Tiaa Outstanding Audit Recommendations (downloaded 5 February 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
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 JAC agenda. **Revised Target Date Requested: 31.07.19.**
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. Revised completion date Sept 2015Revised 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.	InfrastructureServices Manager	31/03/2019	29.11.18 - This forms part of the Disaster Recovery work for which there is a separate report on the JAC agenda. **Revised Target Date Requested: 31.07.19.**
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	30/09/2018	06.02.19 - Meeting requested by Julie Reynoplds (Head of GP Fleet) on 06.02.19. with suggested meeting dates. Likely to be early April 2019. **Revised Target Date Requested: 30 .04.19.**
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	31/08/2018	06.02.19 - The issue of utilising the Goodyear Tyre Download module has not yet been resolved with the Goodyear supplier. An incorrect format was supplied to GP and could not be downloaded. Work ongoing to resolve. **Revised Target Date Requested: 30.04.19.**
Fleet Management – Single system	The job template functionality within Tranman be utilised at Gwent Police to improve efficiency and to utilise the Tranman system to its full potential.	3	Agreed.A lack of staff has resulted in this function not yet being utilised. Resources will be sourced to implement.	Head of Fleet, Gwent	31/12/2018	06.02.19 - this will be explored and implemented after the recruitment of a Workshop Manager. **Revised Target Date Requested: 30.04.19.**
Fleet Management – Single system	The auto parts facility on Tranman be utilised by Gwent Police in order to streamline the parts ordering and invoicing process.	3	Agreed.This will be explored via training with system supplier and/or a meeting with other fleet managers/stores personnel.	three Fleet Managers	31/12/2018	06.02.19 - this will be explored after the recruitment of a Stores person. **Revised Target Date Requested: 30.04.19.**
Fleet Management – Single system	KPIs be developed between the three Forces utilising the existing dashboard in order that effective benchmarking can be undertaken.	3	Agreed.A meeting with the system suppliers and the 3 Fleet Managers will be arranged to progress. SWP already have an audit approved KPI suite of reports	Three Fleet Managers	31/10/2018	06.02.19 - Meeting requested by Julie Reynoplds (Head of GP Fleet) on 06.02.19. with suggested meeting dates. Likely to be early April 2019. **Revised Target Date Requested: 30.04.19.**
GDPR Compliance Audit review 1	The legal basis for collecting personal information be established for all personal data identified on the IAR.	2	Work is on-going to identify the legal reasons for processing.	Head of Assurance and Compliance	31/12/2018	21.11.18 - this has been completed in draft. Ongoing. **05.02.19** The legal reasons for processing have now been included in the IAR. The document is now in final draft. Further review needs to be completed before approval This has taken longer than expected due to resourcing issues within the OPCC. **Request for revised completion date 30.04.19.**
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.	Head of Assurance and Compliance	31/12/2018	21.11.18 - Ongoing. There has been a delay in progression due to resource issues within the OPCC. **05.02.19** The retention schedule is nearing completion. Once finalised and approved work will start to review the electronic and hard copy documentation within the OPCC. Progression has been delayed due to resource issues within the OPCC. Review of electronic/hard copy information will be a continuous piece of work. **Request for revised completion date 30.04.19.**

Job	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Latest Response
Local Policing–Property and Cash	All property exhibits not found at Blackwood and Ystrad Mynach Stations be investigated and the Property System be updated to reflect the outcome of the investigations.	1	The findings are clearly concerning, with only two items located within the storesThe OICs for the unaccounted items have all been individually contacted for an update on the item's current locations of 27th November the position is approximately half the items have accounted for, with poor housekeeping of the Property system by the OIC being the cause of the issue. The items not identified have been escalated to OIC line managers.Measures planned to be introduced to mitigate the future risks includeAutomated processes via the Force Property System, using Business Objects Reporting, will identify items that are showing in Local Transit Stores that could be identified for relocation to the Bettws Main Store (where management of items is robust).	Force Property Manager via OIC Line Managers	01/01/2019	12.02.19 - as of 08.02.19 eleven items still remain outstanding and the OICs have yet to respond to requests seeking their current location. Those officers have been given seven days to finalise their responses by SMT. The remainder of the items have been accounted for, mainly via poor record keeping in respect of disposing or moving the items. **Request for revised completion date of 01.05.19.**
