

1. Recommendations Requiring Members' Agreement of an Extension of the Planned Completion Date							
Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
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	01/09/2017	31/07/2018	22.05.18 - previous update stands ie the additional staff are now in place and are focussing on clearing the backlog/recruitment/contractors. Once the upgraded version of Core Vet has been secured and the backlog is in hand this will be set up. Tiaa undertook fieldwork for a new Vetting audit 21-23.05.18. The initial de-brief appears positive (subject to their final report). 30.08.18 - Significant progress and plan on target. Focus on internal vetting and once complete will cleanse the Core-Vet database to ensure only valid clearances are held on the system. Revised Completion Date: 31 December 2018
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	31/12/2018	22.05.18 - previous update stands ie additional staff are now in place and a review plan is in place to clear the backlog by the deadline of December 2018. Currently on track to achieve this. Procurement are currently processing the upgrade of Core-Vet which will cut timescales for staff completing checks down considerably. 30.08.18 - The current status is that we now have approximately 200 vetting BRC to complete and are on track to achieve this before the December deadline. Revised Completion Date: 31 December 2018
# SRS Virtualisation 16-17	Data Back-upGP data should be subject to replication as soon as possible (rather than being backed up to tape).Management needs to act on the reported mirroring issues to provide an adequate environment that ensures all data is replicated successfully in line with the set schedule. Consideration of the need for automated monitoring of the mirroring process and whether too much data is being replication at too high a frequency should be made.Realistic RPO's and RTO's should exist with defined policy requirements for meeting them that are	2	The replication for GP will not be in place for all systems until September 2017. The failed replication is due to the volume of data being replicated to the available / lack of capacity.	Assistant Director SRS Jon Price	31/03/2017	31/03/2018	23.5.18 This forms part of the Disaster Recovery work for which there is a separate update. Revised Completion Date: 31 August 2018 31.8.18 - This forms part of the Disaster Recovery work for which there is a separate report on the agenda. Revised Completion Date: 31 March 2019
# SRS Virtualisation 16-17	Encryption of Data-in-MotionManagement should progress the efforts to backup GP in a manner similar to that for MCC and TCBC as a matter of urgency.2This will be completed by the revised timeframe. This is an identical action as R02 above. Once data replication is matched in the GPA DR site, then backup and transit of data will be identical to TCBC.	2	This will be completed by the revised timeframe. Once data replication is matched in the GPA DR site, then backup and transit of data will be identical to TCBC.	Assistant Director SRS Jon Price	30/09/2017	31/03/2018	23.5.18 - this forms part of the Disaster Recovery work for which there is a separate update. Revised Completion Date: 31 August 2018 31.8.18 - This forms part of the Disaster Recovery work for which there is a separate report on the agenda. Revised Completion Date: 31 March 2019

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HR Management – Learning and Development 17-18	The functionality to automatically send a survey to an individual following receipt of training be developed through the new Learning and Development System to be implemented through the FIRMS programme as planned.	3	The new PDR system is in development (part of the FIRMS project) and is planned to go live in April 2018.	Head of People Services	31/05/2018	31/05/2018	23.05.18 - The Kallidus system is are priority for the force, the ability to automate a survey will be looked at as part of the implementation. 22.08.18 - Harry Head - This is under review looking at two PDR systems (My Path & Perform). A decision will be taken at the next steering meeting to be held on 25/09/2018 to decide if one or both platforms to progress. The automated survey in relation to training events will follow this implementation of FIRMS. Revised Completion Date: 31st March 2019
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	31/03/2018	31/03/2018	04.05.18 - Work is in progress, however, due to the first year end the new processes are not yet complete to document. Revised completion date 31.07.18. 21.08.18 - Payroll processes have been mapped however due to the first year end on new system the written procedure has been delayed. Revised completion date 31st October 2018
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	31/03/2018	31/03/2018	04.05.18 - Work is in progress, however, due to the first year end the new processes are not yet complete to document. Revised completion date 31.07.18. 21.08.18 - Payroll processes have been mapped however due to the first year end on new system the written procedure has been delayed. Revised completion date 31st October 2018
Follow Up	R03 - IT DISASTER RECOVERY 2010/11 - June 2011We 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	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	01/09/2016	31/03/2018	23.05.18 - The project has been re-baselined as there is significant work in rebuilding the NetApps Server, creating the snap mirror process and the associated work that SRS will be performing with Proact to move the NetApp server to Fairwater in August 2018. The list of GP systems defined as platinum, gold, silver or bronze is complete. This list also defines which area within SRS should initially receive the out of hours call should an issue arise. This list will need to be reviewed by the Head of the Force Control Room and Contact Centre, Assistant Chief Officer Resources and other key stakeholders (including Emergency Planning) to define service requirements to operate from Fairwater. Revised Completion Date: 31 August 2018. 31.8.18 - This forms part of the Disaster Recovery work for which there is a separate report on the agenda. Revised Completion Date: 31 March 2019

