

Due to time constraints at the Joint Audit Committee held on 7<sup>th</sup> October 2020, it was agreed that there would be a reduced agenda and some reports would be circulated following the meeting for comment. These comments have been collated and a response provided. Please find a list of these questions and their responses below:

**\*Please note:** once completed this document will be published on the OPCC website alongside the minutes of the meeting to evidence scrutiny.

<u>Report Title</u>	<u>Question/Comment</u>	<u>Response</u>
<p><b>Internal Audit - Torfaen County Borough Council</b></p> <p><b>Quarterly Update report on progress from TCBC</b></p>	<p>We queried why Shared Resource Service (SRS) Management completed the appendices rather than the Torfaen County Borough Council (TCBC) audit team. We noted the delays to audits due to Covid in the main report. We commented that the appendices could be made more user friendly in enabling review and understanding of the outstanding recommendations. We want to understand if delays in completing the recommendations are connected to the Finance and Governance Board. We asked the Assistant Chief Officer of Resources to address these matters with TCBC so that we could be appropriately assured in the future.</p>	<p>This is the same process for all force outstanding actions where the committee receives an update on progress with recommendations and may also request extensions to the completion dates.</p> <p>The TCBC update report is provided to the December JAC meeting, similar to the TIAA update report we receive each meeting. Due to COVID19 and redeployment of the audit team to council priorities the update report was not provided to the October JAC meeting.</p>

	<p>Janet, our ICT lead, attended a meeting Nigel Stephens, Kath from SRS and Kathy from Bridewell. The notes from this meeting will be reviewed by the committee at the December meeting but it is worth noting at this stage that the reporting of progress and actions appears starker than it really is because of inter-party dependencies with collective actions not being completed until the last partner has completed them. So lagging activities have a direct effect of slowing the whole consortium down, whilst in other cases it's an indirect effect because if something goes wrong in one, resources may need to be reprioritised for the whole.</p>	<p>It is correct to state that the technologies the Local Authorities use are very similar and further convergence through M365 will accelerate this approach.</p> <p>Gwent Police is progressing system convergence with Welsh Police forces and notably South Wales Police. Therefore, recommendations from audit will need to be seen in light of the activities required to Local Authority risks separate to that of Gwent Police.</p>
<p><b>Outstanding Audit Inspection Recommendations</b></p>	<p>We queried the reasons for the delay in the completion of General Data Protection Regulation (GDPR) management and what are the risks of the delays. We asked that the next report would identify if there are any complexity and dependencies relevant to completing the action that we should be advised of in order to understand the risks of non-completion.</p>	<p>The information governance team is mapping all electronic and paper records held by departments to ensure the force categorises them for destruction so we comply with GDPR in relation to record retention.</p> <p>The force has progressed significantly over the past decade with the scanning of documents that needed to be retained into digital form and destroying paper records.</p> <p>The main focus of this work is to review all electronic files to ensure compliance and this requires the support of each department. The work involved is dependent on the baseline for each function.</p>

	<p><b>We asked for it to be noted that we</b> had an excellent presentation at the Jac with regarding evidence property and that we welcomed the levels of investment being allocated to create a focused team that will complete the management actions and create improved processes.</p>	
	<p>We noted the requests for extensions to audit recommendations completion dates and by virtue of default under current circumstances these are agreed to, but not without some queries and challenges.</p>	
	<p>We challenged the delay in obtaining the document from TCBC to complete the Collaboration Estate Management actions. We expect to see this action completed by the next report.</p>	<p>This seems to be the availability of staff in the TCBC offices as they are all working from home.</p>
	<p>We hope to see at the December meeting that the Collaborative Change Control has been completed as the delay request was to 7th October and that the Risk Management Mitigating Controls date has a specified month for completion.</p>	<p>A joint Technical Team is established to review data that traverses the firewalls between the two forces to provide clarity on current dependencies and includes the now well established request for change process (RFC)</p> <p>Other elements with interdependencies also being mapped.</p> <p>The weekly South Wales Police (SWP) SWP-ICT &amp; (Gwent Police) GP-SRS Ops meetings, monthly (Digital Services Department) DSD-ICT Stage Boards and regular SWP-ICT &amp; GP-SRS Change Assessment Boards are also operating to maintain business as usual and manage change.</p>

