

Police & Crime Commissioner for Gwent
Internal Audit Recommendations - Status Report as at 25th February 2016

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

REPORT RECOMMENDATIONS			IMPLEMENTATION			
RED – HIGH PRIORITY/RISK BLUE – MEDIUM BLACK - LOW			GREEN – UPDATES			
Ref	Narrative	Risk	Original Plan Date	Current Plan Date	Responsible Officer	Current Status
	<u>IT DISASTER RECOVERY 2010/11 - June 2011</u>					
R03	<p>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 16	Assistant Director SRS	<p>The completion of the DR site in Fairwater will allow the IT teams to start the DR infrastructure works. Meeting was scheduled with SWP to commence discussions and consider potential DR service delivery options, but unfortunately SWP had to postpone the meeting which is in the process of being rescheduled. This piece of work needs to be completed before we can establish exactly what needs to be purchased, implemented and the service delivery wrap.</p> <p>Confirmation received at JOINS-IT Board on 12 Feb 2016 that the Fairwater DR site has now been handed over to SWP ICT from the supplier. The implementation plan has been revised accordingly and a change is required to delivery date.</p> <p>Revised completion date November 16.</p>

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R09	It is recommended that all mission critical applications are supported by effective and available systems level documentation for users to support the recovery and continued operation of any available disaster recovery solutions, for example for Command and Control.	M	Sep 11	Sep 16	Assistant Director SRS	<p>This now forms part of the SRS audit plan and current documented procedures are being revised.</p> <p>The current platinum systems of Command & Control, ICCS and Airwave have DR provision. The build time for the remaining platinum systems will be addressed as part of R03 above.</p> <p>Revised completion date Sept 2015.</p> <p>See latest comment per R03 above.</p> <p>Revised completion date July 2016.</p> <p>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 Sept 2016.</p> <p>For latest position, see IT DR June 2011, recommendation R03, above.</p> <p>Revised completion date November 16.</p>

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	<u>IT GENERAL CONTROL:</u> <u>CHANGE MANAGEMENT 2012/13</u> - <u>November 2012</u>					
R02	Introduce a test environment.	H	Dec 13	Sep 16	Infrastructure Services Manager	<p>We will develop a business case for Gwent Police through the BDG / BTCG process to take this recommendation forward.</p> <p>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.</p> <p>See report IT Disaster Recovery 2010/11 above, recommendation R03.</p> <p>Revised completion date Sept 2015 Revised completion date July 2016.</p> <p>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.</p> <p>For latest position, see IT DR June 2011, recommendation R03, above.</p> <p>Revised completion date November 16.</p>

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R08	Retain prior versions of applications and source code.	M	Oct 13	Sep 16	Development & Implementation Services Manager	<p>We will review this with the workstream managers and develop a business case to take the recommendation forward through the BDG / BTCG Process.</p> <p>Software will be considered once the test and disaster recovery environments are in place. See report IT Disaster Recovery 2010/11 above, recommendation R03.</p> <p>Revised completion date July 2016.</p> <p>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.</p> <p>For latest position, see IT DR June 2011, recommendation R03, above.</p> <p>Revised completion date November 16.</p>

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	<u>BUSINESS CONTINUITY & DISASTER RECOVERY 2013/14</u> - <u>June 2014</u>					
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 16	SRS	<p>This software does not exist currently within the SRS. We will develop a business case for Gwent Police through the BDG / BTCG process to take this recommendation forward. All changes are logged in the interim system. Automated software will be considered once the test and disaster recovery environments are in place. Revised completion date July 2016.</p> <p>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.</p> <p>For latest position, see IT DR June 2011, recommendation R03, above.</p> <p>Revised completion date November 16.</p>

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	<u>PAYROLL 2014/15</u> - <u>May 2015</u>					
R01	<i>Policies relating to Payroll are out of date:</i> Payroll policies should be updated. A review of other Forces' Payroll manuals could inform a general outline of the policies. Updates could include incorporation of the process map, and could make reference to the Police and Staff Handbook (a Nationwide document) and stipulate that where procedures are not outlined here, reference should be made to Local Agreements (also found on the staff intranet).	M	Sep 15	Jan 16	Head of IRSC	The policies are being revised. All Local Agreements have been updated and issued. Payroll and travel expense claims have been automated. Payroll Policy will be redrafted by Finance. The process maps / guidance are in draft form for review. Revised completion date 31 January 2016. The process has commenced but prioritisation of tasks has been necessary due to a reduced capacity within the team. The force will be moving to a new system with new processes by April 2017 so it is suggested that this date is revised Revised completion date: April 2017.

