



**The Police and Crime Commissioners for South Wales,  
Gwent, Dyfed Powys and North Wales and the Chief  
Constables South Wales, Gwent, Dyfed Powys and North  
Wales Police**

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**Internal Audit Plan Comparison**

**2017/18**

## Internal Audit Annual Plan

### INTRODUCTION

This document is the collation of the Internal Audit Strategic and Annual Plans for the 4 Welsh Police and Crime Commissioners and Chief Constables and is provided for information only.

### BACKGROUND

From April 2017, TIAA were appointed to provide the Internal Audit Service to the Police and Crime Commissioner for North Wales and the Chief Constable North Wales Police. Already contracted to South Wales, Gwent and Dyfed Powys Police for 2017/18 TIAA are providing Internal Audit Services to all the Police and Crime Commissioners and Chief Constables in Wales. It is the intention to provide comparator data and information where appropriate and to conduct joint reviews where this would be beneficial. This report is intended to provide information of the planned work at all 4 organisations and used as a starting point for discussion of jointly beneficial reviews.

Please contact Clive or Vicky for further information as required.

### KEY CONTACT INFORMATION

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### RELEASE OF REPORT

The table below sets out the history of this plan.

Date issued:	6 <sup>th</sup> July 2017
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## Joint Annual Plans by Review – 2017/18

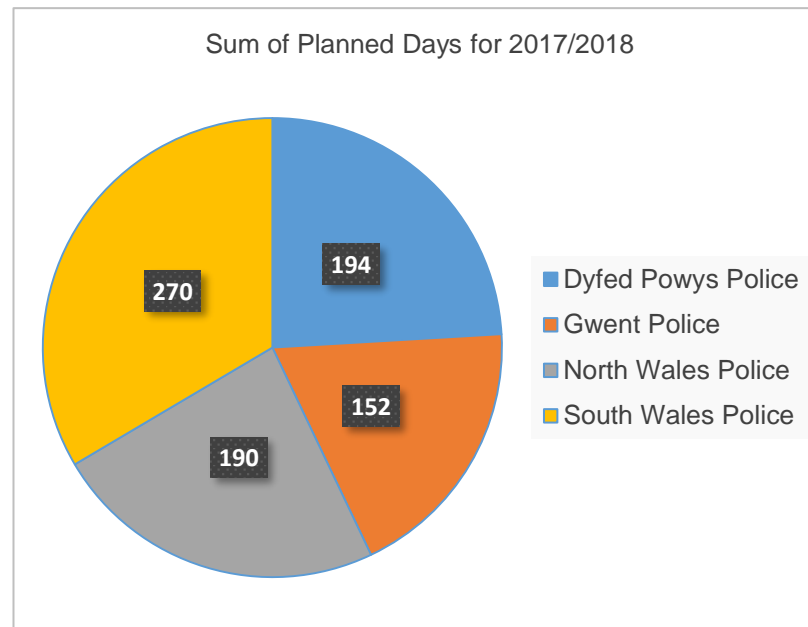
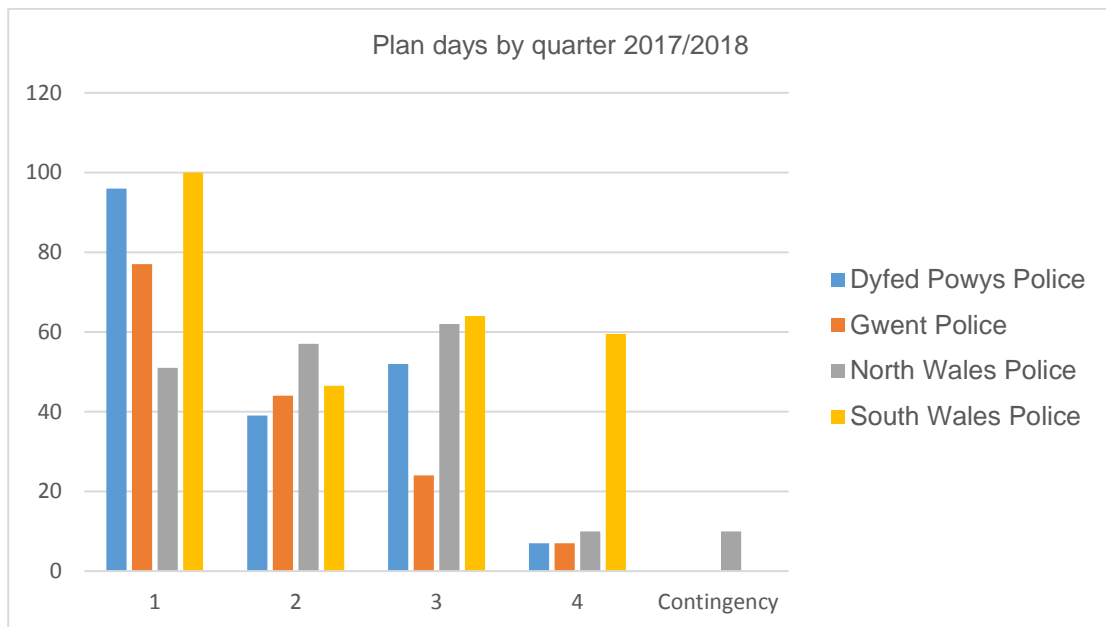
Audit	Type	Sum of Plan Days			
		Dyfed Powys Police	Gwent Police	North Wales Police	South Wales Police
<b>Estate Management</b>					
Estate Management - Delivery	Compliance		X		X
Estates Strategy	Assurance	X			
<b>Finance</b>					
Budgetary Control	Assurance	X	X	X	X
Capital Programme/Capital Projects	Assurance	X	X		
Counter Fraud/Counter Fraud – Procurement Anti-Fraud	Compliance	X	X	X	
Creditors	Assurance	X	X	X	X
Debtors	Assurance	X	X	X	X
Finance and Resource System Implementation	Appraisal		X		
Fixed Assets	Assurance			X	X
General Ledger	Assurance	X	X	X	X
Overtime and additional allowances	Compliance	X			
Payroll	Assurance	X	X	X	X
Pensions	Assurance	X			
Treasury Management	Assurance		X	X	X

