



Police and Crime Commissioner for Gwent and the Chief Constable Gwent Police

Summary Internal Controls Assurance (SICA) Report

2023/24

November 2023

Internal Audit

FINAL

Summary Internal Controls Assurance

Introduction

1. This summary controls assurance report provides the Joint Audit Committee with an update on the emerging Governance, Risk and Internal Control related issues and the progress of our work at Police and Crime Commissioner for Gwent and the Chief Constable Gwent Police as of 14th November 2023.

Audits completed since the last SICA report to the Joint Audit Committee

2. The table below sets out details of audits finalised since the previous meeting of the Joint Audit Committee.

Audits completed since previous SICA report.

Review	Evaluation	Key Dates			Number of Recommendations			
		Draft issued	Responses Received	Final issued	1	2	3	OEM
Collaborative - Joint Scientific Investigation Unit	Reasonable	25/08/2023	29/09/2023	06/10/2023	-	3	3	-
Complaints Handling (OPCC)	Reasonable	09/10/2023	09/10/2023	10/11/2023	-	-	1	-
Proceeds of Crime Act 2002 (POCA)	Limited	12/09/2023	13/10/2023	24/10/2023	-	3	3	2

3. There are no issues arising from these findings which would require the annual Head of Audit Opinion to be qualified.

Progress against the 2023/24 Annual Plan

4. Our progress against the Annual Plan for 2023/24 is set out in Appendix A.

Progress in actioning priority 1 recommendations

5. We have made no Priority 1 recommendations (i.e. fundamental control issue on which action should be taken immediately) since the previous SICA.

Frauds/Irregularities

6. We have not been advised of any frauds or irregularities in the period since the last SICA report was issued.

Other Matters

7. We have issued the following briefing notes and fraud digests through the Client Portal, shown in Appendix C, since the previous SICA report.

Briefing Note

No Client Briefing Notes have been issued since the previous progress report.

Anti-Crime Alerts

No Anti-Crime Alerts have been issued since the previous progress report.

Responsibility/Disclaimer

8. This report has been prepared solely for management's use and must not be recited or referred to in whole or in part to third parties without our prior written consent. The matters raised in this report not necessarily a comprehensive statement of all the weaknesses that exist or all the improvements that might be made. No responsibility to any third party is accepted as the report has not been prepared, and is not intended, for any other purpose. TIAA neither owes nor accepts any duty of care to any other party who may receive this report and specifically disclaims any liability for loss, damage or expense of whatsoever nature, which is caused by their reliance on our report.

Progress against Annual Plan 2023/24

System	Planned Quarter	Current Status	Comments
Collaborative			
Data Protection Act	2	Fieldwork commenced: 23/10/2023	All four forces. Lead force: Gwent Police Fieldwork commenced at other forces
Payroll	3	Suggested date: 28/11/2023	All four forces. Lead force: North Wales Police Fieldwork commenced at other forces
Debtors	3	Suggested date: 30/11/2023	All four forces. Lead Force: Dyfed-Powys Police Fieldwork commenced at other forces
Counter Fraud	3	Suggested date: 29/01/2024	All four forces. Lead Force: North Wales Police
Telematics	4	Suggested date: 08/02/2024	All four forces. Lead force: South Wales Police
Creditors	2	Fieldwork commenced: 07/09/2023	The three forces are South Wales Police, Gwent Police and Dyfed Powys Police. Lead force: Dyfed Powys Police Delays within forces in providing information for the review. Draft report pending.
Treasury Management	3	Fieldwork commenced: 23/10/2023	The three forces are South Wales Police, Gwent Police and North Wales Police. Lead force: North Wales Police Draft report pending.
Risk Management	3	Draft Report Issued: 30/10/2023	The three forces are Gwent Police, Dyfed Powys Police and North Wales Police. Lead force: Gwent Police
Joint Scientific Investigation Unit (Gwent Police and South Wales Police)	2	Final Report issued: 06/10/2023	The two forces are Gwent Police and South Wales Police. Lead force: South Wales Police Presented to JAC November 2023
Firearms Licencing (Gwent Police and South Wales Police)	3	Fieldwork commenced: 23/10/2023	The two forces are Gwent Police and South Wales Police. Lead force: Gwent Police Draft report pending.

System	Planned Quarter	Current Status	Comments
Information Disclosures (Gwent Police and South Wales Police)	4	Draft report issued: 30/10/2023	Suggested that dates are brought forward in light of high-profile FOI breaches. The two forces are Gwent Police and South Wales Police. Lead force: Gwent Police
HR Recruitment and Training	4	Suggested date: 22/01/2024	The two forces are Gwent Police and South Wales Police. Lead force: South Wales Police
Gwent Police Only			
Strategic Planning	1	Draft report issued: 06/10/2023	
Proceeds of Crime Act 2002 (POCA)	1	Final report issued: 24/10/2023	Presented to JAC November 2023
Complaints Handling (OPCC)	1	Final report issued: 10/11/2023	Presented to JAC November 2023
Expenses and Additional Payments	2	Suggested date: 28/11/2023	
Budgetary Control	3	Fieldwork commenced: 13/11/2023	
Pensions	3	Fieldwork commenced: 02/10/2023	Delays within Pension Hub in providing information for the review
Commissioning	3	Draft report issued: 18/10/2023	
Contract Management	4	Suggested date: 12/02/2024	The selected contract is cleaning.
Service Improvement Board	4	Suggested date: 22/01/2024	
Estates Management - Delivery	4	Suggested date: 19/02/2024	
Follow Up - Interim	2	Fieldwork commenced: 13/11/2023	
Follow Up – Year End	4	Suggested date: 26/02/2024	
Contingency	1-4	TBC	2 Days
Liaison with Audit Wales	NA		
Annual Planning	1-4		
Annual Report	1		

KEY:

To be commenced

Site work commenced

Draft report issued

Final report issued

Briefings on developments in Governance, Risk and Control

TIAA produces regular briefing notes to summarise new developments in Governance, Risk, Control and Anti-Crime which may have an impact on our clients. These are shared with clients and made available through our Online Client Portal. A summary list of those CBNs and Anti-Crime Alerts issued in the last three months which may be of relevance to Police and Crime Commissioner for Gwent and the Chief Constable Gwent Police is given below. Copies of any CBNs are available on request from your local TIAA team.

Summary of recent Client Briefing Notes (CBNs)

Date Issued	CBN Ref	Subject	Status	TIAA Comments
No Client Briefing Notes have been issued since the previous progress report.				

Summary of recent Anti-Crime Alerts

Ref	Subject	Status	TIAA Comments
No Anti-Crime Alerts have been issued since the previous progress report.			