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	<u>DATA PROTECTION – INFORMATION ASSET OWNERSHIP</u> <u>2014/15 - May 2015</u>					
R01	<p><i>Information Asset Register:</i></p> <p>Information Assets should be identified and appropriate owners assigned by the Senior Information Risk Owner (SIRO), particularly for paper based information, the management of which should be mapped. A register containing details of the Information Asset, including contents, security, access, review dates and owner details should also be maintained. A regular review should then be performed of the Information Asset Register to ensure correct owners have ownership of the assets and for further Information Assets to be added/ disposed of from the register when appropriate.</p> <p>The Information Asset Register should then be accessible for all IAOs to view, enabling the sharing of relevant skills and knowledge required to perform the role.</p>	H	Aug 15	Jan 16	ACC Williams	<p>Information Asset Ownership sits under the governance of the Information Assurance Board(IAB), chaired by ACC Williams who is also the force SIRO. An action plan that underpins the audit recommendations has been drawn up and agreed at IAB. Identified Information Asset Owners have been briefed and provided with a copy of the action plan. An IAO Guidance document has been published on Force Guardian and incorporates the requirement to complete the NCalt Training Package. The Information Assurance Team has been tasked with collating the IA Register with respective business areas.</p> <p>Revised completion date January 2016. Following JAC intervention for completion by November 2015 the status is as below:</p> <p>At 17th February 2016 Asset owners identified – 100% Template issued to asset owners - 100% ISO visit to asset owners – 20 of 24 depts Returns completed – 20 of 24 Revised Completion Date: April 2016.</p>

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R03	<p><i>Policies and Procedures for Information Asset Management:</i></p> <p>It is recommended that training specific to the Force's Information Asset Management policy and procedures should be provided to all Information Asset Owners which should be updated and amended as changes occur. Training should then be provided for all Information Asset Owners as they gain the responsibility of maintaining an Information Asset Register.</p> <p>Training should also be provided to all staff so that they may become aware of any unidentified Information Assets to be registered and maintained appropriately.</p> <p>A programme should be put in place to ensure that all staff also complete the compulsory NCALT training – Protecting Information Level 2 e-learning, and all Information Asset Owners complete the Protecting Information Level 3 e-learning.</p>	H	Sep 15	Jan 16	ACC Williams	<p>Once allocation of the information asset ownership has been completed, mandatory NCALT training at the appropriate level will be rolled out.</p> <p>Performance and compliance of the training will be monitored by the training department and reported to the force performance meeting. The IAO Guidance document will be re-produced in accordance with the Force Policy and Procedure template. NCALT Training completion will be reported and monitored via the Accountability forum by L&D. The e learning programmes have been commenced and progress will be reported at JAC.</p> <p>The current status is:</p> <p>Level 1 – 1,309 complete, Level 2 – 468 complete, Level 3 – 103 complete</p> <p>This was discussed at the IAB on 17th February at which line managers were reminded to ensure compliance in their service areas with completion by April 2016.</p> <p>Revised Completion date 30 April 2016.</p>