Local Policing–Property and Cash	All property exhibits not found at Newport and Maindee Stations be investigated and the Property System be updated to reflect the outcome of the investigations.	1	As per main response to above Recommendation 3.	Force Property Manager via OIC Line Managers	01/01/2019	12.02.19 - As of 08.02.19 eleven items still remain outstanding and the OICs have yet to respond to requests seeking their current location. Those officers have been given seven days to finalise their responses by SMT. The remainder of the items have been accounted for, mainly via poor record keeping in respect of disposing or moving the items. **Request for revised completion date of 01.05.19.**
Local Policing–Property and Cash	Regular audits be undertaken of exhibits booked in at Blackwood and Ystrad Mynach Stations to confirm their existence and location and to investigate those unaccounted for.	2	This has identified a need for greater local accountability in respect of items stored within Transit StoresThe items dated 2009 onwards are circulated to Geographic Inspectors on a Quarterly basis. It would appear the review has not been undertaken.The Transit Store should only be used to securely locate items that are likely to be needed for local examination within the following few days or for imminent restoration. All other items should be marked for movement to the Main Store. There is certainly no need for 1,445 items to be located at this location.The review of outstanding property forms part of the Performance Reviews undertaken every three months by LPA SMT. This should have also identified the issue of aged items remaining in the storeAgreed Improvements to the local management of property will includeA local resource will be identified to clear the backlog of items and ensure they are reviewed and moved to the Main Store immediately (if not being disposed of on-site). This will then allow further actions to prevent a repetition in future, includingSigns outside the doors of all Transit Stores which will require a monthly signature from the Geographical Inspector to denote the room has been personally inspected and that all items contained within are required locally for short term useConsideration to reduce sites from the existing 26 storage points being managed around the Force areaThe introduction of automatically generated emails to officers warning them when their deposits are approaching 12 months old. After a number of additional reminders, the items will be automatically disposed of and the emails retained to audit the warnings provided. The Force Property Policy also reinforces this as the agreed approach to disposal and retention.	Force Property Manager via LPA Chief Inspector Operations	01/03/2019	12.02.19 - PS Dorian Hughes has been allocated by West LPA as an officer dedicated to progressing the reduction of existing items from Transit Stores to Main Store. Once significant progress is made in this element of the recommendation, consideration will be given to the necessity of maintaining the current number of local Transit Stores (26 across the force area) to a more efficient number. The West LPA have already identified Rhymney Store for closure from 01.03.19 and Blaenau Gwent Transit Stores are now being reviewed. The revised Force Property Policy, which reflects the automatic disposal of property following a number of reminders, has been sent out for consultation and is expected to be approved by mid-February 2019. **Request for revised completion date of 01.05.19.**
Local Policing–Property and Cash	Regular audits be undertaken of exhibits booked in at Newport and Maindee Stations to confirm their existence and location and to investigate those unaccounted for.	2	As per response to Recommendation 4 (above).	Force Property Manager via LPA Chief Inspector Operations	01/01/2019	12.02.19 - work continues at each Transit Store (managed by the Geographic Inspector) to reduce the numbers of items that are retained in the Transit Stores rather than being conveyed to the Main Store. Once significant progress has been made in this element of the recommendation, consideration will be given to the necessity of maintaining the current number of local Transit Stores (26 across the force area) to a more efficient number. The West LPA have already identified Rhymney Store for closure from 01.03.19 and Blaenau Gwent stores are currently being reviewed. The revised Force Property Policy, which reflects the automatic disposal of property following a number of reminders, has been sent out for consultation and expected to be approved by mid February 2019. **Request for revised completion date of 01.05.19.**
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.	Keiran McHugh Head of Estates	01/01/2019	08.02.19 - clarification was needed on which department would take this forward - Estates or Property Management. **Request for revised completion date of 01.05.19.**
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	31/03/2019	06.02.19 - due to a lack of resources and too many projects on the go that affect Payroll. A new People Service structure is due in place April 2019, this should resolve the resources issue. **Request for revised completion date of 31.07.19.**

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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	31/03/2019	06.02.19 - due to a lack of resources and too many projects on the go that affect Payroll. A new People Service structure is due in place April 2019, this should resolve the resources issue. **Request for revised completion date of 31.07.19.**
