

Tiaa Outstanding Audit Recommendations (downloaded 08 February 2021)

1. Recommendations Requiring Members' Agreement of an Extension of the Planned Completion Date (Priority 1 and 2 Only)						
Job	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Latest Response
Collaborative Change Control	The long term solution that minimises the risk of infrastructure failure be explored in the form of a business case that considers a single shared infrastructure and support provision, and which addresses the risks, the costs and the time involved in implementing the solution.	1	The Policing Vision 2025, particularly with reference to the section "By 2025 local policing will be aligned, and where appropriate integrated, with other local public services to improve outcomes for citizens and protect the vulnerable." The operating model for an 'Integrated and Strengthened Service', as per the Policing Vision 2025, may be better defined when the strategic outline case options are identified.	U. Hussain & N. Stephens	31/03/2020	28/05/2020 - This work has been de-prioritised as the NEP programme is providing systems that provide services supporting greater collaborative without the need to move into a single shared infrastructure. The completion of the NEP programme (currently at implementation stage with 150 users transferred) will be the next review date on this action. Extended to 31/03/2021. 08/02/2021 - There are now 1500 users transferred under NEP following a successful pilot. Risk around single shared infrastructure will be discussed at the ICT Strategy Board in February. Extension requested to 31st May 2021.
20/21 Collaborative Risk Management – Mitigating Controls	A regular meeting (at least quarterly) between all risk representatives (managers) be undertaken to discuss risk and the management of risk across the Forces and move towards a more consistent approach.	2	SWP are happy to meet with Welsh Colleagues on a quarterly basis to discuss risk management and share best practice Gwent Police is happy to undertake a regular formalised risk meeting with the other Welsh forces to enable a more consistent approach are keen to take the opportunities to share good and best practice with the other forces with a view to improving consistency over time. The implementation date is specifically for getting a regular meeting set up with all forces.	All Force Risk Leads	31/03/2021	09/02/2021 - Welsh forces and risk managers have been extremely busy dealing with Covid 19, Brexit and related business risks. All forces are keen to undertake formalised meetings but due to capacity this has yet to take place. Extension requested to 31st May 2021.
20/21 Corporate Communications	The Internal Communications Strategy be developed, approved and published as planned.	2	This issue was flagged by the H of CC. The internal communications audit has now been completed and reported on. The strategy will be completed by end of Jan 2021.	Head of Corporate Communications	31/01/2021	08/02/2021 - In progress. Extension requested to 31st March 2021.
20/21 Estates Management – Strategy	The Planned and Reactive Maintenance Policy and Procedures be reviewed and updated to reflect the current arrangements.	2	The review of the Planned and Reactive Maintenance Policies will be undertaken by the Head of Estate and Facilities in conjunction with the Shared Facilities Management Team at Monmouthshire County Council.	Head of Estates and Facilities	31/12/2020	08/02/2021 - Arrangements to manage Covid, HQ and Torfaen Hub has pushed this matter down the priority order. Extension requested to 31st May 2021.
20/21 Collaborative Fleet Management – Fuel Usage	A communication be published to inform all relevant Police Officers and Police staff that the purchase of Premium Diesel, Premium Unleaded and Super Unleaded fuel be restricted to if it is absolutely necessary operationally or it is sanctioned by Fleet Management to ensure value for money is obtained and to demonstrate effective use of public money. This is in accordance with the Police Use of Vehicles Policy and Procedure.	2	This demonstrates non-compliance with the force Police Use of Vehicles Procedure. Communication will be written and placed on The Beat.	Fleet Admin Manager	31/12/2020	15/02/2021 - Communication will be placed on The Beat week commencing 22nd Feb. Extension requested to 01st March 2021.
20/21 Collaborative Fleet Management – Fuel Usage	All Officers be reminded that refuelling at Motorways Services is only acceptable to meet operational requirements and that this be kept to a minimum.	2	Communication will be written and placed on The Beat. Specific departments that are outliers will be targeted including the Joint Firearms Team. This will also be highlighted separately with Inspectors of Joint Firearms Unit to ensure that the message is received.	Fleet Admin Manager / ACC through JFU Oversight Boards	31/12/2020	15/02/2021 – Communication will be placed on The Beat week commencing 15th Feb 21 and will be raised during JFU Fleet meeting on 23rd March 21. Extension requested to 31st May 2021.
Local Policing – Property and Cash	A report be provided to Senior Officers at Monmouth and Newport Stations with all exhibits recorded as being present at these stations and action be taken to investigate where exhibits cannot be located and the system be updated to reflect the outcome.	2	The report used by the auditors will be provided to the Geographical Inspectors for Monmouth and Newport as recommended to investigate where these items are located. This will go in hand with a larger piece of work, which is being undertaken by Project team to deal with 'unaccounted' items recorded on the current property system.	Inspector Property	30/06/2020	01/09/2020 - A presentation will be provided to the Joint Audit Committee in September to provide a full update on Property. Extension requested to 31st December 2020. 09/02/2021 - A programme of work on the interim stores is being undertaken to fully audit them and then introduce more efficient and stream lined processes. Extension requested to 31st March 2021.
Local Policing – Property and Cash	A report be provided to Senior Officers at Barged, Blackwood and Ystrad Mynach Stations with all exhibits recorded as being present at these stations and action be taken to investigate where exhibits cannot be located and the system be updated to reflect the outcome.	2	The report used by the auditors will be provided to the Geographical Inspectors for Bargoed, Blackwood and Ystrad Mynach as recommended to investigate where these items are located. This will go in hand with a larger piece of work, which is being undertaken by Project team to deal with 'unaccounted' items recorded on the current property system.	Inspector Property	30/06/2020	01/09/2020 - A presentation will be provided to the Joint Audit Committee in September to provide a full update on Property. Extension requested to 31st December 2020. 09/02/2021 - A programme of work on the interim stores is being undertaken to fully audit them and then introduce more efficient and stream lined processes. Extension requested to 31st March 2021.
Collaborative - Estate Management Delivery - Lead Force – North Wales	A fully signed copy of the General Building & Electrical Maintenance and Refurbishment Works be obtained from Torfaen or Monmouthshire County Council.	2	The procurement was managed by TCBC with representation from all three partners. A copy of the signed contract will be obtained.	Head of Estates and Facilities	31/01/2020	08/02/2021 - A copy of the contract has been located and will be signed. Extension requested to 31st March 2021.