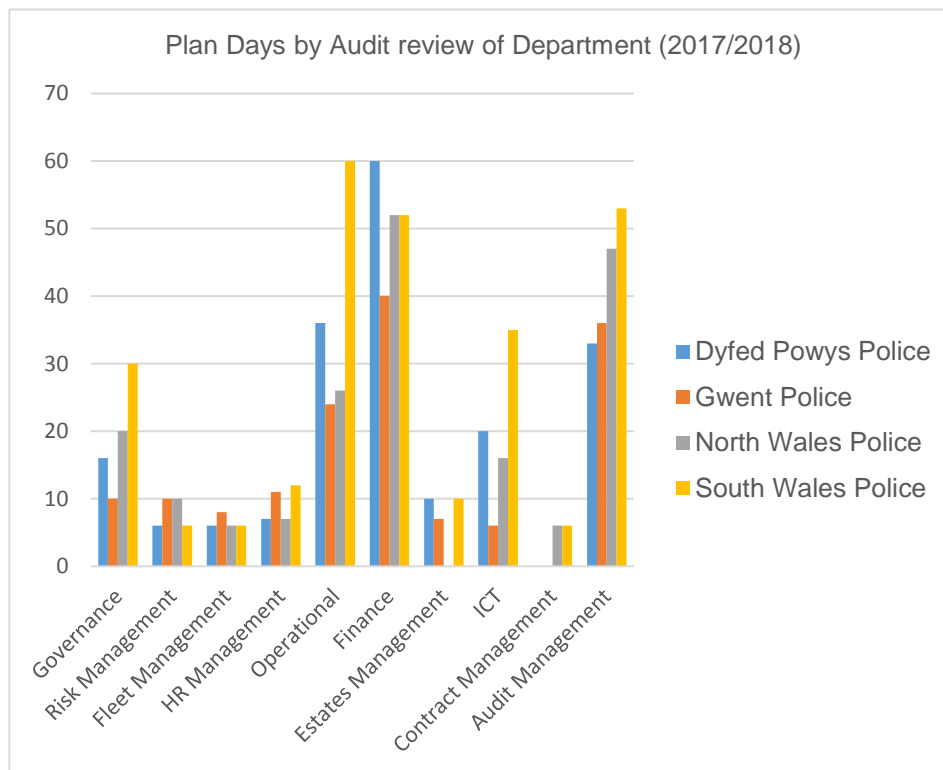
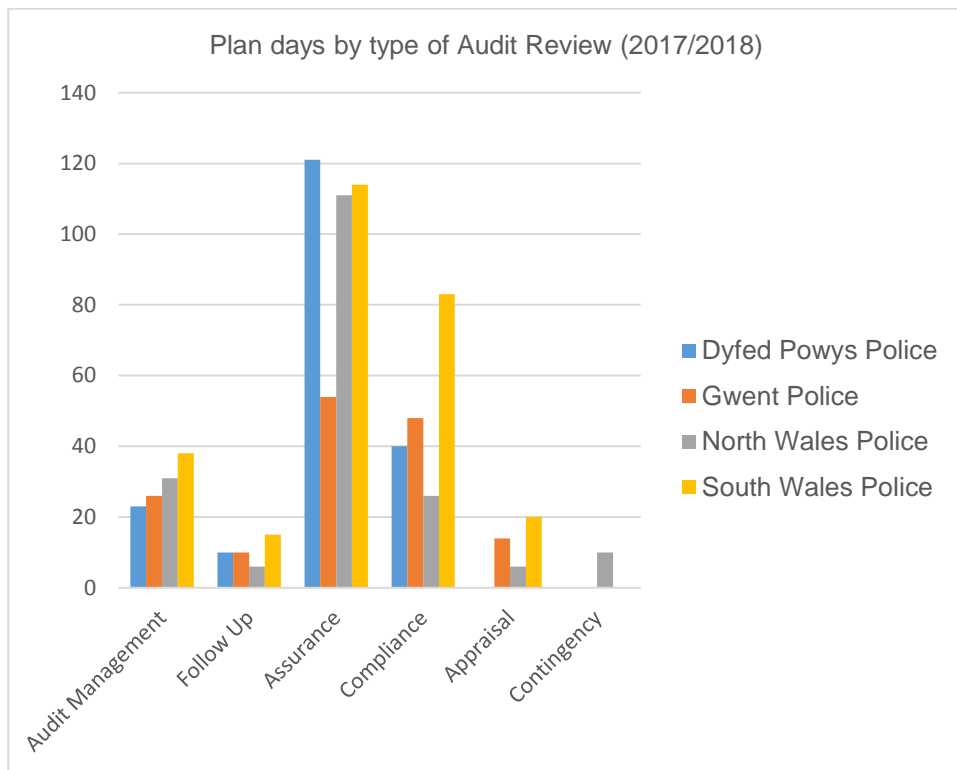
Audit	Type	Sum of Plan Days			
		Dyfed Powys Police	Gwent Police	North Wales Police	South Wales Police
<b>Fleet Management</b>					
Fleet Management – Repairs and Maintenance	Appraisal		X		X
Fleet Management - Strategy	Assurance	X		X	
<b>Governance</b>					
Governance – Assurance Framework	Assurance	X			
Governance – Collaboration and Partnerships	Assurance	X		X	
Governance – Health and Safety Management	Assurance				X
Governance – Strategic Control and Corporate Governance	Assurance	X			X
Governance – Strategic Planning	Assurance		X	X	
<b>HR Management</b>					
HR Management – Absence Management	Assurance			X	
HR Management – Learning and Development	Assurance	X	X		
HR Management - Strategy	Assurance		X		
<b>ICT</b>					
ICT Security – Change Management	Assurance	X			X
ICT Security – Cyber Security	Assurance			X	X
ICT Security – Data Assurance	Assurance			X	
ICT Security – Internet/Email/Social Networking	Assurance				X
ICT Security – Network Security	Assurance	X			

