

Tiaa Outstanding Audit Recommendations (downloaded 8 November 2018)

1. Recommendations Requiring Members' Agreement of an Extension of the Planned Completion Date						
Job	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Latest Response
2017/18 Finance and Resource System Implementation	User guidance for Purchase to Pay (Accounts Payable) be redrafted and updated to reflect the changes made following the system implementation.	2	This is accepted and the team utilise Of User guidance in the form of and "How To" guides and "Know How TV" that was released as part of the transition to BW. These guides were written from an end-user perspective. The user-guides for the Accounts Payable team are in the process of being re-drafted in line with a review of the process flow within P2P (System and non-system related). The first step is to implement non-system related SLA's for the team that will be in place by May 18. The full documentation for Purchasing to Pay cycle will be completed by September 2018.	Head of Finance	30/09/2018	27.11.18 - the original planned approach has been revised and the team is undertaking process mapping work with PwC. The process mapping exercise is partially complete. The review and updating of the workflows will be completed following further discussions with the external consultant and documentation of the outstanding processes. Request for revised completion date: 31 March 2019.
Budgetary Control 17-18	Gwent Police's financial management and administration procedures be documented as planned through the process mapping exercise to be carried out.	2	The process mapping exercise is in progress. We have engaged with PwC to support this and the budgetary control aspects will be included in this. This work will realistically be completed in the new financial year due to the year-end work that will be prioritised over the next few months.	Head of Finance	31/12/2018	27.11.18 - the process mapping exercise is already partially complete. The review and updating of the workflows will be completed following further discussions with the external consultant and documentation of the outstanding processes. Request for revised completion date: 31 March 2019.
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	31/10/2018	21.08.18 - Payroll processes have been mapped however due to the first year end on new system the written procedure has been delayed. 22.11.18 - Request for a Revised Completion Date of 31 March 2019.
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	31/10/2018	21.08.18 - Payroll processes have been mapped however due to the first year end on new system the written procedure has been delayed. 22.11.18 - Request for a Revised Completion Date of 31 March 2019.
GDPR Compliance Audit review 1	Privacy Notices be documented as intended for volunteers, the Public Response Unit and recruitment as intended.	3	The additional privacy notices have been started with assistance being sought from organisations such as the Independent Custody Visiting Association in relation to volunteers as and when required.	Head of Assurance & Compliance	31/10/2018	21.11.18 - The Staff and Recruitment privacy notices have been finalised. Work is progressing with the volunteers and complaints notices. Completion of this recommendation has been delayed due to recurring issues within the OPCC. Request for revised due date: 31 December 2018.
Creditors 17-18	All staff be reminded that creation of a purchase order should be the primary means requesting goods and services and that procurement should only take place without a purchase order in exceptional circumstances.	3	We have already commenced discussions with SWP on implementing a no-PO, no pay policy. Due to the new system implementation and the teething issues experienced it was agreed that this would be delayed until the new financial year. Finance are working closely with procurement on the communication with staff and suppliers on this change to policy which we expect to go-live from the 1 April 2018.	Head of Finance	31/12/2018	27.11.18 - changes in personnel have delayed the process. The "no PO, no pay" policy has already been confirmed and a staged plan for implementation has been drafted. The focus will initially be on those departments with larger non-pay budgets for implementation with budgets for 2019/20. The policy will then be rolled out more widely across the whole force. Request for revised completion date for the whole force: 30 June 2019.
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	31/03/2018	29.11.18 - 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. Adequate controls in place at this time however, Vehicle Tracking equipment is planned as part of the Digital Services Division work programme which will address this requirement - it is planned for implementation in 2019/20 so revised date request of 31 March 2020.
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.	Head of Payroll	31/10/2018	21.08.18 - Payroll processes have been mapped however due to the first year end on new system the written procedure has been delayed. 22.11.18 - Request for a Revised Completion Date of 31 March 2019.
2. High Priority (Priority 1) Recommendations Where the Planned Completion Date has not yet Expired						
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 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 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	31/03/2019	29.11.18 - This forms part of the Disaster Recovery work for which there is a separate report on the agenda. Ongoing.
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 of August 2014 for building works and 6 months commissioning work for ICT end of February 15 April 15. Revised completion date April 2015. See report IT Disaster Recovery 2010/11 above, recommendation R03. 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.	Infrastructure Services Manager, SRS	31/03/2019	29.11.18 - This forms part of the Disaster Recovery work for which there is a separate report on the agenda. Ongoing.

3. Recommendations That Have Been Completed or Rejected						
Job	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Latest Response
Creditors 17-18	Once the review of the scheme of delegations has been finalised and implemented for the purposes of ensuring effective and efficient processing through the BW system in the short to medium term, the resultant permissions be reviewed to ensure that the approvers selected comply with the Manual of Corporate Governance going forward.	2	The revised Scheme of Delegation is now in place and is currently undergoing final checks as it has been operational since 10 Feb 2018. The Scheme of Delegation goes into a lot more detail than the MoCG as it provides information on who should code and approve each cost centre/account code. The MOCG details the over-arching principles for approval and control. Where approval permissions have been delegated to individuals less senior than Head of Department this has been agreed in advance with the relevant budget holder. The system has been set for different approval levels - under £5k and over £5k. This is set up to be consistent with SWP and not in specific reference to the GWP MoCG. We have raised this with FIRMS support and will be considering it as part of the second phase of FIRMS in conjunction with SWP.	Head of Finance	01/10/2018	27.11.18 - complete.
HR Management - Strategy 17-18	A process be established within People Services for monitoring and ensuring the completion of staff inductions and probationary reviews.	2	Probationary reviews are currently monitored and a mechanism to report non-compliance will be established to enable decision making. A formal induction day will be established on a monthly basis from January 2018. This will be monitored on training records.	HR Business Partner (AJ)	30/12/2018	08.11.18 - Police staff inductions are now arranged monthly and we have completed two successful inductions. A new process is now in place monitoring probationary periods. Line managers now are given a welcome letter and documents when they have new starters. We are also developing a New Starters Page on the new intranet site. Complete.
Creditors 17-18	Procedure notes for maintaining supplier details be documented.	2	This will be updated as part of the process and procedure work currently being undertaken with PwC.	Head of Finance	01/10/2018	27.11.18 - complete.
GDPR Compliance Audit review 1	The SAR guidance on the website be updated to ensure compliance with the Data Protection Act 2018.	3	The SAR information on the website is compliant with GDPR but will be reviewed as part of the development of the OPCC website.	Head of Assurance and Compliance	31/12/2018	21.11.18 - The new SAR information has been finalised and has been translated. It has been added to the new OPCC website which is planned to 'go live' by the end of November as long as there are no issues with the Home Office transfer of the domain name. Complete.