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Follow Up	R02 - IT GENERAL CONTROL:CHANGE MANAGEMENT 2012/13 - November 2012Introduce 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 "end of August 2014 for building works and 6 months commissioning work for ICT "end of February 15 "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.	Infrastructure Services Manager	01/09/2016	31/03/2018	See Update for Follow Up Recommendation R03 (above). 31.8.18 - This forms part of the Disaster Recovery work for which there is a separate report on the agenda. Revised Completion Date: 31 March 2019
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	30/06/2018		01.01.2018. still in progress. Delayed whilst the team undertake financial year end work. 31.8.18 - Progress has been made in a number of areas and this will be complete by 31/12/18. Revised Completion Date: 31 December 2018

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Creditors 17-18	Once the review of the scheme of delegations has been finalised and implemented for the purposes of ensuring effective and efficient processing through the BW system in the short to medium term, the resultant permissions be reviewed to ensure that the approvers selected comply with the Manual of Corporate Governance going forward.	2	The revised Scheme of Delegation is now in place and is currently undergoing final checks as it has been operational since 10 Feb 2018. The Scheme of Delegation goes into a lot more detail than the MoCG as it provides information on who should code and approve each cost centre/account code. The MOCG details the over-arching principles for approval and control. Where approval permissions have been delegated to individuals less senior than Head of Department this has been agreed in advance with the relevant budget holder. The system has been set for different approval levels - under £5k and over £5k. This is set up to be consistent with SWP and not in specific reference to the GWP MoCG. We have raised this with FIRMS support and will be	Head of Finance	30/06/2018		01.05.2018 - completed. New SoD is now in place with under £5k and over £5k approval limits. The use of these limits is consistent with SWP but will be reviewed as part of a wider review of the P2P system which will be discussed in Q2/Q3 2018/19. 31.8.18 - The Scheme of Delegation has been implemented in the process flow of the finance system and is working effectively. The final adjustments to align Executive approval with the delegations in the Manual of Governance have been mapped and planned implementation 1 October 2018. Revised Target Date: 1 October 2018
Creditors 17-18	Procedure notes for maintaining supplier details be documented.	2	This will be updated as part of the process and procedure work currently being undertaken with PwC.	Head of Finance	31/03/2018		02.05.2018 - Will be completed as part of the clear up of suppliers ledger and development of SLA's for the team. Revised Completion date 30 June 2018. 31.8.18 - The procurement Dept and Finance Dept have developed a new vendor form for implementation October 2018 (following testing). The system for revising supplier details will be managed by the Procurement Department. Revised Completion Date 1 October 2018.