GDPR Compliance Audit review 1	All personal data held within individual and team drives and devices be identified and a decision made on their continued use or removal.	2	The assessment of personal data held within individual and team drives and devices forms part of the corporate information governance strategy relating to the Electronic Documents and Records Management (EDRM) programme. The corporate file plan has been developed and approved by Information Assurance Board which will be adopted following the implementation of Office 365 (early 2019). The Records Manager holds the portfolio for EDRM forms part of the new Information Governance structure with effect from 1st October 2018. Progress on this action to be provided 31st March 2018, following completion of new team.	Records Manager	31/03/2019	26/08/2020 - Data Mapping has been completed and depts recommended to review/delete their data in line with Retention Schedule. This will be addressed as part of the migration to O365. Working with the Joint DPO to produce a plan. Extension requested to 31st December 2020. 09/02/2021 - Work is progressing and training is currently being rolled out for SharePoint. Decommissioning of the u drive is planned for early 2022. Extension requested to 31st March 2022.
GDPR Compliance Audit review 1	Existing hard copy and electronic documents and data be assessed against the Document Retention Policy once it has been approved so that documents and data that are identified as no longer required can be deleted or disposed of.	2	The Gwent Police Document Retention Schedule has been approved by the Information Assurance Board. The Records Manager holds the portfolio for Management of Police Information (MoPI) and the Review, Retention and Deletion (RRD) of records. RRD in respect of hard copy files is 90% complete. Data held within legacy systems relating to Crime and Intelligence has been back record converted into Niche RMS. Legacy systems will be subsequently decommissioned. The National Minerva Working Group is seeking an RRD solution for Niche RMS. Progress on this action to be provided 31st March 2018 at which stage the NICHE solution should be known.	Records Manager	31/03/2019	26/08/2020 - Review of Crime data in SharePoint is underway and part of the migration process to SharePoint online. All hard copy data is being reviewed in line with MOPI and deleted or digitised. Proposal in relation to ORIS/Niche BRC to be produced. Awaiting RRD specification for Niche which is currently out of consultation by the Minerva Information Management Working Group. Extension requested to 31/12/2020. 09/02/2021 - Work is progressing and training is currently being rolled out for SharePoint. Decommissioning of the u drive is planned for early 2022. Extension requested to 31st March 2022.
GDPR Compliance Audit review 1	All hard copy and electronic records be assessed against the Document Retention Policy once the Policy has been approved and any documents that do not need to be retained be appropriately disposed of.	2	Work is on-going to finalise the retention schedule and a review of all electronic and hard copy information will be undertaken once complete.	Records Manager	31/12/2018	26/08/2020 - Data Mapping has been completed and depts recommended to review/delete their data in line with Retention Schedule. This will be addressed as part of the migration to O365. Working with the Joint DPO to produce a plan. Extension requested to 31st December 2020. 09/02/2021 - Work is progressing and training is currently being rolled out for SharePoint. Decommissioning of the u drive is planned for early 2022. Extension requested to 31st March 2022.

2. High Priority (Priority 1) Recommendations Where the Planned Completion Date Has Not Yet Expired

Collaborative Change Control	The interrelationships between the various force domains be fully identified and mapped.	2	The inter relationships between services operating between the two forces will be undertaken through a review of data that traverses the firewalls between the two forces. The expectation is that this will provide clarity on current dependencies as well as providing options as to future capabilities.	ICT JOINS Technical Group	30/06/2020	06/11/2020 - The technical group is established and also includes Dyfed Powys Police due to the collaborative operational teams. The mapping work is ongoing and updates provided at the Regional ICT JOINS Group, however, it is recognised that other programmes have been prioritised by each of the three forces (NEP, Niche Printing, DEMS etc) so the mapping is ongoing. Extension requested to 31st March 2021. 08/02/2021 - This will be discussed at the ICT Strategy board in February to programme the work and establish a timeline. Extension requested to 31st May 2021.
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3. Recommendations That Have Been Completed or Rejected (all)

