors. **Complete.**
Creditors	The 'No Purchase Order, No Pay' policy be implemented as planned.	2	Agreed. The "no PO, no pay" policy has already been confirmed and a staged plan for implementation will be finalised shortly. The focus will initially be on those departments with larger non-pay budgets. The policy will then be rolled out more widely across the whole force.	Joint Heads of Finance/ Head of Procurement	30/06/2019	23.08.19 - Implementation is in progress and on plan as previously presented to management. Recommendation to close plan and a report to be presented on the progress through quarterly financial reporting. **Complete.**

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HR Management – Training and Development	The Service Delivery Manager and Chief Inspector are to complete the Learning and Development People Plan for 2019-2022 and obtain approval at the next Board meeting.	2	People Plan 2019-2022 went through the governance structure in April 2019 and was approved by COT on 07 May 2019. Design of the plan is scheduled to be completed by 24 May 2019. The 'plan on a page' will then be rolled out across the force.	CI Mark Thomas (Head of L&D) & Inspector Lysha Thompson Talent Management and Assessment Inspector	20/05/2019	22.08.19 - the People Plan 2019-20 and the L&D one year plan have been completed and will be rolled out to the wider workforce by Corporate Communications. **Complete.**
HR Management – Training and Development	In order to maintain the authenticity of the "Golden record" a directive be communicated through Corporate Communications that all training (internal and external), conferences and training fees be directed through the L&D department.	2	During the quarterly training plan meeting held on 7th May. It was discussed with department heads the need to ensure all staff are aware of the process in regards to requesting and booking training. They were reminded that L&D hold the training budget so we can accurately report on the training spend at year end and the importance of keeping staffs 'Golden Record' up to date. An action was raised for all department heads to ensure staff are aware of this and this will be monitored.	Laura Andrews (Service Delivery Manager)	20/05/2019	22.08.19 - Departments are now aware that all training is to be directed through L&D to ensure accuracy of staff training records. This has been communicated through the quarterly training plan meetings and communications with L&D Admin. The Rota Team are also assisting with this and making us aware of any requests to add training days to staff rotas. **Complete.**
Estate Management – Governance Arrangements	An exercise be undertaken to ensure that the Force has deeds or relevant Land Registry documents for all owned properties as proof of title.	2	Previous exercise undertaken for establishments of PCC arrangements in 2012 - an audit will be commenced in January 2019.	Head of Estate and Facilities	31/07/2019	27.08.19 - confirmed that this work is complete. **Complete.**
Fleet Management – Single system	Regular meetings be scheduled between the Fleet Managers/Heads of Fleet to discuss all aspects of the collaboration of the system with agendas and minutes documented for the meetings.	2	Agreed.Meetings arranged.	Three Fleet Managers	31/07/2019	08.08.19 - Meeting held today and further meetings planned on a quarterly basis starting on 20.09.19. **Complete.**
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	30/11/2019	23.08.19 - Barclaycard have brought in an added level of security to help prevent fraud. New cards will be issued with PINsentry card readers or passcodes delivered by text. **Complete.**
# 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 failed replication is due to the volume of data being replicated to the available / lack of capacity.	Assistant Director SRS, Jon Price	31/07/2019	28.08.19 - **Complete**
Fixed Assets	Process documentation be developed for fixed assets.	3	Fixed Assets will have a process overview and map added into our process documentation folder. These will follow the same format as those PWC provided for the other finance activities. As the Fixed Asset module is currently being tested and the go live date is 4th March. The procedure will be finalised in line with the annual accounts process.	Jackie Glossop	30/06/2019	23.08.2019 - The fixed asset module processhas been developed during Q2 with team sessions held on 21.08.19 to confirm processes and formally report within the Q2 finance report. **Complete.**
Pensions	Pension administration be included within the Payroll Procedures Manual.	3	Agreed.	Payroll Lead	31/07/2019	22.08.19 - Pensions Administration is included in the manual and the Collaborative Pensions Manager works closely with officers, staff and the payroll team to ensure notifications are timely and accurate. **Complete.**
