

Police & Crime Commissioner for Gwent
Internal Audit Recommendations - Status Report as at 1st March 2017

1. RECOMMENDATIONS REQUIRING MEMBERS' AGREEMENT TO AN EXTENSION OF THE PLANNED COMPLETION DATE

| REPORT RECOMMENDATIONS | | | IMPLEMENTATION | | | |
|---|--|------|------------------------|-------------------|---------------------|---|
| <i>RED – HIGH PRIORITY/RISK BLUE – MEDIUM BLACK - LOW</i> | | | <i>GREEN – UPDATES</i> | | | |
| Ref | Narrative | Risk | Original Plan Date | Current Plan Date | Responsible Officer | Current Status |
| | <u>WALES INTERPRETATION & TRANSLATION SERVICES (WITS) 2014/15</u> - <u>April 2015</u> | | | | | |
| R01 | <p><i>Clarity over Responsibilities, Liabilities and Insurance:</i></p> <p>It is recommended that WITS seeks legal advice in order to clarify the responsibilities and liabilities involved in operating WITS as a matter of urgency. In the absence of interpreters holding professional indemnity insurance, an alternative type of insurance or protection should be secured to mitigate the serious risk of legal action in relation to a misinterpretation. Gwent Police, WITS, partner organisations, non-partner organisations and interpreters should be made aware of the responsibilities and liabilities as soon as they are clarified.</p> | H | Apr 16 | Apr 17 | WITS Manager | <p>The pilot with CIOL took place in March 2016. This involved examination and the option of student membership that in turn enables interpreters to obtain insurance. The new Governance Framework has been provided to partners for comment by 31/12/16. This addresses service configuration, people, procurement and ICT. Final decision for the transfer to Cardiff City Council is scheduled for the January 2017 Cabinet meeting with agreed target date for transfer on 1 April 2017. Revised date April 2017.</p> <p>Revised completion date June 2017.</p> |
| R04 | <p><i>Documentation of WITS' Governance Structure:</i></p> <p>It is recommended that clear, formal and up to date documentation of the governance structure in place at WITS is established.</p> <p>In addition, up to date terms of reference should be defined for the WITS Partnership Management Board.</p> | H | Oct 15 | Apr 17 | WITS Manager | <p>Legal advice has been received and planning work has commenced to manage the handover of WITS to a Local Authority.</p> <p>See R01 above - Revised date April 2017.</p> <p>Revised completion date June 2017.</p> |

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| R06 | <p><i>Procurement Process:</i> It is recommended that a formal procurement process is established, documented and applied to all new interpreters added to the WITS Register of Interpreters. WITS should ensure that its operations are compliant under European procurement requirements.</p> | M | Apr 16 | Apr 17 | WITS Manager | The contract framework documents are drafted with support of the Nat. Procurement Service. See R01 above - Revised date April 2017. Revised completion date June 2017. |
| | <p><u>SHARED RESOURCE SERVICE (SRS)</u> <u>VIRTUALISATION 2016/17</u> <u>- October 2016</u> <u>(report by Torfaen County Borough Council)</u></p> | | | | | |
| R02 | <p><u>Data Back-up</u> GP 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 supported by a SLA. The Infrastructure Team should be informed of these in order that they can be met.</p> | M | Mar 17 | | J Price | 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. Revised Date: September 2017 |

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2. HIGH PRIORITY RECOMMENDATIONS WHERE THE PLANNED COMPLETION DATE HAS NOT YET EXPIRED

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| | <u>IT DISASTER RECOVERY 2010/11 - June 2011</u> | | | | | |
| R03 | <p style="color: red;">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.</p> <p style="color: red;">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.</p> | H | Apr 12 | Apr 17 | <p style="color: red;">Technical Collaborn Manager</p> <p style="color: red;">Note Formerly updated by Assistant Director SRS</p> | <p>Confirmation received at JOINS-IT Board on 12 Feb 2016 that the Fairwater DR site has now been handed over to SWP ICT from the supplier, therefore that update describes next steps and the change required to delivery date.</p> <p>Revised completion date: April 2017.</p> <p style="color: green;">We now have a full time project manager appointed to oversee the DR work in Fairwater. We have a defined list of services we would require to be hosted in the DR site and are undertaking a scoping exercise to see how much rack space we require. We are also engaging with SRS to identify underlying systems and infrastructure that support the identified business processes and information assets .The work of upgrading the networker is now complete. Ongoing.</p> |

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| | <u>IT GENERAL CONTROL: CHANGE MANAGEMENT 2012/13 -November 2012</u> | | | | | |
| R02 | Introduce a test environment. | H | Dec 13 | Apr 17 | Technical Collaborn Manager | See IT DR June 2011, recommendation R03, above. Revised completion date: April 2017. |

3. RECOMMENDATIONS THAT HAVE BEEN COMPLETED OR REJECTED

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| | <u>REVIEW OF THE CREDITORS ARRANGEMENTS 2016/17 - December 2016</u> | | | | | |
| R01 | The Purchasing Card Suspense Account be completed in a timelier manner. | M | Dec 16 | | HOF | The department has been operating with a temporary staffing arrangement through most of this financial year, which has impacted on the timeliness of control account reconciliations. Recent changes have improved this and will they will be performed in a more timely management in the future. Completed |