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R04	<p><i>Mapping of Information Asset Ownership:</i></p> <p>It is recommended that an Information Asset Ownership map should be created to adhere to APP guidelines, showing a hierarchy of the responsibility for Information Assets. This should be reviewed and updated regularly in accordance with an Information Asset Management policy.</p> <p>Even though it appears that the Head of Criminal Justice, Data Management and Information Security holds responsibility for creating an Information Asset Management system increased involvement from the SIRO is required to identify and map Information Asset Ownership.</p> <p>The map must include the Chief Officer, identified Information Asset Owners and any respective Senior Information Risk Owner as a minimum to be APP compliant. The map may also include any person empowered by the Chief Officer to manage the everyday Information Asset Registers of police information within the force and other persons such as those working in IT, security and Information Management who have been assigned related roles within the function. This applies to all teams in all roles across the Force.</p>	H	Aug 15	Jan 16	ACC Williams	<p>This recommendation is fully accepted and will form the initial stage of the work that will be completed in Gwent. An IAO Register Template is incorporated as part of the IAO Guidance document. This will identify IA Owners. The Information Assurance Team will co-ordinate the completion of the IA Register.</p> <p>Revised completion date January 2016. Following JAC intervention for completion by November 2015 the status is as below: Asset owners identified – 100% Template issued to asset owners - 100% ISO visit to asset owners – 40% Returns completed - 20%</p> <p>Progress will be considered at the next Information Assurance Board.</p> <p>At 17th February 2016 Asset owners identified – 100% Template issued to asset owners - 100% ISO visit to asset owners – 20 of 24 depts Returns completed – 20 of 24 Revised Completion Date: April 2016</p>

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R05	<p><i>Information Asset Ownership Guidance:</i> It is recommended that when constructing each of; an Information Asset Register, Information Asset Mapping, Information Asset Guidance and Information Asset Ownership Training careful attention is paid to each of the sources of information and guidance policies available on the APP website. Further clarification should be requested to better define the main source of guidance that the Force is required to adhere to. This clarification should be sought from the ICO in response to the letter received on 17 February 2015.</p>	M	May 15	Jan 16	ACC Williams	<p>Clarification has been requested from the ICO and any required action will be included in the work plan developed.</p> <p>NCALT complies with APP, so it is just the compliance rates which are available at a team level on qlikview and force level provided by L+D to IAB.</p> <p>Revised Completion January 2016</p> <p>Please see response to R03 above.</p> <p>Revised Completion date 30 April 2016.</p>

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	<u>MOBILE DATA PROJECT 2014/15</u> <u>- May 2015</u>					
R01	<p><i>More resources should be brought in to assist with updating the current Mobile Register and cancelling unused contracts:</i></p> <p>It is recommended that this issue is raised at the Information Assurance Board and with the Gold Level Commander, ACC Julian Williams, so that the potential data security issues can be considered and addressed.</p> <p>Gwent Police should consider devoting more staff/hours to address the following priority areas:</p> <ul style="list-style-type: none"> • Cancelling inactive EE contracts. Gwent Police could consider a blanket approach, issuing an email to all staff stating that mobile data devices not used in the last three months will be cancelled, unless the Project Fusion team is contacted confirming that a device is still in use and should not be cancelled. • Tracing ownership of unknown devices to ensure they are all held by current employees. The exercise of issuing new mobile data devices should be used as an opportunity to require that staff surrender all current mobile data devices before a new device will be issued, and staff could be contacted in advance to complete details of current devices before a request for a new device will be processed. • Reminding staff of their responsibilities in relation to data security in relation to mobile devices, including immediate reporting lost or stolen devices. <p>Management comment</p>	H	Sep 15	Jan 16	<p>C.S. Jon Edwards</p> <p>&</p> <p>Supt. Jon Burley</p>	<p>To ease the transition between suppliers an application has been submitted to the Force Resource Board for staff member to be assigned to assist the mobile data team reconcile the existing EE deployment. This will remove risk and also ensure an efficient transition.</p> <p>Roll out of the new Note 4 devices will take place during T4 training days. Prior to attending these events, staff will be reminded that they must bring their BlackBerry device with them. The telephone number of the BlackBerry will be confirmed at this time whereupon the device itself will be wiped and EE contracts cancelled. Plan is in place with implementation commencing Oct 2015. All EE contracts will be completed by 31st Jan 2016. Revised completion date 31st Jan 2016.</p> <p>New Note 4 devices have been rolled out to officers (Completed 26th February) and the EE contracts cancelled following their blackberry's being handed in.</p> <p>At 15 January 585 EE contracts had been cancelled and it is planned that all EE contracts will be cancelled by the end of February (relating to police officers) and the end of March for police staff (approx. 100).</p> <p>Revised completion date 31st March 2016.</p>

