

Tiaa Outstanding Audit Recommendations (downloaded 12 February 2020)

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 - 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	13.02.2020 - Request has been issued and awaiting report. Extension Request to 31.3.2020
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.	HoF	31/03/2019	Ongoing
3. Recommendations That Have Been Completed or Rejected (all)						
Victims Hub	A framework be developed for monitoring the performance of Victim Support in line with the contract and the overall objectives of the service.	1	A draft performance framework is now in place and it has been shared at the Victims Board. This will be finalised following feedback and will be used to monitor performance and implement improvements.	Head of Criminal Justice	31/12/2019	19.02.20 - the Connect Gwent Performance Framework was submitted to the Victims Board and was signed off. Mechanisms for collecting data have been largely established with partners, with a couple of final amendments to be made by the end of February. Partners within Connect Gwent will report against this framework from 01.04.20. Complete.
General Ledger	Carried forward from 2018/19 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	Senior finance staff will regularly review compliance as part of the month end closedown procedures. Finance staff have been reminded of the need to complete and review all reconciliations, and resolve reconciling items, on a timely basis. The Performance Policy will be used if escalation is required.	HoF	31/01/2020	13.02.2020 - control account reconciliations are up to date for month 9. Complete.
Collaborative Review - Debtors - Lead Force-Dyfed Powys	Monthly sales ledger and bank reconciliations be completed and approved on a timely basis.	2	Senior finance staff will regularly review compliance as part of the month end closedown procedures.	HoF	31/01/2020	13.02.2020 - control account reconciliations are up to date for month 9. Complete.
Collaborative - Estate Management Delivery - Lead Force – North Wales	The Shared Facilities Management Board be required to meet on at least a half yearly basis.	2	The quarterly meeting was not required, however, a recent meeting was held on 5th November 2019 and future meetings have now been confirmed for 2020.	Head of Estates and Facilities	16/01/2020	19.02.2020 - Meeting between Executive Directors on 17.02.2020 confirmed that the quarterly meetings will be established and planned for 2020/21. Complete
Victims Hub	Formal contract management meetings with Victim Support be established as planned.	2	Meeting arranged for 26 November 2019. Future monthly meetings will be scheduled.	Head of Criminal Justice	26/12/2019	19.02.20 - the Contract Management meeting on 26.11.19 went ahead as planned. At the meeting we discussed and agreed that these meetings would be held quarterly and that a contract management plan would be created in draft to be discussed and agreed at the next meeting on 04.03.20. Complete.
Duty Resource Management	Arrangements be put in place to ensure that all Police Sergeants or staff with line management responsibility, that are expected to use the GRS system as part of their role, are provided with specific training and guidance on how to use the system and also instruction on the expectations placed upon them and the roles and responsibilities.	2	Scoping work has started to understand the issues for users when using GRS. Information is being gathered through snap surveys on The Beat and focus groups being run by Digital Champions. Undertake a review of system user data through FIRMS to understand how the system is being utilised and by who to provide evidence based support to departments and users. Collate the queries received by the Rota Team in SWP and GP to focus on areas that are common themes. Time has been allocated on the Force training days for November which will focus on the findings from the above actions. Digital guides on The Beat have been updated.	CI Alison Hitchen	30/11/2019	13.02.19 - Sergeants are receiving an input to outline the importance of correct GRS rota management, as foundation for the new Electronic Time Management module. In addition Sergeants and Supervisors can have bespoke input from DSD trainers where required. DSD trainers have now completed some virtual GRS training products available through the intranet. Complete.
HR Management – Absence Management	Ensure Return to Work interviews are carried out in a timely manner following a period of absence due to sickness.	2	Absence training is being delivered to all line managers. This highlights the requirement to complete return to work interviews. Performance data is collated on a monthly basis to highlight where this is not happening and is discussed at the monthly sickness meeting with the line manager and Local Policing Area Chief Inspector or equivalent.	Alisa Quartermaine Health and Wellbeing Lead	22/11/2019	14.02.2020 - There has been an improvement in the absence reporting since the completion of the training and HR Business Partners are monitoring the performance. Complete
HR Management – Absence Management	Managers be reminded to obtain Fit Notes from staff in a timely manner preferably prior to the expiry date and to ensure action taken is recorded on the GRS System.	2	Absence training confirms the requirement to complete and email the fit note and update GRS (Rotas). Compliance is discussed at the monthly sickness meeting with the line manager and Local Policing Area Chief Inspector or equivalent.	Alisa Quartermaine Health and Wellbeing Lead	22/11/2019	14.02.2020 - There has been an improvement in the absence reporting since the completion of the training and HR Business Partners are monitoring the performance. Complete
HR Management – Absence Management	Attendance Support Meetings be conducted, where applicable, in a timely manner and in line with the Attendance Procedure.	2	Absence confirms the requirement to undertake Attendance Support Meetings. Performance data is collated on a monthly basis to highlight where this is not happening and is discussed at the monthly sickness meeting with the line manager and Local Policing Area Chief Inspector or equivalent.	Alisa Quartermaine Health and Wellbeing Lead	22/11/2019	14.02.2020 - There has been an improvement in the absence reporting since the completion of the training and HR Business Partners are monitoring the performance and also reporting to the People & Diversity Board. Complete
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HR Management – Absence Management	The information in the Shared Parental Leave Policy in relation to the rate be either removed and a reference made of where to access the current rate of the Policy reviewed and updated.	3	The Policy is being reviewed before being forwarded for consultation.	Kath Thomas Senior HR Business Partner	31/01/2020	17.02.2020 - Policy has been updated and new guidance was published on the HR and Payroll pages on The Beat in November. Complete.