Audit	Type	Sum of Plan Days			
		Dyfed Powys Police	Gwent Police	North Wales Police	South Wales Police
<b>Operational</b>					
Collaborative Project	Assurance		X	X	X
Contract Management – Building Service Project	Assurance			X	X
Corporate Communications	Assurance	X			
Crime Recording	Compliance	X			
Duty Resource Management	Appraisal			X	X
Eastern Area – Command Unit	Compliance			X	
Firearms Licencing Management	Assurance	X			X
Governance - Internal and External Communications	Assurance				X
Investigations – Duty of Care, HR and Financial systems	Compliance	X			
Northern BCU	Compliance				X
Organisational Development	Assurance				X
Property Subject to Charge	Appraisal				X
Seized proceeds of crime	Assurance			X	
Staying Ahead 8 - Themes	Compliance		X		
Vetting	Compliance	X	X		X
Welsh Language Standards	Compliance			X	X
<b>Risk Management</b>					
Risk Management - Business Continuity	Assurance			X	

Audit	Type	Sum of Plan Days			
		Dyfed Powys Police	Gwent Police	North Wales Police	South Wales Police
Risk Management – Mitigating Controls	Compliance	X	X	X	X
<b>Audit Management</b>					
Strategic Plan	Audit Management		X	X	X
2017/18 Annual Plan	Audit Management	X	X	X	X
2017/18 Annual Report	Audit Management	X	X	X	X
Audit Management	Audit Management	X	X	X	X
Liaison with Wales Audit Office (WAO)	Audit Management	X	X	X	X
Contingency	Contingency			X	
Follow Up	Follow Up	X	X	X	X