Staying Ahead 8 theme – Corporate Communications	A 'campaign/event template' be introduced to facilitate the planning, control and monitoring of events and campaigns.	3	This is being developed with expected outcomes.	Emily Cheasty	31/07/2019	22.08.19 - Communications Plan and Communications Strategy completed as well as a Campaign Pro-forma document. In addition, following a national communications meeting communications objectives and metrics will be developed as part of a national measuring framework. **Complete.**
HR Management – Training and Development	Kallidus contains several pages of dummy training activities and a housekeeping exercise to be performed to remove uncompleted courses.	3	Our Kallidus business partner has confirmed that these packages appear on every training record at the point of enrolment. He has changed the settings and we will know by 17/05/19 if this has been successful. If not, this will be escalated to Kallidus technical team to resolve.	Ann-Marie Richardson (L&D Admin Supervisor)	01/07/2019	22.08.19 - The dummy South Wales courses have now been removed from staff training records. **Complete.**

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Collaborative Project	The Head of the Regional Undercover Unit gain indicative estimates of accrued undercover costs at each quarter end in order to mitigate unaccounted expenditure within the year to the Collaborative Accountant.	3	Recommendation will be implemented.	Head of ROC / .DCI Lead for Undercover Unit / Collaborative Accountant	01/07/2019	May 2019 - Recommendation will be implemented. Corporate Finance have already taken steps to try and retrospectively address the coding issue and this can only be done retrospectively due to the covert nature of the situation. Any potential timing issue with advances being issued at the end of one financial year and expenses being coded in a subsequent financial year will be consistently repeated every financial year anyway and so you would be getting a full year of expenses in each financial year even if there are timing differences. 22.8+F28:F33.19 - Undercover costs now captured and reported. **Complete.**
Collaborative Project	A service level agreement be drawn up for the provision of ICT services.	3	Service Level Agreement in the process of being finalised and signed.	Head of ROCU / Head of ICT	01/07/2019	22.8.19 - SLA has been drafted with ICT. **Complete**
HR Management – Training and Development	The ability to view the GRS relief profile when planning courses be put in place.	3	L&D admin have now been given further access to report from GRS which enables staff to use the system to assist with arranging force training day. Checks in relation to checking shift cover and duty cover lies within the force rota team.Dates are published for training events by L&D. Staff request a suitable date and the rota team are asked to book them on. It is up to the staff member to ensure they have line manager permission to attend and the rota team to double check for any abstractions. *This is not a function for L&D.*	Laura Andrews (Service Delivery Manager)	20/05/2019	22.08.19 - Access granted and facility in use. **Complete.**
Collaborative Project	Alternative funding avenues be explored including ascertaining how other forces access revenue streams or achieve in kind savings and action taken where appropriate.	3	Ongoing process to identify alternative funding streams for ROCU via the Welsh Government, Academia and Private Industry.	Head of ROCU	01/04/2019	May 2019 - Ongoing process to identify alternative funding streams for ROCU via the Welsh Government, Academia and Private Industry. Alternative funding sources are constantly being sought by the unit and by finance. There are examples of when this was achieved in 2018/19. 22.8.19 - Regular discussion with WG and other partners over funding at both Welsh Chief Officers Meeting and All Wales Policing Group. **Complete.**
Expenses and additional payments	Documented procedure notes on expense claims checking be produced for the Payroll Team.	3	Agreed.	Rob Hart Payroll Lead	31/03/2019	28.08.19 - This has been developed as a process map and document drafted and reviewed by Finance. **Complete**
Risk Management – Business Continuity 15-16	The training needs of nominated workstream BCM leads be assessed once the Staying Ahead 8 review of back office services has been completed.	3	Primary initial training programme agreed in the Strategic BCM Group will be operational staff. With the re-shaping of the back office support functions (SA8), once this has been completed and BCM plans have been done the training process will be developed for these areas unless an opportunity arises sooner.	PC 338 Mark Jenkins Force Planning Unit	01/04/2020	22.08.19 - This process is now embedded into the Business Continuity annual work plan. **Complete.**
Governance Assurance Framework	The draft Joint Risk Management Strategy and Policy be formally consulted and approved.	3	The Joint Risk Management Strategy and Policy are currently under consultation and review through force Boards.	Governance officers / Policy Officer	30/06/2019	28.08.19 - the policy and EIA approved by Scrutiny and Executve Board on 28.08.19. **Complete.**