Collaborative Review - Debtors - Lead Force-Dyfed Powys	Action in relation to the recovering of debts be undertaken on a routine basis.	3	Senior finance staff will regularly review compliance as part of the month end closedown procedures. Staff have been reminded of the need to review and chase debt on a regular and failure to do so will be addressed through the Performance Policy.	HoF	31/01/2020	13.02.2020 - staff have been reminded about regular recovery of outstanding debt and this is being monitored through the monthly task list. In addition the level of overdue debt is reported as part of the normal quarterly reporting that chief/senior officers and JAC. Complete.
HR Management – Absence Management	A number of days be added to the Compassionate, Dependant and Emergency Leave policy for compassionate leave to define the entitlement.	3	This will be addressed as part of the review of the procedure.	Sarah Davies HR Business Partner	30/01/2020	13.02.2020 - The policy has been revised in relation to Bereavement & Compassionate leave. Complete.
Counter Fraud - Whistleblowing	Cases identified as whistleblowing be actioned in line with Whistleblowing Policy once implemented.	3	Following publication of the updated policy, cases identified as whistleblowing will be actioned appropriately and in accordance with the policy.	Supt. Head of PSD	28/01/2020	13.02.2020 - Updated policy has been implemented and publish and all staff are require to follow the new policy. Complete.
Collaborative - Estate Management Delivery - Lead Force – North Wales	Key Performance Indicator outcomes be provided to Gwent Police in accordance with the Memorandum of Understanding and Schedule 2 of the General Building & Electrical Maintenance and Refurbishment Works Framework contract.	3	Accepted. Key Performance Indicators have been developed as part of the Force Performance Framework and will be used to monitor.	Head of Estates and Facilities	16/01/2020	19.02.2020 - KPIs have been developed are included in the Force Performance Reports. Complete.
Treasury Management	People Services be required to notify the Finance team of any staff departures in order to update their records.	3	Agreement has been confirmed that the list of starters, movers and leavers will be provided by the Establishment Officer (HR) to finance staff as part of their existing regular meetings.	HoF	06/12/2019	13.02.2020 - data is discussed as part of the monthly Force Resource Management meeting which both the Establishment Officer and Finance attend. Complete
General Ledger	In light of the unfavourable Wales Audit Office Audit of Financial Statements reports for 2017/18 and 2018/19, the adequacy of 'Low Risk' scoring within the Joint Risk Register for Risk 4829 be reviewed with a view to increase the overall scoring.	3	The risk register is scrutinised regularly by the Scrutiny Executive Board and also discussed in detail by the Joint Audit Committee to ensure the risk rating is robust.	ACOR	06/12/2019	19.02.2020 - The Risk Register was reviewed by Chief Officers, scores/assessment were moderated and findings approved at Scrutiny meeting in February 2020. Complete.
HR Management – Absence Management	Where a decision is made not to set up a Supportive Plan the rationale be recorded to inform future staff/officer absences.	3	This is recorded as part of the notes/letter when confirming the outcome of an Attendance Support meeting for police officers or Stage 1/2/3 for Police Staff.	Alisa Quartermaine Lead Health and Wellbeing	22/11/2019	14.02.2020 - Complete
Fleet Management – Repairs and Maintenance	The Fleet Strategy be updated to reflect there is no longer a Vehicle Replacement Policy in place.	3	The wording in the Fleet Strategy document has been changed to reflect that there is a replacement programme each year rather than a one off policy: To review developments and opportunities in fuel types and carry them through to the vehicle replacement programme and procurement strategy	Julie Reynolds	14/10/2019	19.02.2020 - Complete