Tiaa Outstanding Audit Recommendations (downloaded 10 May 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
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**	21.05.19 - this process is still ongoing. Gwent Police have recovered £765,492.87 from duplicate payments to date with £310,801.07 outstanding. These outstanding amounts continue to be vigorously pursued with suppliers, using Joint Legal Services input where necessary. The level of recovery continues to be monitored on a regular basis. The recommendation is being implemented. **Extension requested to 31.07.19 to enable legal process and credit note arrangements to conclude.**
GDPR Compliance Audit review 1	All personal data held within individual and team drives and devices be identified and a decision made on their continued use or removal.	2	The assessment of personal data held within individual and team drives and devices forms part of the corporate information governance strategy relating to the Electronic Documents and Records Management (EDRM) programme. The corporate file plan has been developed and approved by Information Assurance Board which will be adopted following the implementation of Office 365 (Autumn 2019). The Records Manager holds the portfolio for EDRM forms part of the new Information Governance structure with effect from 1st October 2018. Progress on this action to be provided 31st March 2019, following completion of new team.	Records Manager	**31/03/2019**	06.02.19 - a recommendation made to IAB in February for all records over 6 years old to be deleted from the shared drives and emails and then year on year until all information is deleted. Office 365 will be implemented in Autumn 2019 and a new file plan will be adopted with Sharepoint which will have retention rules applied. 13.05.19 - Good progress confirming data and filing structures across the force and also in relation to the retnetion periods which will be presented to IAB for approval to delete. **The work programme is ongoing and will be heavily influenced by the Office 365 rollout which has a revised date of October 2019. Extension requested to 31.10.19.**
GDPR Compliance Audit review 1	Existing hard copy and electronic documents and data be assessed against the Document Retention Policy once it has been approved so that documents and data that are identified as no longer required can be deleted or disposed of.	2	The Gwent Police Document Retention Schedule has been approved by the Information Assurance Board. The Records Manager holds the portfolio for Management of Police Information (MoPI) and the Review, Retention and Deletion (RRD) of records. RRD in respect of hard copy files is 90% complete. Data held within legacy systems relating to Crime and Intelligence has been back record converted into Niche RMS. Legacy systems will be subsequently decommissioned. The National Minerva Working Group is seeking an RRD solution for Niche RMS. Progress on this action to be provided 31st March 2018 at which stage the NICHE solution should be known.	Records Manager	**31/03/2019**	06.02.19 - Now that the new structure is in place RRD is taking place on legacy systems including custody images and corporate sharepoint sites. The National Minerva group is progressing the MOPI RRD module within Niche and this is reliant on completion of the updated Authorised Professional Practice (APP) by the College of Policing. 13.05.19 - the national Minerva group are updating the RRD specification for Niche which will be completed by October 2019 and provided to Niche to produce the product (for release in an applicatiohn update in 2020 - timeline to be confirmed). Work continues to review and delete data in legacy systems. **Extension requested to 31.03.20.**
Finance and Resource System Implementation	Provision be put in place to provide resilience for the Establishment Officer.	2	Interim resilience has been put in place, a member of the recruitment has had responsibilities re-aligned in the short term. This temporary arrangement will cease as part of the restructure of People Services which is scheduled for sign off at Service Improvement Board in May 2019. The proposals recommend an additional post in this area with alignment to a strategic lead for workforce planning and resourcing.	Head of PS	**31/01/2019**	21.05.19 - Temporary arrangments remain in place and the long term will be addressed as part of restructure. **Extension requested to 30.09.199.**
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	**31/03/2019**	21.05.19 - the work to secure this door has been addressedd with the existing digital lock. A new card access will be fitted on completion of the Voluntary Termination of the PFI. **Requested extension to 31.07.19.**
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	**30/04/2019**	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 April 2019. 13.05.19 - **OPCC request for extension to 31.10.19.**

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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	**30/04/2019**	21.05.19 - meetings with other Fleet Managers and system suppliers has due to availability. **Requested extension to 31.07.19.**
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	**30/04/2019**	21.05.19 - The implementation was progressed, however, on testing it was found that when the download took place, all tyres were downloaded to one vehicle and not each vehicles. The Manager of Fleet Administration has now taken on responsibility for completing the task. The recommendation is being implemented and a meeting will be arranged with Goodyear to request the same format as used by Dyfed Powys Police. **Requested extension to 31.07.19.**
2. High Priority (Priority 1) Recommendations Where the Planned Completion Date Has Not Yet Expired						
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	**31/07/2019**	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. 21.05.19 - Separate report produced indicating Go Live date in June 2019.
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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.	Infrastructure Services Manager	**31/07/2019**	21.05.19 - Separate report produced indicating Go Live date in June 2019.
3. Recommendations That Have Been Completed or Rejected						
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 locationAs 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	**31/03/2019**	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. 06.03.19 - a revised due date of 01.05.19 was not approved at Joint Audit Committee on 04.03.19, approval given for date to be extended to 31.03.19 only. 17.05.19 - Management accelerated the process and this has led to some referrals to PSD. **Completed**