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Creditors 17-18	All staff be reminded that creation of a purchase order should be the primary means requesting goods and services and that procurement should only take place without a purchase order in exceptional circumstances.	3	We have already commenced discussions with SWP on implementing a no-PO, no pay policy. Due to the new system implementation and the teething issues experienced it was agreed that this would be delayed until the new financial year. Finance are working closely with procurement on the communication with staff and suppliers on this change to policy which we expect to go-live from the 1 April 2018.	Head of Finance	01/04/2018		01.05.2018 - A 'No-PO, No-Pay' policy has been presented to Scrutiny & Performance Board and initial stage planning undertaken. Implementation Plan to be developed and phased introduction across the force with Phase 1 by 31 July. Revised Completion Date 31 July 2018. 31.8.18 - The introduction of Purchase Order led payments is planned Autumn 2018. Meetings ongoing with Dept Heads to discuss and plan the process. Revised Completion Date 31 December 2018
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.	IRSC Manager	31/10/2016	31/03/2018	04.05.18 - work is in progress, however, due to the first year end on the new system it has been delayed. Revised completion date 31.07.18. Revised completion date 31st October 2018

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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	30/09/2018		02.05.2018 - not commenced yet, deadline not yet due. 31.8.18 - Work is progressing with new SLA's in place and documented. The team are on track to complete the full documentation work by the end of September. Revised Completion Date: 30 September 2018
2. High Priority Recommendations Where the Planned Completion Date has not yet Expired - None							
3. Recommendations That Have Been Completed or Rejected							
Duty Resource Management 15-16	Development of the requirements for the new duty resource management system be considered alongside the implementation of the new finance, human resources and payroll systems either as a combined HR / payroll and duty resource management system implementation or to take into account the requirements in a separate, later implementation.	2	This is agreed and will be considered as part of the FIRMS Programme in collaboration with SWP.	ACOR	30/09/2016	31/05/2018	The FIRMS implementation has completed for HR, Finance and Payroll. The LDS system is planned for implementation in April 2018. The Duty Resource Management system is planned for implementation May 2018. The corporate and user requirements are built into the specification for this system. Revised Completion Date: 31 May 2018 (Phase 3 FIRMS) 23.5.18 - The DRM design and system architecture has been built and data has been populated with parallel running to test the system. Go Live date September 2018 on a phased roll out. Revised Completion Date: 1 September 2018 The GRS Duty Resource Management System "Goes Live" 1 October and the phased implementation across the force concludes with support functions on 11 February 2019. The force requirements have been built into the system to optimise the use of functionality already in the ABW Finance and HR records. Complete

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First Point of Contact 16-17	Recruitment training be provided to all staff required to be involved in recruitment processes as panel members or interviewers.	3	Training needs for panel members to be assessed with Head of L&D. Where needed, training and support will be provided	Supt Townsend	01/06/2018	01/06/2018	27.02.18 - this is on-going given the change over of staff to the suite however during the most recent recruitment processes each panel had at least two members of staff that were trained on a panel of three. On each occasion the third panel member was a new member of the team and part of the process for their own development. 18.05.18 - All staff are trained. Complete 21.08.18 - This is implemented. Complete
First Point of Contact 16-17	Confirmation of training provided to supervisors be obtained and where courses or sessions have not been attended arrangements be put in place to ensure training is delivered as intended.	3	Role of AIS has been identified as an issue for PIR. In the short term a management review will be conducted to look at training needs and what has been delivered	Supt Townsend	31/03/2018	31/03/2018	27.02.18 - the role of the AIS has been reviewed including the role profile and the training requirements "this has been undertaken during workshops with the staff and will feed into the PIR. 18.05.18 - AIS report and training needs identified and training delivered. Complete. 21.08.18 - Key Task List is in place for all supervisors. A review has been completed with all staff to make sure they have the access rights and training required and where there are gaps these have been resolved. This key task list will also be given to new starters. Complete
First Point of Contact 16-17	The ongoing training requirements for operators who have qualified at all three stages of competency and those for supervisors be reviewed to ensure there is a consistent and ongoing process of continual development for staff within the suite.	3	A review of the training strategy for FCS is to be commenced with a view to aligning training needs to a comprehensive skills matrix which assesses each member of staff against the core tasks and 4 levels of competence, these being: In training Competent under supervision Competent without supervision Can teach others. An A-Z reference guide and 'how to' videos are to be developed for the new intranet to supplement classroom based training	Supt Townsend	31/03/2018	31/03/2018	18.05.18 - each staff member has a competency framework and these have been completed with the only ones outstanding are for those individuals on Long Term Sickness absence. Complete 21.08.18 - The skills matrix which all staff complete is monitored through the performance meetings. Complete
Risk Management – Mitigating Controls 17-18	Arrangements be put in place to ensure that there is a deputy with the appropriate accreditation to provide cover for the Force Crime Registrar in the event of absence.	3	The Force Crime Registrar for Gwent Police is accredited. Demand levels have been mapped across the force and Chief Officers have made the decision not to appoint an accredited deputy. Recommendation not accepted	n/a	05/09/2017	05/09/2017	The Force Crime Registrar for Gwent Police is accredited. Demand levels have been mapped across the force and Chief Officers have made the decision not to appoint an accredited deputy. Recommendation not accepted. 31.8.18 - This recommendation will be closed "Classified Completed".