## Comparison of Annual Plans

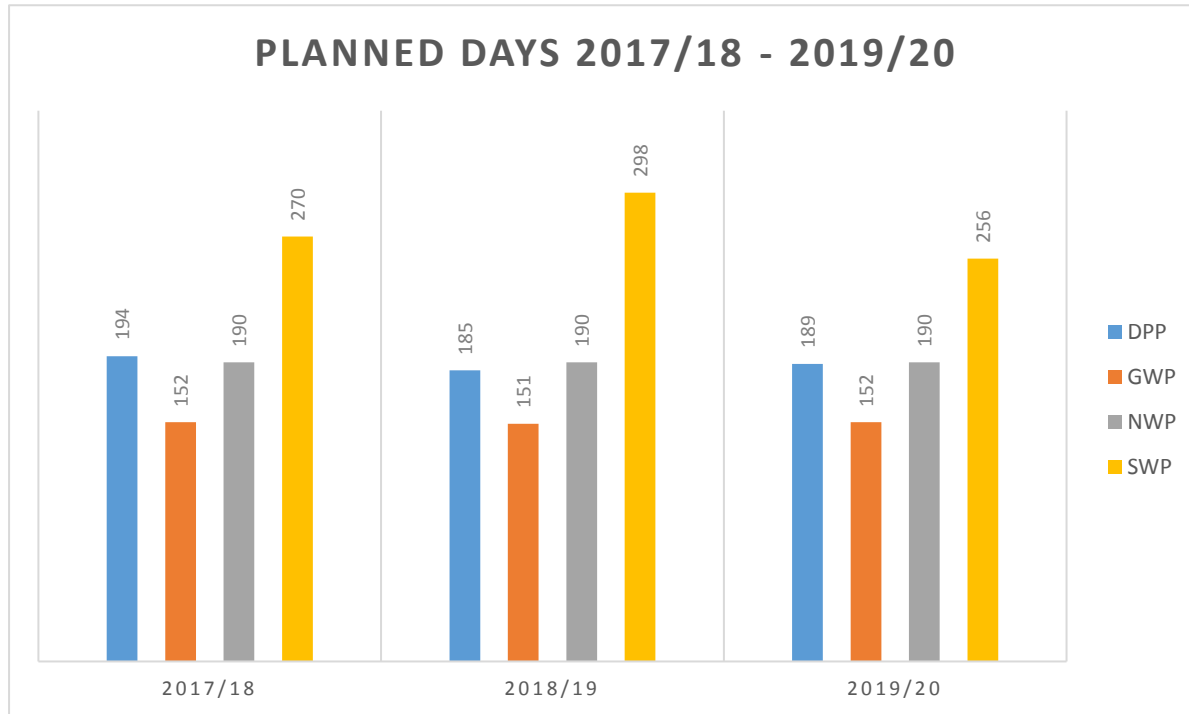