20/21 Collaborative Debtors	Action be taken to collect old outstanding balances in line with procedures.	2	While Covid19 has not substantially impacted on the raising of invoices, it has had an impact on recovery and the manual chasing of outstanding invoices. Following changes in responsibilities from the Finance restructure, the old debt will be chased, and progress reported in the quarterly finance reports.	HoF	31/03/2021	08/02/2021 - While Covid19 has not substantially impacted on the raising of invoices, it has had an impact on recovery and the manual chasing of outstanding invoices. Following changes in responsibilities from the Finance restructure, there is a process to chase old debt, and progress is reported in the quarterly finance reports. Complete.
20/21 Collaborative Payroll	Payroll reconciliations be checked and signed as reviewed on a monthly basis.	3	Agreed. While there were no issues with the preparation of the reconciliations, the covid period, vacancies within the Finance team and an extended period of external audit of the financial statements, led to delays in senior accountant review. All reconciliations have now been reviewed and will be kept up to date.	HoF	31/01/2021	08/02/2021 - While there were no issues with the preparation of the reconciliations, the covid period, vacancies within the Finance team and an extended period of external audit of the financial statements, led to delays in senior accountant review. All reconciliations have now been reviewed and will be kept up to date. Complete.
20/21 Collaborative Debtors	The report that is run to generate the monthly statements be reviewed to identify why not all debtors are being included.	2	We have investigated and identified that some debtors were missing key data on their customer record. This has been corrected and debtors are receiving statements. As a further step to prevent this going forward, the statement printout is being compared to the Aged Debtors report to ensure every debtor is receiving a statement.	HoF	31/01/2021	08/02/2021 - Complete.
Internet/Email/Social Media	The requirement to post all YouTube videos and all posts to the LinkedIn account in both the English and Welsh languages be further investigated to ensure full compliance with the Welsh Language Standards.	2	The introduction of O365 will provide the ability to subtitle a translation for You Tube and when O365 is fully available the team will make the move to offer this. In the meantime we are exploring options including Google transcription for an interim solution. Reinforcing with all account holders the need to seek translation other than in emergency situations. This will be shared in particular with specialist account holders such as HR.	Head of Corporate Communications	31/12/2020	08/02/2021 - O365 has been rolled out to some degree but not at a stage where this can be implemented. The Google transcription service isn't providing high quality enough translations to rely on. We are therefore targeting more Welsh language traditional media which can then be shared. Not implemented, action closed.

20/21 Estates Management – Strategy	The next Estates Strategy be expanded to include how it will deliver the goals and principles reflected in the Wellbeing of Future Generations (Wales) Act.	3	This will be included in the Estate Strategy. The work is currently being progressed through the Greener Gwent board, chaired by the ACOR.	Head of Estates and Facilities	31/12/2020	08/02/2021 - A copy of the Estates Strategy Review has been sent to TIAA. Complete.
20/21 Corporate Communications	Update Welsh Language Standards Action Log to reflect Standard 119 as being compliant.	3	This will be reviewed and confirmed with the Welsh Language Officer.	Head of Corporate Communications	31/12/2020	08/02/2021 - Sections of the internet are now bilingual on the homepage. Complete.
20/21 Collaborative General Ledger	Carried forward from 2018/19 and 2019/20 All control account reconciliations be independently checked and the check evidenced through individual control account reconciliations and completion of the Month End Task List.	2	All control reconciliations (with the exception of some VAT control accounts are completed and independently checked already. While all reconciliations to the end of October 2020 (except for some VAT control accounts below) have now been completed, not all have been signed off as reviewed – this will take place in November/December 2020.	HoF	31/12/2020	08/02/2021 - reconciliations are completed and are subject to independent checks, with progress monitored on the month end task lists. Complete.
20/21 Collaborative Risk Management – Mitigating Controls	Force Risk Register be updated with mitigation for all risks identified.	2	The current risk register includes mitigation within the risk narrative. However, the force is aware that mitigation and control is not clear. It has therefore designed a new register which clearly outlines controls in place. The register will be live from December 2020.	Risk Manager	30/12/2020	08/02/2021 - The risk register has been redesigned to focus on controls in place and relevant mitigation. The new register has been live in force from December 2020. Complete.
Local Policing – Property and Cash	All property exhibits not found at Monmouth and Newport Central Stations within the West division and the other exhibits presumed to be present be investigated and the Evidential Property System be updated to reflect the outcome of the investigations.	1	This is a large piece of work, which had already been commenced by the Project team to deal with ‘unaccounted’ items recorded on the current property system. Officers have been instructed to complete a report for any unaccounted items they are responsible for, these will then be categorised, and RAG rated. A panel consisting of a representative from PSD, L&D and SMT will assess items, which fall into the High Risk category, and an appropriate course of action agreed.	Inspector Property	01/12/2020	09/02/2021 – Full audit of unaccounted items undertaken and findings presented at JAC on 07/10/20 and provided to TIAA on 02/02/21. Complete.