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# SRS Email 17-18	Where appropriate, the mail clients in use should be the most up to date versions available; standardised across as many organisations as possible.	2	The intention is to have TCBC and MCC on the 2016 version within 18 months. Older versions will be kept where they are required by an application. This work is ongoing, with any older versions being uninstalled and migrated as and when required. The focus is still to have MCC and TCBC onto Outlook 2016 By October 2018.	Assistant Director SRS Jon Price	31/10/2018	31/10/2018	Ongoing. 31.8.18 - The Review of the Audit has confirmed this is not a GP Action but relates to other SRS Partners. This will be removed - Classified as "Complete"
Treasury Management 17-18	The Financial Procedures Manual be reviewed and updated to reflect the current Finance Team structure.	3	The finance team has recently been restructured and due to current operational requirements are working to a temporary structure. The structure will be finalised as part of the Post Implementation Review that is scheduled in March 2018. Once finalised the relevant documents will be updated	Head of Finance	30/04/2018	30/04/2018	01.05.2018 - it was agreed at Service Improvement Board in April 18 that the current temporary structure for Finance will be maintained for 6-12 months whilst new systems embed. Therefore the force communication sent in Feb 2018 still stands. The structure of the team will be included on the new intranet page rather than embedded in policies going forward. 31.08.18 - The Post Implementation Review of Finance completed in August 2018 and a new Interim Structure approved which will be communicated to the force at the beginning of September and updated in the manual. Complete
Governance – Strategic Planning 17-18	Reporting be aligned to key risks and assurances, using a RAG rating to indicate whether there are any areas which might require further investigation by the next tier of the governance framework.	2	A RAG rating approach will be considered as part of the evolution of these governance arrangements. The issues discussed are highlighted and risks are highlighted and escalated where necessary.	Governance Officer	30/06/2018		15.05.18 - The current process for highlighting, aligning and escalating risks to the Scrutiny & Performance Executive Board is working well. This can be assessed fully during the Post Implementation Review however, the escalation approach is satisfactory. Complete 31.8.18 - The Highlight Reports from each Board provide a section on risk (both to be escalated and also those not for escalation) which enable the scrutiny of the issues and progress with actions. Complete
Governance – Strategic Planning 17-18	A formal post implementation review be undertaken in June 2018 to assess whether the new governance framework has achieved the defined objectives.	2	A Post Implementation Review will be completed by 30 June at which time a RAG rating approach may be introduced.	Governance Officer	30/06/2018		15.05.18 - the Post Implementation Review is scheduled to be completed by 30.06.18 although it should be noted that this date may need to be reviewed due to amendments that have been made to the new Governance Structure since its introduction to fully assess if the framework is achieving its objectives. 31.8.18 - The governance structure has been reviewed and certain Terms of Reference revised to streamline the arrangements and remove duplication across Boards. Complete
Governance – Strategic Planning 17-18	The Manual of Corporate Governance be updated to reflect the approved governance structure as part of the annual review and uploaded onto the Police and Crime Commissioner's website.	3	The MoG is currently being revised to accommodate these changes ahead of the new financial year.	Chief Executive & ACOR	31/03/2018		Complete. 31.8.18 - Manual of Governance reviewed, revised and published. Complete