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	31/10/2018	06.02.19 - due to a lack of resources and too many projects on the go that affect Payroll. A new People Service structure is due in place April 2019, this should resolve the resources issue. **Request for revised completion date of 31.07.19.**
Vetting	Analysis be undertaken to identify how many Police Officers and Police Staff will require renewed vetting clearance each year in order to forward plan resource requirements.	3	A review will take place with our business change department to ensure there is appropriate capability and capacity within the vetting department once the backlog has been addressed.	Lisa Jones	31/01/2019	14.02.19 - we have yet to do this as we are in the process of back-filling an existing post. Once this has been completed we will look to see if we need to maintain our current staffing levels. We currently have an officer on light duties (retiring 04.03.19) and an agency temp (contract until 30.06.19). **Request for revised completion date of 30.06.19.**
Vetting 17-18	The backlog of workforce who do not hold up-to-date security clearance and the number of Non-Police Personnel Vetting that have expired and need renewing be addressed to minimise any potential risk and to ensure compliance with the National Vetting Policy and HMIC recommendation.	2	A temporary member of staff is employed along with a - seconded police officer.	Head of PSD/ Vetting Manager	31/12/2018	14.02.19 - we have yet to do this as we are in the process of back-filling an existing post. Once this has been completed we will look to see if we need to maintain our current staffing levels. We currently have an officer on light duties (retiring 04.03.19) and an agency temp (contract until 30.06.19). **Request for revised completion date of 30.06.19.**
Vetting 17-18	A house keeping exercise be undertaken to withdraw the vetting clearances of all applicants whose vetting has expired so that the Core-vet database is brought up to date in order that the 'overview' facility can be fully utilised to its full potential.	2	Capacity constraints have delayed this work and a request for 2 additional members of staff on a permanent basis has been made.	Head of PSD/ Vetting Manager	31/12/2018	14.02.19 - this has proven to be more timely than first anticipated. We have deleted records of those showing as expired and no longer employed. What we need to do next is go through those whose vetting is still valid but have left the organisation. This will take some time and will be an on-going project as and when the workload allows. **Request for revised completion date of 30.06.19.**
Vetting 17-18	A process be introduced to notify sponsors in advance of pending expiry dates of vetting clearance to ensure new Non-Police Personnel Vetting forms are completed before their clearances expire.	2	This recommendation identifies good practice. When the clearance of the redundant 'Core-Vet' records has been achieved, the Vetting Dept. will have the capacity for advance identification of clearance expiry and the ability to give early notification to subjects and sponsors.	Head of PSD/Vetting Manager	31/12/2018	14.02.19 - we have been working with Estates and they have recently provided us with a list of all the companies that we still use. We are in the process of deleting the records for all those no longer in use. This will help to clear up the overview page on Core-Vet and will eventually allow us to use this as a monitoring tool. **Request for revised completion date of 30.06.19.**
2. High Priority (Priority 1) Recommendations Where the Planned Completion Date has not yet Expired						
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	31/03/2019	14.02.19 - progress continues to be made with £310k oustanding. These outstanding amounts continue to be vigorously pursued with suppliers, using JLS input where necessary. The level of recovery continues to be monitored on a regular basis.
3. Recommendations That Have Been Completed or Rejected						
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	31/03/2019	14.02.19 -the process mapping exercise is complete. The review and updating of the workflows has also been completed following further discussions with the external consultant. **Completed.**
2017/18 Finance and Resource System Implementation	The Sales to Cash (Accounts Receivable) user guide be completed and disseminated to staff.	2	This is accepted. A review of the Sales to Cash cycle will be undertaken and revised user guidance created that will reflect the system and non-system processes.	Head of Finance	31/03/2019	14.02.19 - the process mapping exercise is complete. The review and updating of the workflows has also been completed following further discussions with the external consultant. **Completed.**
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	31/03/2019	14.02.19 - the process mapping exercise is complete. The review and updating of the workflows has also been completed following further discussions with the external consultant. **Completed.**
Creditors	Where a request to change supplier details is made, evidence to confirm the request to change details be retained on Agresso Business World (BW) and the contact with the supplier to confirm the legitimacy of the amendment also be noted on the supplier record to evidence that check has been undertaken.	3	Agreed. Staff have been reminded of the need to include the evidence on BW of all requests for change of details, and confirmations with known supplier contacts. Completed.	Joint Heads of Finance	31/10/2018	14.02.19 - **completed.**