		<p>Oversight provided at DSD GOLD and also the SWP ICT Strategic Board (which the ACOR attends).</p> <p>Finally, for those services that also traverse other Welsh forces, the ICT Collaboration forum meets every six weeks.</p> <p>The revised programme for completing this action is 31 March 2021.</p>
	<p>We noted that the Fleet Management – single system has had significant delays and need to understand this further at the December meeting.</p>	<p>The automatic download necessitates the creation of a separate spreadsheet which needs to be checked and we have to wait until the end of a period to have the data in Tranman.</p> <p>The process we use now puts the data into Tranman immediately, no separate spreadsheet is required and no further checking of data is required.</p> <p><b>Gwent will therefore not be implementing</b></p>
<p><b>Disaster Update</b></p>	<p><b>Recovery</b></p>	<p>We noted the delay in the delivery of Phase 2 of Disaster Recovery (DR) programme from the end of October 2020 to December 2020. We queried why the plan, which was developed in May 2020 when we were in lockdown, had not taken account of the risk of potential delays due from resource shortage during lockdown. We need to be assured at the next meeting that key risks to delivery of being appropriately considered and managed and that completion by the end of December 2020 is realistic.</p> <p>A further report is being provided to JAC.</p> <p>Due to competing demand on resources in November the ACOR directed the resource to complete work on the implementation of (National Enabling Programme) NEP M365 so the force could move from business use to live roll out.</p> <p>This will delay the finalisation of the DR implementation.</p>

**Creditors and Debtors  
Progress Report  
(include update on No  
Purchase Order No  
payment)**

**Appendix 1 - Q1 Finance  
Report**

We noted that the report states that the Covid-19 pandemic has generated many of the over and underspends within quarter 1 and there is an expectation that many of the underspends are timing differences due to the pandemic.

We noted that with the general collapse in interest rates due to the Bank of England's low base rate then the rates obtained on the deposits shown in appendix 3a do not appear as far off general market rates as previously reported.

We presumed that the delays in invoice coding and approval noted in section 6.5 is Covid related as is the fall in the percentage of payments made with purchase orders. We would like to be assured that the impact of Covid is being able to be managed more effectively as that delays are being controlled.

We expressed a desire for the November finance housekeeping month to include an acceleration on the progress on debtors / creditors and coding in conjunction with SWP. Recognising that non payment between the two parties is probably not a serious risk, but the longer the delay with the paperwork, the greater the likelihood that memories fade, people leave organizations and it seems much easier to do it straight away in order to avoid errors creeping in and scope for contention downstream.

Q2 finance report confirms positive reporting on both debtors and creditors.

<p><b>Force Business interest Policy</b></p>	<p>We review the declared interests annually as part of assurance provided by management that the policies are being adhered to. It was noted with some surprise the level of second jobs that are in place and we asked if we could be provided with some further understanding as to what percentage of officers and staff who have a business interest as percentage of total headcount and how many requests have been rejected and an indication as to whether this is a concern or not.</p>	<p>Professional Standards Department are working through a number of policy and procedure changes as a result of implementing the new Police (complaints and misconduct) Regulations 2020. The Business Interests policy will be updated and a review of second jobs will be completed by the end of March 2021.</p> <p>We have a total of 353 Business Interests</p> <p>119 are Property Rental. 64 are Secondary Employment. 88 are Self Employment. 82 are Voluntary Work.</p> <p>We have received 77 Business Interest Requests in the last 12 months, 6 of which are still pending a decision, 62 were granted (with or without conditions) and 9 were declined or pulled by the applicant.</p> <p>I have checked the most recent staff list (dated 08/12/2020) and force establishment is 2927.</p>
<p><b>OPCC Business interest Policy</b></p>	<p>We observed that the Office of the Police and Crime Commissioner policy does not include volunteering and yet it states that it falls in line with the Force policy which does include volunteering. We recommend that this be addressed at the next update.</p>	<p>Volunteering by staff members of the OPCC is covered at paragraphs 1.3 and 5.5. However, the OPCC will consider if the volunteers who work for the OPCC on the Animal Welfare Scheme and Independent Custody Visiting Scheme should be mentioned in the policy and will update it as appropriate.</p>
<p><b>Internal Audit -TIAA</b></p>	<p>No comments</p>	

<p>Detailed Audit Reports:</p> <p>Detailed Audit Reports:</p> <ul style="list-style-type: none"><li>- <b>Estate Management Strategy</b> (Reasonable Assurance)</li><li>- <b>Collaborative Review - Vetting of Contracts</b> (Substantial Assurance)</li></ul>		
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