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Governance – Strategic Planning 17-18	Guidance on reporting expectations be provided to Chairs of each tier within the governance structure to reinforce the delegated authority of the structures and to ensure appropriate and timely escalation of those matters beyond that authority.	3	The Governance Officer will co-ordinate the preparation and completion of the highlight report to ensure consistency. This is an iterative process of continual improvement.	Governance Officer	31/03/2018		15.05.18 - Guidance has been provided to Chairs and there is on-going support provided by the Governance Officer. The Governance Officer co-ordinates the delivery boards and ensures appropriate escalation of matters to the Scrutiny and Performance Executive Board in consultation with the chairs in a timely manner. Any escalations are recorded within the Highlight Reports. Complete 31.8.18 - The Chairs have developed the Terms of Reference and the Governance Officer co-ordinates the agenda, papers and actions, preparing highlight reports. Complete
Debtors 17-18	Debt recovery or "chase" procedures be determined and implemented at the earliest opportunity.	1	This remains an outstanding action due to capacity constraints within the team over the past six months. We now have allocated a member of the team to be responsible for this area and will proceed with this work in preparation for year end. We have also engaged with PwC to support our review of this area and to identify updated and improved procedures within this area.	Head of Finance	31/03/2018		02.05.2018 - debtors have been chased as part of the year end procedures. Once year end is completed the Assistant Accountant assigned will commence formal monthly chasing of debtors. The HoF reviews the ageing on a monthly basis. The document to detail this process will be completed following draft accounts submission. Revised Completion Date 30 June 2018 31.8.18 - The roles and responsibilities in finance for this function have been clarified and produced in a "service level agreement" with each member of staff. The positive impact has already been seen and progress will be monitored through the KPIs Report for Finance. Complete
Debtors 17-18	The debtors control accounts be brought up to date at the earliest opportunity to allow recovery action to take place.	1	This has now been actioned. The control accounts have been reconciled but the resulting journal has not been posted into the system as we are awaiting the correct template from FIRMS support. This is in progress and will be completed in advance of year end.	Head of Finance	31/03/2018		01.05.2018 - Completed. 31.8.18 - The roles and responsibilities in finance for this function have been clarified and produced in a "service level agreement" with each member of staff. The positive impact has already been seen and progress will be monitored through the KPIs Report for Finance. Complete
General Ledger 17-18	Arrangements for formally evidencing and approving new and changes to account codes, cost centres and project codes be implemented.	2	This is a process that the FIRMS support team undertake to ensure consistency between South Wales Police and Gwent Police. The new Scheme of Delegation has now been implemented and the work around the formal approval process can now commence. A workflow will be created for the request for new codes which will evidence the required level of approval. To date the need to set up new account codes is minimal and the majority of the requests relate to project codes. There is already a protocol in place to ensure all collaborative codes are set up in both SWP and GWP	FIRMS Support Manager	01/04/2018		01.05.2018 - Completed. 31.8.18 - Process is established. Complete.