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Creditors	The check or reconciliation of supplier amendment logs be formally documented and retained.	3	Agreed. The supplier amendment logs are being evidenced as reviewed and are being retained on the shared drive alongside the relevant payment runs. Completed.	Joint Heads of Finance	30/10/2018	14.02.19 - **completed.**
Estate Management – Governance Arrangements	The Estates Strategy Board be provided with a brief report on the current status of mitigating controls to minimise risks on individual project risk registers to provide assurance that risk are being effectively managed in accordance with good governance and risk management principles.	2	A new section will be added to the Estate Strategy Board to identify and discuss risks and confirm mitigation.The HQ Project includes a detailed risk assessment.	Assistant Chief Officer - Resources	31/12/2018	18.02.19 - Risks are now presented to the Estate Strategy Board and the progress and mitigations of individual projects presented to the Estate implementation Board. **Completed**
Estate Management – Governance Arrangements	Reference to risk management and the governance around risk in relation to estates be included in the next review of the Estates Strategy.	2	There is no specific Risk Management Section however, the Strategy Document does use the framework of the PESTELO Assessment. Risks will be assessed and reviewed using the PESTELO Framework as part of the annual review mechanism.	Head of Estate and Facilities	31/03/2019	18.02.19 - the review of the Estate Strategy has been completed and risks now included in the Estate Strategy Board, the Estate Implementation Board and New HQ Board. **Completed.**
Estate Management – Governance Arrangements	Governance arrangements for the development, delivery and monitoring of the Estates Strategy be included in the next review of the Strategy.	2	The Governance arrangements for the Estate Strategy are well developed and comprise of:The Estate Strategy Board and the Estate Implementation Board. These are supported by Terms of Reference. A diagram will be added to the Strategy	Head of Estate and Facilities	31/03/2019	18.02.19 - the governance arrangements are detailed in the Manual of Governance. **Completed.**
Estate Management – Governance Arrangements	Reference to the Estates Strategy and Estates Register on the OPCC's website be reviewed and updated to clearly refer to the actual reference document and have the most up to date version.	3	This will be addressed.	OPCC Governance Officer	30/11/2018	05.02.18 - Website amended. **Completed.**
Expenses and additional payments	Historic claims that have not progressed through the workflow be reviewed and cleared in a periodic basis, for example, as part of the monthly payroll processing.	3	The FIRMS team undertake "housekeeping" monthly, contacting the people who have old claims either not approved or rejected. The officer/staff is emailed to inform them the action to ensure line management approval.Each week a process "items to follow up" is checked for officers/staff with no line managers and these are then re-disturbed.	Rachel Lonergan, Head of FRIMS	23/01/2019	13.02.19 - A FIRMS Development Officer undertakes a housekeeping exervices every couple of months. Individuals are contacted for claims that has been rejected back to them or the authoriser of the claim has been with them for a period of over 3 months. As things stand, there are currently 11 officers/staff who have claims in the system that are over 3 months old. The Development Officer is in the process of contacting the individuals/Line Managers again to deal with the claims appropriately. **Completed.**
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	31/03/2020	18.02.19 - 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. **Completed.**
Fleet Management – Single system	A Section 22A Collaboration Agreement be completed between the three Forces in relation to the Tranman single system utilised for fleet arrangements.	2	Agreed. This will be tasked to the fleet managers to work with JLS to draft and confirming governance arrangements, roles and responsibilities.	Head of Fleet - Gwent	30/11/2018	18.02.19 - The draft has been completed and issued to Fleet Managers for comments and also to Joint Legal Services who are in the process of drafting a MoU. Whilst it is not signed at tis stage, the audit action is complete and governance is being undertaken. **Completed.**
Fleet Management – Single system	A review process be implemented to determine if the efficiencies identified in the business case are being achieved and to identify the actions necessary when efficiencies have not been achieved.	2	The financial benefits in the business case have been realised as the upgrade and operations of the single system has been concluded.The operational benefits and departmental benefits need to be captured.	Head of Fleet - Gwent	30/11/2018	19.02.19 - the financial, ICT and interoperability benefits are being delivered. The email module is due to be launched on 1 March 2019. The plan of further module implementation is being developed. **Completed.**