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	<u>JOINT SCIENTIFIC INVESTIGATION UNIT 2014/15</u> - <u>May 2015</u>					
R01	<i>The central JSIU purpose/policy document should be finalised and reviewed:</i> The JSIU Corporate & Business Plan should be updated, reviewed, and finalised to reflect current operations. It should include detail on: Key areas of activity and the scope of the JSIU; and Decision making and reporting structures.	M	Oct 15	Apr 16	Tony Brown Supt Head of JSIU (SWP)	Accepted the recommendation to continue this process. The JSIU Corporate and Business Plan will be finalised when the recommendations of the Review are approved by SWP&GP ACPO. Revised completion date April 2016. Staff consultation started on 26th January 2016 and has been extended with an end date of 18th March when implementation of the Review will commence. The JSIU Corporate Business Plan will then be completed for 2016/17. Revised Completion Date: April 2017.
	<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		Head of HR	A schedule of the SWP staff with access will be provided to the ICT JOINS Group to confirm continuing access requirements. Revised Completion date 31 March 2016

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	<u>SUSTAINABLE IT(REPLACEMENT PLANNING) 2014/15</u> - <u>May 2015</u>					
R01	<p><i>Policies governing Sustainable IT should be written, reviewed, and finalised:</i></p> <p>Policies governing Sustainable IT should be written, reviewed, and finalised. These should include detail on:</p> <ul style="list-style-type: none"> • IT asset replacement timescales; • Key responsibilities for ensuring assets are appropriately replaced; and • Budgeting responsibility for IT replacement 	H	Sep 15	Dec 15	Infra-structure Manager SRS	<p>An inventory of all equipment in data hall 3 has recently been captured utilising a product called <i>DCOM (Data Centre Operations Manager)</i> which has been configured for each rack and evidenced by TIAA on 09/02/16. Consolidation of a significant amount of equipment in Newport Central has been completed to Data Hall 3.</p> <p>Revised completion date 31 March 2016.</p>
R02	<p><i>Plans for current IT Replacement operations should be formalised:</i></p> <p>Plans for currently occurring IT replacement operations should be written, formalised, and reviewed – in particular for:</p> <ul style="list-style-type: none"> • Desktop assets (including a log of all IT assets and planned IT replacement dates for each asset); and • Incomplete aspects of data storage virtualisation 	H	Mar 16		Infra-structure Manager SRS	<p>To commence once R01 above is complete. The infrastructure team are reviewing the more detailed information generated by DCOM and documenting the potential replacement dates for each item with estimated replacement costs. (Note there is a separate replacement process in place for Desktop with funding allocated to replace a number of older desktops / laptops each year).</p> <p>Revised completion date 30 April 2016.</p>

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	<u>GOVERNANCE COLLABORATION ARRANGEMENTS 2015/16</u> - <u>September 2015</u>					
R01	In accordance with the 'Collaboration Principles' report (dated 31 January 2013) the Chief Constable Gwent Police is to define the Force's approach to Partnering / Collaborative arrangements through a Policy or Framework to underpin the Collaboration Strategy agreed in January 2013.	M	Jan 16		Chief Supt Rhiannon Kirk	A policy framework will be developed that articulates the force's approach partnering / collaboration. This will be completed once R02 below is complete. Revised Completion date 30 April 2016.
R02	The 'Collaborative Schemes' document should be used as a foundation to form a complete register of all partnership / collaborative activities in existence by the Force, which is to be held centrally incorporating the commencement of each arrangement, the partners involved, whether a formal agreement is in place and if so when it is due to end or be reviewed.	M	Jan 16		Chief Supt Rhiannon Kirk	A register detailing the collaborations (police and other public services) and including the commencement date, the review date, the lead officer and the financial sums will be developed. A scoping study identified 21 areas of Gwent Police and the OPCC where Partnership / Collaborative Arrangements may exist. 31 SPOCs were nominated by Heads of Area/Dept. and a data collection exercise is underway to identify the breadth/scope of extant Arrangements. To date, 14 SPOCS have replied. The remainder are aware of the requirement and are active in gathering the data. Revised completion date 31 March 2016.