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| R02 | All control account reconciliations be independently reviewed and signed off in a timely manner. | M | Dec 16 | | HOF | The department has been operating with a temporary staffing arrangement through most of this financial year, which has impacted on the timeliness and independent checking of the control account reconciliations. Recent changes have improved this and will they will be performed more timely and independently reviewed in the future. Completed |
| R07 | All line managers of individuals with purchasing cards be reminded that transactions must be approved in a timely manner so that the relevant costings are charged to the relevant budget code to ensure the Management Accounts and budgetary control is more accurate. | L | Dec 16 | | HOF | Periodic reminders will be issued to all card holders on a regular basis. Completed |
| <u>REVIEW OF THE DEBTOR ARRANGEMENTS 2016/17</u> <u>- December 2016</u> | | | | | | |
| R01 | All sales invoice request forms be held in the shared folder for transparency. | M | Dec 16 | | HOF | The importance of this control will be confirmed with all of the Purchase to Payment staff and monitored for compliance. Completed |

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| R02 | Processes within the purchasing and payments team be revised to ensure that the authorisation of sales invoice request forms can be demonstrated ensuring sufficient segregation of duties. | M | Dec 16 | | HOF | Independent verification and authorisation of the sales invoice requests is essential. The importance of this control will be confirmed with all of the Purchase to Payment staff and monitored for compliance. Completed. |
| R03 | Contact be made with Joint Legal Services to ascertain the position of the debts referred in the summer of 2016. | M | Jan 17 | | HOF | Regular review meetings will be arranged to ensure that progress is made on the recovery of debt and that appropriate transparency of action is established. Completed. |
| R04 | The arrangements for recommending the write-off of debt to the Joint Audit Committee and the subsequent follow up actions be clearly recorded within the minutes to ensure appropriate action is taken. | M | Dec 16 | | JAC Secret -ariat | The minutes will capture decisions specifically to confirm write off. This was discussed and recorded in the minutes of the meeting held on 21st December 2016. Completed. |

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| | <u>REVIEW OF THE BUDGETARY CONTROL ARRANGEMENTS 2016/17 - December 2016</u> | | | | | |
| R02 | Arrangements be put in place to ensure that all budget adjustment sheets are independently reviewed and signed to confirm that they are appropriate and actioned correctly. | L | Dec 16 | | HOF | The team have been operating with reduced numbers for a significant number of months, which had resulted in these adjustments not having the independent scrutiny that would normally be applied. This has not occurred since, following the recruitment of temporary staff and all adjustments are reviewed to eliminate re-occurrence. Completed |
| | <u>REVIEW OF THE PENSION ARRANGEMENTS 2016/17 - December 2016</u> | | | | | |
| R01 | The outstanding amendments to salaries which are yet to be notified to the pension providers be processed at the earliest opportunity. | L | Mar 17 | | Head of Payroll | The Torfaen CBC LGPS Portal is now operating. All amendments to LGPS members contracted hours for April to August 2016 will be identified and uploaded to the portal. Completed. |

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| | <u>REVIEW OF THE GENERAL LEDGER ARRANGEMENTS 2016/17</u> - January 2017 | | | | | |
| R01 | The Sundry Debtors, Purchasing Card and Cash and Cash Equivalent control account reconciliations be brought up to date and reconciled on a monthly basis. | M | Jan 17 | | SFA | <p>The timeliness of completing control reconciliations is acknowledged and and recruitment of an Agency Temp in November 2016, has provided the capacity to ensure this work is addressed..</p> <p>Outstanding Sundry Debtors and Cash /Cash Equivalent, reconciliations up to and including P8 (November 2016) are now complete.. Purchasing Card reconciliations will be completed by the end of January (including P10 January).</p> <p>Completed.</p> |
| | <u>REVIEW OF THE EXPENSES AND OTHER ADDITIONAL PAYMENTS ARRANGEMENTS 2016/17</u> - February 2017 | | | | | |
| R01 | Payroll staff inputting overtime claims be reminded to check to ensure that claim details have been entered correctly prior to processing for payment. | L | Jan 17 | | Payroll Services Lead | <p>The payroll team have been advised to ensure that the deadlines must not compromise the accuracy of their work.</p> <p>Completed.</p> |

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| | <u>REVIEW OF THE PAYROLL ARRANGEMENTS 2016/17</u> <u>- February 2017</u> | | | | | |
| R01 | Responsibility for providing National Fraud Initiative (NFI) be formally determined. | L | Feb 17 | | Payroll Services Lead | Payroll department will complete the analysis. Completed |
| | <u>REVIEW OF THE FINANCE AND RESOURCE SYSTEM IMPLEMENTATION ARRANGEMENTS 2016/17</u> <u>- February 2017</u> | | | | | |
| R01 | All necessary project decisions be identified and recorded with the Project Decision Log to ensure that all decisions can be made by the required deadline to prevent project delays. | M | Feb 17 | | FIRMS Project Manager | The RAID log for the project includes a Decision log. A process has been established within the project support function to ensure that all decisions and any comments or actioned are captured within the log. An item has been added to the Project board meetings agendas to allow for timely consideration to be given to key decisions if required. Completed. |

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| R02 | Progress against testing schedules and the resources available for testing be closely monitored and managed by the FIRMS Project Manager to ensure that all testing schedules are fully completed and signed off by the required target dates to prevent delays in the Gwent Police FIRMS go live. | M | Feb 17 | | FIRMS Project Manager | <p>A detailed project plan is being developed to identify key milestone dates and required resourcing levels for User Acceptance Testing (UAT) and double keying exercises.</p> <p>The FIRMS Project Manager is actively working with business leads to agree the resourcing timetable and the acceptable approach to ensure the successful achievement of UAT sign off within given deadlines.</p> <p>The UAT will be closely monitored by a UAT Co-coordinator throughout the process and any remedial action will be fully discussed with business leads if required.</p> <p>Completed</p> |

PFA - Principal Financial Accountant HOP – Head of Procurement