Fleet Management – Single system	The link between the email address lists at Gwent Police and Dyfed-Powys Police and Tranman be set up as planned to improve efficiency through the implementation of auto e-mailing when vehicle services and repairs have been completed.	3	Agreed.A lack of staff, both management and admin, coupled with a high turnover of admin, has resulted in this function not yet being utilised.Resources will be sourced to implement.	Head of Fleet, Gwent	31/12/2018	19.02.19 - The GP generic email addresses which will be added to each vehicle in Tranman so that the function can be used and Go Live date is 1 March 2019. **Completed.**
Fleet Management – Single system	The two vans overdue an MOT be tested as soon as possible and a monitoring process be set up that includes contingency cover in the event of any absence.	1	Agreed. Management resourcing in the workshop resulted in some processes not being followed to time. Additional capacity is being sourced and key processes are being monitored.	Head of Fleet, Gwent	30/09/2018	06.02.19 - MOT's of motorcycles and vans are being carried out in a timely manner. GP do not use the tile on Tranman as this shows all vehicles rather than just those requiring an MOT - GP only MOT certain vans and all motorcycles as the workshop is exempt. A report is run and monitored by the Head of Fleet with assistance from one of the mechanics who books the vehicles in to the service provider. **Completed.**
Fleet Management – Single system	The "Vehicles with No Service for 12 months" report at Gwent Police be regularly reviewed so that action can be taken to call in vehicles for servicing in accordance with the Fleet Strategy.	2	Vehicles overdue service will be called in throughout August and September 2018, and overtime worked to clear the backlog.	Head of Fleet, Gwent	30/09/2018	06.02.19 - The report "Vehicles with no Service for 12 months" is monitored fortnightly, and any vehicles overdue or due in the following weeks are called in. An email is sent to the Superintendent of the user, also reminding drivers to check the service sticker in the windscreen visor every time they carry out their weekly checks. **Completed.**

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Fleet Management – Single system	The Fleet Manager at Gwent Police become fully conversant with the System Administrator user functionality to enable Gwent Police to set up their own Force users on Tranman.	3	The Head of Fleet at GP knows how to add, delete or amend a user on the system. However new users must be set up by SRS in the first instance. SWP as System Administrator must then add the new user.	Head of Fleet, Gwent	30/09/2018	06.02.19 - The systems administrator is the SWP Fleet Manager and the process for new users is working well. **Completed.**
Fleet Management – Single system	The "Vehicles Not Serviced for 12000 Miles or More" report be regularly reviewed by Gwent Police so that action can be taken to call in vehicles for servicing in a timely manner.	2	Agreed. A lack of management in the workshop has contributed to some processes not being followed to time, however training has been arranged with the system supplier to enable GP to revert to forecasting services.Vehicles overdue service will be called in throughout August and September 2018, and overtime worked to clear the backlog.	Head of Fleet, Gwent Head of Fleet, Gwent	30/09/2018	**06.02.19** - The report "Vehicles not Serviced for 12,000 miles or more" is monitored fortnightly, and any vehicles overdue or due in the following weeks are called in. An email is sent to the Superintendent of the user, also reminding drivers to check the service sticker in the windscreen visor every time they carry out their weekly checks. **Completed.**
Fleet Management – Single system	An agreement be put in place with all three Fleet Managers as to what alerts beneficial to all three Forces could be set up within the "Dynamic alerts" functionality and this be put into place.	3	Agreed.A meeting with the system suppliers and the 3 Fleet Managers will be arranged to progress.	Three Fleet Managers	31/10/2018	06.02.19 - MOT tile set up in dynamic alerts. GP do not use the tile on Tranman as this shows all vehicles rather than just those requiring an MOT. GP MOT certain vans and all motorcycles as the workshop is exempt. A report is run and monitored by the Head of Fleet with assistance from one of the mechanics who books the vehicles in to the service provider. **Completed.**
Fleet Management – Single system	User profiling be undertaken at each Force to ensure System Administrator level access is restricted to Head of Fleet Services/Fleet Managers and their deputies.	2	GP only have 3 people set up as System Users – the Head of Fleet, Fleet Admin Manager and one admin assistant who requires it to complete the fuel loading.A review of all users and their roles will be undertaken.	Three Fleet Managers	30/09/2018	06.02.19 - **Completed.**
GDPR Compliance Audit review 1	All data protection related policies and procedures be reviewed and updated to ensure they fully comply with the requirements of the Data Protection Act 2018.	2	Awaiting advice from the ICO before certain policies can be finalised due to potential conflict of interest in DPO/Head of Assurance and Compliance role. Review of the retention schedule is nearing completion. Records Management Policy has been finalised and is awaiting approval. An overarching data protection policy will be developed to cover areas such as the right to be forgotten.	Head of Assurance and Compliance	31/12/2018	21.11.18 - Clarification has been received from the ICO. Policies are still being developed. There has been a delay in progression due to resource issues within the OPCC. **05.02.19** - Policies have been updated to remove the conflict of interest between the HoAC and DPO role. All other exisiting policies have been reviewed to ensure compliance with the DPA 2018/GDPR. Information in relation to the rights of the individual (e.g. the right to be forgotten) have been incorporated into the privacy notices to replace the need for an overarching data protection policy. Consideration will be given to developing an overarching policy in future. **Completed.**