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

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	<u>WALES INTERPRETATION & TRANSLATION SERVICES (WITS) 2014/15</u> - <u>April 2015</u>					
R01	<p><i>Clarity over Responsibilities, Liabilities and Insurance:</i></p> <p>It is recommended that WITS seeks legal advice in order to clarify the responsibilities and liabilities involved in operating WITS as a matter of urgency. In the absence of interpreters holding professional indemnity insurance, an alternative type of insurance or protection should be secured to mitigate the serious risk of legal action in relation to a misinterpretation. Gwent Police, WITS, partner organisations, non-partner organisations and interpreters should be made aware of the responsibilities and liabilities as soon as they are clarified.</p>	H	Apr 16		WITS Manager	Legal advice obtained and shared with the Executive Board on the 30 th April 2015. The absence of professional indemnity insurance is an industry wide issue and WITS have requested insurance details to be provided from everyone in their database. Initial proposals for collaboration with the Chartered institute of Linguists to develop minimum accredited standards include the opportunity for discounted insurance. (This is included in the detailed action plan). WITS have now vetted 700 interpreters those who do not have insurance have been waiting for vetting results. The CIOL collaboration was approved by the WITS Board in principle on the 15 th October. Work on the final detail of the proposal is ongoing and will be reported to the WITS Board at the next meeting in March 2016.

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R03	<p><i>Accreditation and Grading of Interpreters:</i></p> <p>It is recommended that WITS verifies the accreditation of all interpreters before they are added to the Register of Interpreters.</p> <p>In addition, WITS should ensure that all interpreters on the Register are appropriately graded and that it is clear what the grades signify, when they were attained or when they should be renewed.</p>	H	Oct 16		WITS Manager	<p>Accreditation of existing qualifications is taking place. Following a meeting with the CIOL a minimum standard of accreditation at NVQ level will be developed with the Institute and a timeline for the implementation of the new qualification in March 2016.</p> <p>Good progress is being made on this at a national level.</p>
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	Apr 16	WITS Manager	<p>Legal advice has been received and planning work has commenced to manage the handover of WITS to a Local Authority. The LA met with force reps on the 9th October 2015, A draft MoU has been received from JLS and that will be used for the new collaboration and will be considered by the WITS Executive Board. A meeting between the LA, the force and Wales Audit Office to consider the proposal is planned for 2nd December 2015.</p> <p>The proposed lead LA is developing the revised MoU.</p> <p>Revised Completion Date: April 2016</p>

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3. RECOMMENDATIONS THAT HAVE BEEN COMPLETED OR REJECTED

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	<u>CORE FINANCIAL SYSTEMS 2014/15</u> - <u>April 2015</u>					
R03	<p><i>General Ledger: Control Account Reconciliation checks are not performed:</i></p> <p>If the Principal Financial Accountant does not sign off to document that account reconciliations have been checked, potential mistakes from human error (such as miscoding of expenses or revenue) could be carried down and have an effect on the following month (for several months) and put the Principal Financial Accountant at reputational risk, as well as not being in a position to supply up to date financial information for reporting purposes. Time should be set aside to check the monthly reconciliations to ensure the efficiency of the accounting system and enforce its efficient monitoring.</p>	L	May 15	Nov 15	PFA	<p>Revised completion date 30th Sept 2015.</p> <p>The majority of control accounts have been completed up to the end of September 2015. A few remain outstanding including Debtors reconciliation to Period 3, minor payroll reconciliations to Period 4 and Petty Cash Accounts.</p> <p>It is planned to complete all control accounts to Period 6 by 30 November 2015.</p> <p>Revised Date: 30 November 2015.</p> <p>Control Accounts are now up to date and in a good position to complete the year end accounting process.</p> <p>Completed.</p>