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General Ledger 17-18	All control account reconciliations be brought up to date as planned.	2	The control account work is now well progressed with an Assistant Accountant allocated to complete this work. The reconciliations have been undertaken and the next step will be to upload the reconciling journals into the system. We have been unable to do this to-date as waiting for the control account journal template to be provided by the FIRMS team. We are confident that all reconciliations will be up-to date in preparation for year end.	Head of Finance	31/03/2018		01.05.2018 - Completed. All control account reconciliations were bought up to date for year end 17/18 and there is now a formal document that details the timescale for completion of each control account. Complete
General Ledger 17-18	Periodic reviews be undertaken of those with access to BW to ensure that only authorised staff are able to access the system and those with access have appropriate access rights and privileges.	3	We confirmed with the FIRMS Support team that although a member of SWP was shown as an approver they did not approve anything and would not have had access to the system to do this. As part of the month end routine we have now included a review of the user access for the Gwent environment. This will take effect from Month 11.	Head of Finance	31/03/2018		01.05.2018 - This is now a part of the regular month end routine. Completed. 22.08.18 - Periodic review recently implemented every quarter to check access within both forces, given back to the Business Leads to validate correct users are on the system. Complete
Budgetary Control 17-18	A formal procedure for checking and authorisation of budget adjustments be determined.	3	We have minimised the number of budget adjustments that the team undertake and focus more on providing an accurate forecast position. We believe there to be little risk to budget adjustments as they simply reallocate funding for certain costs (such as overtime or money approved to be spent from the development fund). All journals that impact the actual results are approved and go through work-flow. The Head of Finance reviews the budget position as part of the month end routine and ensures the budget position remains accurate therefore we do not believe that the addition of a paper-trail for the authorisation of these adjustments will add any additional control.	Head of Finance	26/02/2018		01.05.2018 - as stated in our original response we do not believe this would increase control around budget set or management reporting. Therefore we are not planning to implement any additional processes in relation to budget adjustments. Recommendation not accepted. 31.8.18 - The new budget approach has significantly reduced the volume of budget adjustments and the functionality of the new general ledger focusses on forecasting. The budget adjustments are formally authorised. Complete

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Creditors 17-18	A full duplicate payment analysis exercise be carried out, in particular focussing on those invoices where the invoice number was altered to enable payment, to confirm that no further overpayments have been made and to undertake recovery action where necessary.	1	Agreed. We have experienced issues with the implementation of the new finance system that has led to a number of payments being made via Faster payments. Duplicate payments were made due to a lack of knowledge in the team as to how to code payments made by faster which meant they were also pulled onto the BACS run. This has been recovered and now that the new Scheme of Delegation is in place and the team understanding the process better we anticipate that the need for making payments in this way will reduce and this will remove the risk of duplicate payments. A review of payments will be made as part of year end procedures to ensure any remaining duplicates are identified and recovered.	Head of Finance	31/03/2018		01.05.2018 - All duplicate payments identified and a significant amount has already been recovered. Deadline of 31.05.18 has been set to recover all of the amounts. Completed. 31.8.18 - This exercise was completed as part of the annual accounts audit by WAO. Most duplicate payments have been recovered and the remainin are being pursued. Complete
Creditors 17-18	A process be established for reminders to be sent to cardholders to ensure that purchase card transactions are approved in a timely manner.	2	Agreed. This will be incorporated into the procedure review as disclosed above.	Head of Finance	31/03/2018		02.05.2018 - this has been incorporated into the P2P SLA's that provide a day per week for each member of the team to chase/ remind people to do their reconciliation. Coders and approvers get monthly reminders directly from the Barclaycard system. Complete Purchase card transaction receipts are chased as part of the new SLA's in place for the P2P team. Each member of the team is assigned a housekeeping day. One of the activities assigned to housekeeping is chasing owners of cards with outstanding transactions. Complete
Creditors 17-18	Where a request to change details is made, the contact with the supplier to confirm the legitimacy of the amendment be recorded to evidence that check has been undertaken.	3	Agreed. This will implemented with immediate effect.	Head of Procurement/Head of Finance	28/02/2018		02.05.2018 - Complete 31.8.18 Complete
Creditors 17-18	Supplier purges be undertaken on a regular basis.	3	A purge was undertaken as part of the move to the FIRMS system. Suppliers that had not been used for over 6 months were not bought across. This was ineffective as we have a number of suppliers for whom we only receive annual invoices.It is agreed that a regular (12 monthly) review of the supplier ledger be undertaken to ensure accuracy is maintained. Due to the last review being undertaken as part of the move to FIRMS the next "purge" will be required in August 18	Head of Finance	31/08/2018		01.05.2018. Not yet due - will be undertaken as part of the implementation of 'No PO, No Pay' policy. 22.08.18 - This is now a service available to Gwent Finance who will complete on a quarterly basis. Complete
Creditors 17-18	The FIRMS team be contacted to confirm whether it is possible to obtain a report of new supplier and supplier changes.	3	Agreed. This is being progressed.	Head of Finance	31/03/2018		02.05.2018 - This functionality is available within BW and will be runs on a monthly basis. Complete. 22.08.18 - New Supplier was set up with appropriate workflow. This was completed following the raising of a change request. Complete