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 and Compliance	31/12/2018	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 reourcing issues within the OPCC. Revised due date 31/12/18. **05.02.19 -** All privacy notices have now been completed and have been translated into Welsh. **Completed.**
General Ledger	All control account reconciliations be independently checked and the check evidenced through individual control account reconciliations and completion of the control account schedule.	2	The monthly task plan list includes a sheet to track the production and review of control account reconciliations throughout the year. This sheet is updated at each month end to record the reconciliations and review process.	Joint Heads of Finance	30/09/2018	14.02.19 - control account reconciliations are being completed and reviewed as part of the ongoing normal month end procedures. All 2018/19 reconciliations will have been completed and reviewed by the year end. **Completed.**
Local Policing–Property and Cash	All approved disposals from Blackwood and Ystrad Mynach be formally completed on the system when exhibits have been formally disposed of.	2	A review of these items has identified that many items, whilst endorsed for disposal, needed to be marked by the endorsing officer for movement to the Main Store for this be carried out. The Force Property Team will be manually altering these 121 exhibits to request movement to the Main Store on this occasion. This will allow the team to establish, upon attending Blackwood to relocate them, which ones are not physically present. The unaccounted items will be highlighted to the Geographic inspector for urgent enquiries with the OIC to establish their location or status.This will then allow future actions to be introduced. These include –The production of a monthly list identifying items marked for disposal, over a month old, which are still retained locally. This will need to be shared locally for remedial action.SRS Developer to be tasked with adapting the existing software to provide a new prompt when authorising disposal, reminding the officer of the need to update the system to consider a request a move to the Main Store.	Force Property Manager	01/03/2019	12.02.19 - PC Mike Ashcroft (currently restricted duties) has been allocated responsibility for processing these disposals, which is currently underway. **Completed.**
Local Policing–Property and Cash	All approved disposals from Newport and Maindee be formally completed on system when exhibits have been formally disposed of.	2	As per response to Recommendation 6 (above).	Force Property Manager	01/03/2019	12.02.19 - PC Mark Madely (currently restricted duties) has been allocated responsibility for processing these disposals, which is currently underway. **Completed.**

Job	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Latest Response
Local Policing–Property and Cash	Appropriate action be taken on all dated cash seizures to reduce the amount currently held in the safe at Vantage Point and at Bettws.	2	The misidentification of cash exhibits has already been identified as a cause of unnecessary storage. It has been established that many cash deposits should have been banked immediately (pending possible restoration at a later date) rather than being retained as exhibits. They should only be retained if the cash is needed for forensic examination.A restricted duty Detective Sergeant, with a strong operational understanding of cash seizures, has been identified to process the existing spreadsheet. He will identify where each exhibit is best retained. This may produce opportunities for financial returns to the Home Office via recognised confiscation processesThe new Force Policy now places the responsibility on a depositing officer to clearly identify the item as a forensic exhibit. If not clearly denoted, the cash will be automatically banked and not retained in storageIn addition, a number of additional safes have now been introduced into the Main Store to ensure confirmed cash exhibits are retained in this secure environment. Forensic exhibits will no longer be stored with the Finance environment, unless needed for immediate banking.	Force Property Manager	01/01/2019	12.02.19 - once the new Force Policy is adopted in mid February the automatic banking of cash items will begin. Work by the Property Team to reduce existing deposits has resulted in a reduction of approximately 12% across the force. **Completed.**
Local Policing–Property and Cash	A review of all dated cash exhibits be undertaken to ensure that where applicable they can be returned to the owner, banked under the Proceeds of Crime Act or under PACE.	2	Refer to Recommendation 13, a restricted duty Detective Sergeant, with a strong operational understanding of cash seizures, has been identified to process these historic depositsThe new policy of defaulting to banking cash is expected to reduce the opportunity for cash deposits to build up in the same way.	Force Property Manager	01/01/2019	12.02.19 - the work undertaken by the Detective Sergeant has resulted in a reduction of approximately 12% of cash items within Force Stores, which have now been banked pending finalisation by the respective OICs. **Completed.**