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	<u>MOBILE DATA PROJECT 2014/15</u> <u>- May 2015</u>					
R02	<p><i>A register of all post-switchover Mobile Devices should be created, regularly updated, and reviewed:</i></p> <p>A new register should be created when the EE to Vodafone switchover commences, which should be reviewed on a monthly basis to ensure it is complete and accurate, including liaison with HR to ensure that devices are returned and contracts cancelled in a timely manner for all leavers. The Mobile Device register should be reviewed monthly to ensure key information is not missing, and should contain information on the following:</p> <ul style="list-style-type: none"> • Ownership (full name, employee number, department, issuance signoff check, e-mail address or other alternate contact information); • Device (make/model, IMEI, SIM); • Account/payment responsibility (specific account number); • Contract details (talkplan, start date, end date); and • Usage (last used date). 	M	Sep 15	Jan 16	Supt. Jon Burley	<p>Asset manager has been created and currently holds details of all Note 4 devices (IMEI / Serial numbers). This will be further populated with details of user/sim number and telephone number. There are a number of other administrative functions recorded within the register. Details of this register and phone users will be fed into the Vodafone Billing Manager, extracts from which can be used to populate I-Trent. Plan in place and will go live with rollout of new devices.</p> <p>Revised completion date 31st Jan 2016.</p> <p>Completed.</p>
	<u>GOVERNANCE COLLABORATION ARRANGEMENTS</u> <u>2015/16 - September 2015</u>					
R05	In conjunction with a review of the Joint Memorandum of Understanding the 'Southern Wales Collaboration Board' Terms of Reference be located and reviewed.	L	Nov 15	Dec 15	DCC	<p>This will be reviewed at the next meeting in December 2015. Revised Completion date 31 December 2015.</p> <p>Completed.</p>

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Ref	Narrative	Risk	Original Plan Date	Current Plan Date	Responsible Officer	Current Status
	<u>PEOPLE SERVICES – TRAINING AND DEVELOPMENT 2015/16</u> <u>- October 2015</u>					
R01	Regular reports be provided to the Learning & Development Group on the status of progress against the approved bids on the External Training programme so that the Group can exercise its responsibilities more effectively.	M	Oct 15		Learning & Developmt Manager	<p>There is a standard agenda item on the Learning and Development Strategy Group Meeting, which does provide the ability to confirm the number of agreed courses/costs of courses that have yet to be booked. This was discussed at the Leaning and Development Strategy Group meeting which was held on 07.10.15</p> <p>Regular meetings are also in place with key training areas i.e. Local Policing, Crime and Operational Support to review outstanding agreed internal and external training.</p> <p>Completed.</p>

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R02	A review of the timescales for the bidding process be determined with liaison with the Finance Department, in order that a more accurate budget can be set.	M	Oct 15		Learning & Development Manager	<p>Following discussion with the Finance Department, it has been agreed that an indicative budget will be agreed each October. This will take into consideration regular known training requirements, a review of current spend against budget and known additional training for the following financial year.</p> <p>Following the annual bid process and Learning and Development Strategy Group meeting, where bids are agreed, the Finance Department will be advised of any variance against.</p> <p>Completed.</p>
R03	The total costs of all bids identified on the External Training Bids spreadsheet be calculated together with the relevant budget and this be monitored as a budgetary control process.	L	Oct 15		Learning & Development Manager	<p>The budget is reviewed at the monthly budget meeting with the finance department. The L&D spread sheet has been amended to include running cost of agreed bids and training courses booked.</p> <p>A summary of spend is submitted to the Learning and Development Strategy Group. Completed.</p>

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R05	Procedures be documented for the Certificate in Knowledge of Policing to include electronic filing of key documents to ensure a standard and consistent approach is adopted by all Trainers - including version control.	L	Nov 15		PS Learning & Developmt	<p>In relation to the IPLDP course (Post CKP course.) which commences in November, there is a document in place sets out where course documentation should be filed (electronically via PDR or share point) such as student documentation, including version control.</p> <p>All IPLDP documentation is currently saved on share point.</p> <p>The revised Post CKP course will include version control.</p> <p>Completed.</p>