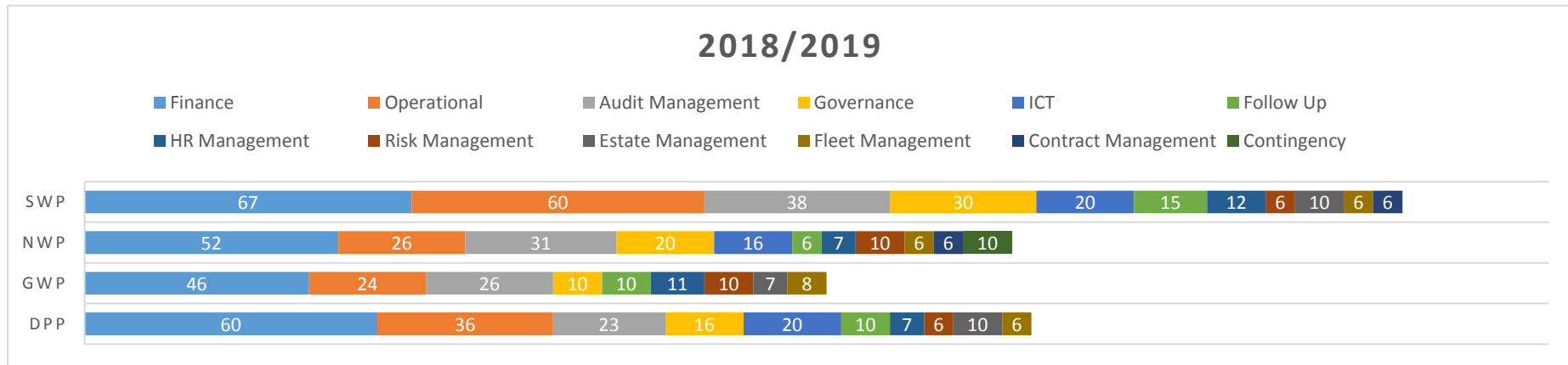
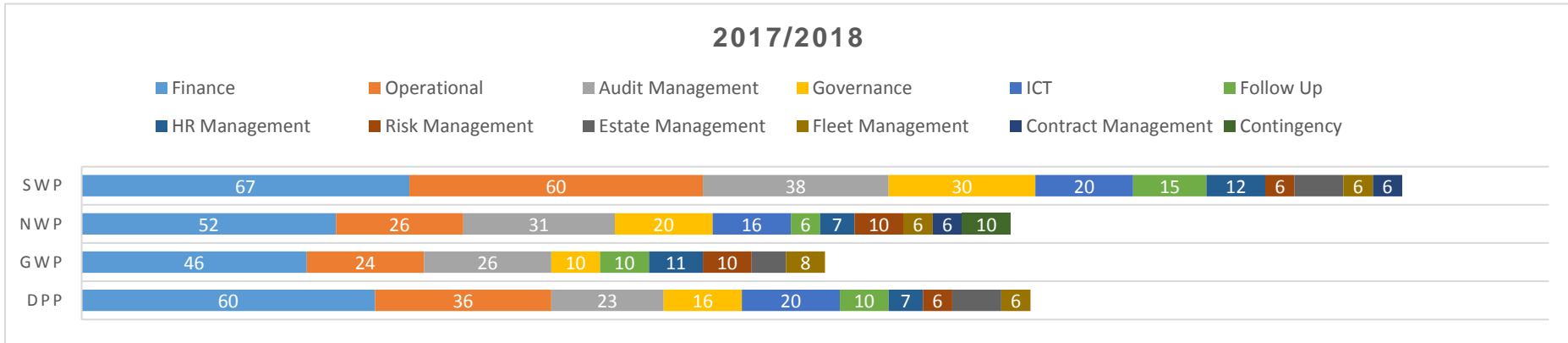