Local Policing–Property and Cash	The process of allowing Round Robin Van drivers to relocate exhibits into the main store at Bettws and to update the Evidential Property System be reviewed in order to demonstrate effective separation of duties and minimise risk.	2	The RRV drivers complete a paper report upon their return which details which cabinet and shelf each item has been placed on. This is scanned and retained for future reference, if needed.The benefits of introducing accountability for an item leaving a Transit Store and arriving in the Main Store needs to be balanced with the additional activity needed to book the items in to the Main Store, upon arrival.The Property Team is operating close to maximum capacity, which has been compounded by a number of unfilled vacancies. To introduce an addition tier to their internal processes and working practices will severely impact the Team's capacity.The segregation of duties will be considered when team fully staffed but proposed to disregard at this timeAuditors CommentNoted and accepted.	Force Property Manager	03/12/2018	12.02.19 - to be removed, as per the Auditor's acceptance of the decision to retain current practices (having reviewed them in line with the Auditor's report). **Not Accepted.**
Local Policing–Property and Cash	All exhibits with review dates in 2019 and beyond at Newport and Maindee Stations be transferred to either Bettws or preferably the long term store in Tredegar.	3	As per Recommendation 5 above.	Force Property Manager via SRS	01/03/2019	12.02.19 - a dedicated SRS resource (Danny Lane) has been allocated to support the work needed to automate process via the Property Management System. He expects this relatively simple implementation to be live by 1st March. This will have a noticeable effect on items currently being retained locally. **Completed.**
Local Policing–Property and Cash	All exhibits with review dates in 2019 and beyond currently held at Blackwood and Ystrad Mynach Stations be transferred to either Bettws or preferably the long term store in Tredegar.	3	Items due for review from 2020 onwards are likely to relate to serious or complex crime and should have been updated by the Reviewing Officer for a move to Tredegar Long Term Stores.Property staff will manually adjust the location of these 356 items to identify a need to move to Tredegar A solution will be required, via the SRS Developer to now automate the process by showing this "move", at source, when the officer changes the review date. This automated solution should also be applied to any existing exhibits with a 2020 onwards review date.	Force Property Manager via SRS Developer	01/03/2019	08.02.19 - a dedicated SRS resource (Danny Lane) has been allocated to support the work needed to automate process via the Property Management System. He expects this relatively simple implementation to be live by 01.03.19. This will have a noticeable effect on items currently being retained locally. **Completed.**
Local Policing–Property and Cash	Action be taken on all old exhibits at Ystrad Mynach not recorded on the current Property system.	3	These items will need to be back record converted onto the existing property system, where they can them be managed. This is required even if the decision is made to dispose of them straight away, as it provides an Audit Trail for future scrutiny.	Force Property Manager via Geographical Inspector (Andy O'Keefe)	01/03/2019	12.02.19 - PS Dorian Hughes has confirmed these items have now been back record converted and added to the Property Management System. **Completed.**
Local Policing–Property and Cash	The Management of Property Policy be finalised and signed off by the appropriate Superintendent.	2	The Management of Property Policy is drafted and currently under consultation for comment and review prior to final publication.	Force Strategic Lead Supt.Ian Roberts	01/01/2019	12.02.19 - this has been produced and due to be published following a consultation period which finishes on 14.02.19. **Completed.**
Vetting	A data integrity check be undertaken on completion of the vetting backfill programme to ensure that the data on Core-Vet agrees with the data on iTrent as intended.	2	This is programmed to take place as soon as the backfill programme is completed.	Lisa Jones	31/01/2019	14.02.19 - at the end of our back record vetting project we double checked all of the applicants showing as expired on Core-Vet against FIRMS to ensure that they had in fact left the organisation and did not require re-vetting. **Completed.**
Vetting	On completion of the backfill vetting programme and the house keeping exercise, all remaining applicants with expired clearances be required to have their vetting clearance renewed.	2	We will need to cross-reference the Core-Vet data with Firms to see if people are still employed. If not they will need to be deleted from the Core-vet system in accordance with GDPR. A recent exercise has been completed to review and will be established as an ongoing process.	Lisa Jones	31/01/2019	14.02.19 - at the end of our back record vetting project we ensured that any employee showing on Core-Vet as having out of date vetting had their vetting renewed. **Completed.**