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	<u>BUDGETARY CONTROL ARRANGEMENTS 2015/16</u> - <u>November 2015</u>					
R01	The Budget Book for 2015/2016 be finalised and formally published and issued to budget holders.	M	Nov 15		PMA	The implementation of the New Operating Model meant the completion of the Budget Book was delayed into early Summer. Preparatory planning has already commenced to ensure that the processes for the 2016/17 Budget Book are swifter. This will allow more timely production and publication. The budget book for 2015/16 was loaded onto the intranet in November 2015. Completed.
	<u>COLLABORATION PROJECTS – JOINT FIREARMS UNIT 2015/16</u> - <u>January 2016</u>					
R02	The Terms of Reference for the Joint Firearms Strategic Group be updated to reflect the review that has taken place.	L	Jan 16		ACC Williams	The Review of the Terms of Reference will be documented. Completed.

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R03	A forward work programme be developed by the JFSG in accordance with the Collaboration Agreement.	L	Jun 16		ACC Williams	Terms of reference are currently being drawn up in relation to an external review of the unit. The STRA will also be update in March 2016, and these pieces of work will shape the future structure of the JFU. Completed.
R04	The revised form for issuing weapons, Tasers and ammunition be rolled out to all Hubs to ensure a more consistent approach.	L	Dec 15		Elise Stokes	Completed.
R05	The signage displaying the current national threat level be changed from 'Normal' to 'Heightened' within the Cross Hands Hub.	L	Dec 15		Inspector Kevin Short	The signage was changed immediately and the importance of this was emphasised to officers. Completed.
	<u>RISK MANAGEMENT – BUSINESS CONTINUITY 2015/16</u> - <u>January 2016</u>					
R01	The MS Word Departmental BCM Plan template included as an appendix to the BCM Procedures be replaced by the recently introduced MS Excel Departmental BCM Plan template.	M	Jan 16		PC 338 Jenkins FPU	As back office support departments are completed in MS word they will be immediately transferred to MS Excel. This process is in place and being adhered to as we progress through the plans with their review dates. Completed.

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R02	Results of any business continuity testing undertaken by SRS be notified to Gwent Police to provide assurance that the Gwent Police IT infrastructure is fully protected by the SRS business continuity arrangements.	M	Jan 16		Assistant Director SRS	<p>Copies of BCM testing / desktop exercise will be forwarded to Gwent Police. Also a copy of current support and maintenance schedule for the Data Centre will be forwarded (current cover runs to 20/08/16). This document identifies the planned maintenance frequency for the mission critical plant equipment (i.e. Air Con, Fire Suppression, Generators, UPS) to ensure the equipment is fully maintained and helps to identify worn or out of date parts and enables replacement prior to their failure.</p> <p>Police Data Hall 3 document sent to BCM team in Gwent Police. Copies of previous BCM testing / desktop exercise in progress.</p> <p>Completed.</p>
R03	Workstream BCM plans be reviewed on an 18 month or 2 year cycle rather than the current requirement to review them annually unless there are significant changes to a workstream that requires the immediate review of their workstream BCM plan.	L	Jan 16		PC 338 Jenkins FPU	<p>This will be implemented immediately with the current reviews.</p> <p>Completed.</p>

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	<u>CREDITORS ARRANGEMENTS 2015/16</u> - <u>January 2016</u>					
R04	All relevant staff be reminded that Invoices be stamped when received in order to monitor the payment performance.	L	Jan 16		PFA	Staff have been reminded that invoices should be date stamped upon receipt into P&P. Completed.
	<u>GENERAL LEDGER ARRANGEMENTS 2015/16</u> - <u>January 2016</u>					
R03	The access level to Lawson for the Chief Finance Officer to the Police and Crime Commissioner be reduced from the current access level as a Principal Accountant.	M	Jan 16		PFA	The CFO to the PCC has agreed that his access to Lawson can be removed and this has been actioned within Lawson. Completed.
	<u>DEBTORS ARRANGEMENTS 2015/16</u> - <u>February 2016</u>					
R03	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.	L	Mar 16		P & P Manager	To align with SWP processes, only debts £220 or greater will be referred to JLS. Gwent Financial Procedures have been updated accordingly. Completed.
R04	In accordance with the Financial Procedures Manual (Debtors and Debt Recovery) paragraph 2.5.8 'Control Account Reconciliation', reconciliations be undertaken on a monthly basis.	L	Mar 16		Senior Financial Accountnt	Agreed. Reconciliations are now completed on a monthly basis as part of the month end/start process. Completed.