Outstanding Audit Recommendations for Review at June JAC

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Creditors 17-18	BW reporting capabilities be identified and a process of routine exception reporting to review the accuracy and legitimacy of the payrun be adopted.	3	Agreed. A suite of reports including aged creditor analysis will be provided as part of the management accounts reporting routine. Given current deadlines and workload for year end this will be fully established in the new financial year and will be informed by the policies and procedure work undertaken with the support of PwC. However we can confirm that aged creditor is utilised on a weekly/regular basis to ensure appropriate mitigations are in place for payment of over-due invoices.	Head of Finance	30/06/2018		02.05.2018 - Whilst we have been unable to automate checks a number of new processes have been introduced to cover this risk. We now undertake pre-payment manual checks on all invoices prior to processing and before each payrun a duplicate payment review is undertaken. Complete. 31.8.18 - The suite of reports has been requested to the Head of FIRMS who has prioritised the work and priority reports completed. Others continue to be developed on request. Complete
Debtors 17-18	Finance staff to ensure that all debtors sales invoices that are credited have appropriate backing documentation to confirm the reason for the credit and is attached to the BW system.	3	Agreed. All credit notes raised will have the appropriate backing documentation.	Head of Finance	28/02/2018		02.05.2018 - Complete. 31.8.18 - Complete
2017/18 Finance and Resource System Implementation	Staff training needs be assessed to identify and prioritise where further guidance is required.	2	This is accepted. The FIRMS Support team have identified an appropriate consultant who will undertake a training needs assessment for all areas within finance.	Head of Finance	31/07/2018		02.05.2018 - in progress. Training needs assessment will be undertaken by FIRMS consultant by the end of May. Refresher training for the P2P team is scheduled for 15 May 2018. 22.08.18 - Structured training has been developed and provided from 01/08/18. Complete
Payroll 17-18	The Payroll Planner be produced as previously once agreed reconciliation and exception reporting procedures have been established.	3	There is a Payroll Planner in place, and will be revised to present the new BW HR/Payroll System.	Payroll Services Lead	31/03/2018		04.05.18 - Complete
Payroll 17-18	Further training and system access requirements for the Payroll Team be determined and provided.	3	Since the implementation of BW in August 2017, training has been provided based on need. The Payroll Team are fully trained to do their individual roles. When new issues arise training is given at that point to overcome the problem. It is expected that training to manage year end processes will be necessary and this will be arranged.	Payroll Services Lead	31/07/2018		04.05.18 - 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	01/12/2017	31/03/2018	01.12.17. 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. The reporting tool will be developed to complete the analysis, however, the force has not prioritised this ICT development work and manual monitoring remains in place by the fleet team. Revised Completion Date: 30 September 2018. 31.8.18 - Complete

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Risk Management – Business Continuity 15-16	The training needs of nominated workstream BCM leads be assessed once the Staying Ahead 8 review of back office services has been completed.	3	Primary initial training programme agreed in the Strategic BCM Group will be operational staff. With the re-shaping of the back office support functions (SA8), once this has been completed and BCM plans have been done the training process will be developed for these areas unless an opportunity arises sooner.	PC 338 Mark Jenkins Force Planning Unit	01/01/2017	30/04/2018	04.05.18 - Strategic BCM priorities/aims amended slightly by Chair of Group (the areas of Force Control Room and Resilience, Custody and SRS will be concentrated on). Looking to have awareness session in autumn/winter 2018. Revised Completion Date 30 September. 31.8.18 - The BCM Meetings have focused on revised BS Plans for all departments. These are complete and table top exercise planned October 2018. Complete