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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	**31/03/2019**	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. 06.03.19 - a revised due date of 01.05.19 was not approved at Joint Audit Committee on 04.03.19, approval given for date to be extended to 31.03.19 only. 17.05.19 - Management accelerated the process and this has led to some referrals to PSD. **Completed.**
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	**30/06/2019**	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. 13.05.19 - This is an on-going task as each month more applications are showing as expired (mainly contractors). We aim to complete this part of the cleansing by 30.06.19 and monitor on a monthly basis. **Completed.**
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	**30/06/2019**	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. 13.05.19 - We have archived the records of those with expired vetting clearances which has enabled us to provide up-to-date lists to Estates re: contractors with valid vetting clearance. The lists have been circulated to the relevant companies and we have put the emphasis on them to check the list and send us vetting renewals for anyone not listed. This has helped to cleanse Core-Vet (we've gone from over 3,000 records showing as expired to 435) and will in time allow us to be more proactive. **Completed**
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	**30/06/2019**	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. 13.05.19 - The 2018 back record vetting project addressed the vetting back log and 98.2% of the workforce now hold vetting clearance. Vetting applications are now being dealt with at the time of expiry and therefore there is no backlog. This is the same for NPPV vetting. **Completed.**

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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 Stores. The 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 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 store. Agreed Improvements to the local management of property will include a 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, including Signs 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 use. Consideration to reduce sites from the existing 26 storage points being managed around the Force area. The 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	**31/03/2019**	17.05.19 - **complete.**
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	**31/03/2019**	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. 06.03.19 - a revised due date of 01.05.19 was not approved at Joint Audit Committee on 04.03.19, approval given for date to be extended to 31.03.19 only. 17.05.19 - Maindee Transit Store has been closed and all items moved to the Force Property Store. The audit process is in place. **Completed.**
Debtors	All recovery action be recorded on the customer account within the BW system.	2	Agreed. During the time that the automated process was being finalised, the team focussed on recovery of the high value debtors. For these items, manual letters and telephone calls were being made and these letters and calls were recorded against the debtor in BW. The automated process is now live for all debtors in the systems and so all letters are now being recorded on BW against the debtor as expected.	Assistant Accountant	**31/10/2018**	**Completed.**
GDPR Compliance Audit review 2	The Data Protection Act 2018/ European Union General Data Protection Regulation Action Plan be regularly updated with the progress towards completion of all actions.	2	Accepted. Action plan was updated 07/02/19 and diary reminders added to ensure it is reviewed on a monthly basis in future.	Head of Assurance and Compliance	**14/02/2019**	13.05.19 - See Management Comments column. **Completed.**
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	**30/04/2019**	13.05.19 - The 2018 back record vetting project addressed the vetting back log and 98.2% of the workforce now hold vetting clearance. Vetting applications are now being dealt with at the time of expiry. **Completed.**
Budgetary Control	Gwent Police's financial management and administration procedures be documented as planned through the process mapping exercise being carried out.	2	The process mapping exercise is complete. Following further discussions with the external consultant, he review and updating of the workflows has also been completed	Jackie Glossop	**31/01/2019**	13.5.19 - **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**	21.5.19 - This system is in place and operating effectively. **Completed**

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Finance and Resource System Implementation	Arrangements be put in place for regular reconciliations to be performed to confirm the accuracy of the data held on Agresso Business World.	3	This is a self-service function and officers and staff were recently requested to update as part of the transition to BW, annual requests will be scheduled.	Head of PS	**30/04/2019**	21.05.19 - Actioned. Data intergrity checks and reminders are in place. **Complete.**
Estate Management – Governance Arrangements	The maintenance arrangements be included in the next review of the Estates Strategy.	3	This will be included in revision – the Estate Maintenance programme is reviewed and agreed each year by the Estate Implementation Board.	Head of Estate and Facilities	**31/03/2019**	08.02.19 - the Annual Maintenance Plan will be finalised for the new financial year. 21.05.19 - the review of the Planned Maintenance Programme is included in the agenda items fir the next Estate Strategy Implementation meeting in June 2019. At this meeting the OPCC will review the PPM Works. **Complete.**
Expenses and additional payments	The instructions and guidance on how to complete an expense claim through Fully Integrated Resources Management System (FIRMS) be included on the new intranet, The Beat.	3	Agreed.	Rob HartPayroll Lead	**31/03/2019**	21.05.19 - completed in April 2019. **Complete.**
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	**30/06/2019**	13.05.19 - staffing has been reviewed and additional recruitment will provide 4 permanent members of staff. **Completed.**
Debtors	A payment by instalment policy and procedure be documented.	3	Agreed.There are the only two payment agreements in place. A section will be included in Financial Procedures on the process for arranging and agreeing payment plans.	Assistant Accountant	**31/01/2019**	21.05.19 - Gwent Police have had a draft report from PwC which has been reviewed and accepted subject to one revision. The approach is being implemented and will be refined with the one revision. **Completed.**