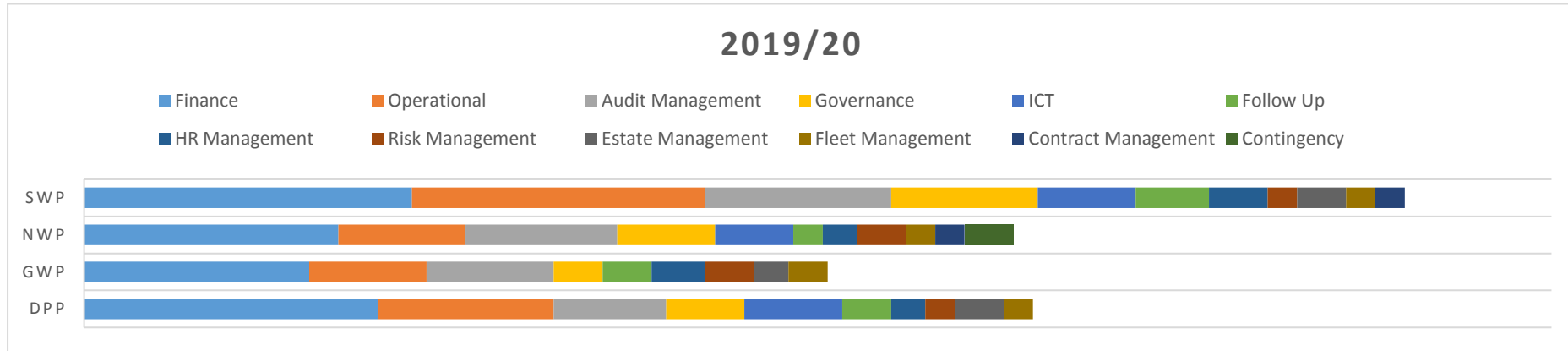
## Comparison of Strategic Plans

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## 2017/18 – 2019/20 Strategic Plans by Department Review





## Rolling Strategic Plan

Review Area	Type	Days Required											
		2017/18				2018/19				2019/20			
		NWP	GWP	SWP	DPP	NWP	GWP	SWP	DPP	NWP	GWP	SWP	DPP
<b>Governance – Force and Police and Crime Commissioner</b>													
Governance – Collaboration and Partnerships	Assurance	10			6			10					
Governance – Performance Management/Monitoring	Assurance					10		10			10		10
Governance – Internal and External Communications	Assurance			10							10		
Governance – Strategic Planning	Assurance	10	10						10				
Governance – Data Quality	Assurance												10
Governance – Strategic Control and Corporate Governance	Assurance				6								10
Governance – Health and Safety Management	Assurance			10		10							
Governance - Assurance Framework	Assurance				4		10						
Governance - Strategic Governance	Assurance			10									
Governance - Project and Programme Management	Assurance							10	6				
Governance – Community Engagement	Appraisal							10	6	10			
<b>Risk Management – Force and Police and Crime Commissioner</b>													
Risk Management – Business Continuity	Assurance	6					10	10					10
Risk Management – Embedding	Assurance								10				
Risk Management – Board Assurance	Assurance					8					10		
Risk Management – Mitigating Controls	Compliance	4	10	6	6	4		6	6	4		6	6
<b>ICT – Force and Police and Crime Commissioner</b>													
ICT Security – Counter fraud Cyber Security	Assurance	8											10
ICT Security – Disaster Recovery	Assurance								10				
ICT Security – Application Security	Assurance											10	
ICT Security – Data Assurance	Assurance	8										10	10
ICT Security – Network Security	Assurance				10	8						10	
ICT Security – Internet/Email/Social Networking	Assurance			10		8							
ICT Security – Change Management	Assurance			10	10						8		
ICT Infrastructure review	Appraisal							25	10	8			
<b>Finance – Force and Police and Crime Commissioner</b>													
Budgetary Control	Assurance	6	5	8	8	6	5	8		6	5	8	8
Treasury Management	Assurance	4	5	8					6	6	5	8	