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	<u>PAYROLL ARRANGEMENTS 2015/16</u> - <u>February 2016</u>					
R02	To continue as planned to review the New Employee Form and associated processes to ensure that the Integrated Resource Service Centre receives a copy of the New Employee Form of sufficient quality.	L	Feb 16		IRSC Manager	The iRSC have a process to review the accuracy of these forms that issue from HR advisors and recruitment. An improvement plan has been developed to deal with this issue. Completed.

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	<u>LOCAL POLICING–WEST ARRANGEMENTS</u> <u>(INCLUDING CID) 2015/16</u> - <u>February 2016</u>					
R01	<p>All exhibits not found be investigated and the Property System be updated to reflect the outcome of the investigations.</p>	H	Feb 16		C.I. Staniforth	<p>All 45 exhibits have been located.</p> <p>A force wide operational property board has been established that is chaired by a Superintendent and a lead East and West appointed.</p> <p>The governance for this board is into the Staying ahead programme board where regular updates are provided.</p> <p>Property is now included as part of the performance regime and Inspectors held to account for property on a monthly basis at the performance meeting as well as in individual one to one meetings.</p> <p>Dip sampling of the electronic database now takes place.</p> <p>Completed.</p>

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R02	All drugs be stored in Store room 5 which is the locked drugs store room.	L	Feb 16		C.I. Staniforth	<p>Reminder bulletins have been issued to Inspectors who now maintain responsibility for their own storage areas.</p> <p>Drug cabinets are regularly checked by sergeants and audits undertaken by Inspectors.</p> <p>Dip samples are then carried out by C/Insp at performance visits.</p> <p>Completed.</p>
R03	Access into the temporary Property store at Blackwood be controlled and made more secure.	M	Feb 16		Head of Estate & Facilities	<p>This storage area has now been made secure by the estates department with an electronic access system being installed.</p> <p>Whilst this area remains accessible by all staff, a record of access is maintained centrally and historical data can be accessed if required.</p> <p>Completed.</p>

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R04	All overdue exhibits be reviewed by Inspectors/Senior Investigation Officers (SIOs) on a regular basis in accordance with Evidential Property Procedures to ensure the workflow of property remains current and to ensure accountability is in place. The presence of the Evidential Property System Managing Property with Qlikview and Infoview document be made aware to all relevant personnel.	M	Feb 16		C.I. Staniforth & Lyn Richardson	Further training has been provided to all officers in relation to the property system itself. Inputs have been provided to Sergeants and Inspectors in relation to Qlikview so management information can be viewed and understood. The previous system meant that only Inspectors were responsible for signing off property. This process has now been streamlined so first line supervisors take greater responsibility which has meant greater scrutiny and therefore less red flags. Completed.
R06	All F2508 forms be processed in a timely manner especially where they have to be reported to the Health & Safety Executive as a RIDDOR.	M	Feb 16		Sonia Williams & C.I. McLain	Reminders have been sent to Inspectors to ensure the timely completion of these forms. All forms are scrutinised by the business manager and delays reported to CI McLain. Completed.

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R09	All relevant Police Officers be reminded of the requirement to 'Check-Out/In' property on the system if property is moved from the locations for inspection/short term viewing or transporting to another location using force vehicles. Also where items have been disposed of, the system be updated as such.	L	Feb 16		C.I. Staniforth	<p>Officers have been reminded of the requirement to check in and out property if it is temporarily removed from the storage areas. Further training has been implemented so all should now be aware of this requirement.</p> <p>Reminders have also been issued in relation to disposal of property and requirements to update system.</p> <p>Completed.</p>

PFA - Principal Financial Accountant HOP – Head of Procurement