Review Area	Type	Days Required											
		2017/18				2018/19				2019/20			
		NWP	GWP	SWP	DPP	NWP	GWP	SWP	DPP	NWP	GWP	SWP	DPP
General Ledger	Assurance	6	5	6	6	6	5	6	6	6	5	6	6
Payroll	Assurance	10	5	10	6	10	5	10	8	10	5	10	6
Creditors	Assurance	8	5	8	8		5	8	8	8	5	8	8
Debtors	Assurance	6	4	6	6		4	6		6	4	6	6
Fixed Assets	Assurance	6		6			5	6	8	6		6	
Pensions	Assurance				6	8	5	8					6
Expenses and additional payments	Compliance				6	8	5	8					6
Capital Programme	Assurance		4		8	8		8			4		8
Counter Fraud	Compliance	6	7	15	6	6	7	15	6	8	7	15	6
Finance and Resource System - Implementation	Appraisal	-	6										
<b>Estates Management – Police and Crime Commissioner</b>													
Estate Management – Strategy	Assurance				10	6					7	10	
Estate Management – Delivery	Compliance		7	10			7	10	10	6			10
<b>Contract Management – Force</b>													
Contract Management	Appraisal						6						
Contract Management - HQ Project	Assurance							6					
Contract Management – Building/Maintenance	Assurance	6											
Contract Management – ICT Project	Assurance					6						6	
Contract Management – Services Project	Assurance			6						6			
<b>Fleet Management – Force</b>													
Fleet Management – Strategy	Appraisal	6			6			6			5		
Fleet Management - Delivery	Compliance		8					5					
Fleet Management – Fuel Management	Appraisal					6						6	
Fleet Management – Repairs and Maintenance	Appraisal			6						6			
<b>HR Management – Force and Police and Crime Commissioner</b>													
HR Management – Absence Management	Assurance	7						7	7		7		
HR Management – Recruitment	Assurance												6
HR Management – Training and Development	Assurance		4		7			7					
HR Management – Strategy	Assurance		7						7				
HR Management – Organisational Development	Assurance				12						7		

Review Area	Type	Days Required											
		2017/18				2018/19				2019/20			
		NWP	GWP	SWP	DPP	NWP	GWP	SWP	DPP	NWP	GWP	SWP	DPP
<b>Operational – Force</b>													
Collaborative projects	Assurance	4		4		4		10	4	6		10	4
Eastern Area – Command Unit	Compliance	4											
Western Area – Command Unit	Compliance					8							
Central Area – Command Unit	Compliance									8			
Duty Resource Management	Appraisal	6		6							6	6	6
Seized Proceeds of Crime	Assurance	6								8			
Welsh Language Standards	Compliance	6		8									
Collaborative projects (three forces)	Assurance		4				4				4		
Local Policing East/West/Crime	Compliance						14						
Internet/Email/Social Media	Appraisal										5		
Corporate Communications	Appraisal				6						6		
Staying Ahead 8 themes	Appraisal		12				6				10		
Victims Hub	Appraisal										6		
Vetting	Appraisal		8	6	6								
Northern BCU	Compliance			10								10	
Western BCU	Compliance			10								10	
Central BCU	Compliance							10					
Eastern BCU	Compliance							10					
Property Subject to charge	Appraisal			8				8				8	
Mobile Devices	Appraisal							8	6				
Firearms Licencing Management	Appraisal			8	8								
Neighbourhood – Duty of Care, Finance, HR	Compliance									10			
Investigations – Duty of Care, Finance, HR	Compliance				10								10
Complaints Management	Appraisal												6
Driver Retraining Programme	Appraisal												6
Crime Recording	Compliance				6								

Review Area	Type	Days Required											
		2017/18				2018/19				2019/20			
		NWP	GWP	SWP	DPP	NWP	GWP	SWP	DPP	NWP	GWP	SWP	DPP
<b>Operational – Police and Crime Commissioner</b>													
Commissioner Grants	Appraisal					6		6	6				
<b>Audit Management</b>													
Contingency		10				10				10		14	
Follow up	F/Up	6	10	15	10	6	10	15	10	6	10	15	10
Liaison with Wales Audit Office (WAO)		3	3	3	3	3	3	3	3	3	3	3	3
Strategic Plan		4	4	4	-	4	4	4	2	4	4	4	2
Annual Plan		2	2	2	2	2	2	2	2	2	2	2	2
Annual Report		4	2	4	2	4	2	4	2	4	2	4	2
Audit Management		18	15	25	16	18	15	25	16	18	15	25	16
	<b>Totals</b>	<b>190</b>	<b>152</b>	<b>270</b>	<b>194</b>	<b>190</b>	<b>151</b>	<b>298</b>	<b>185</b>	<b>190</b>	<b>152</b>	<b>256</b>	<b>189</b>