



Police and Crime Commissioner and Chief Constable Gwent Police

Summary Internal Audit Progress Report

2015/16

February 2016

Summary Internal Audit Controls Assurance Report February 2016

INTRODUCTION

1. This Summary Report provides the Joint Audit Committee with an update on the Controls Assurance framework at Gwent Police as at 22nd February 2016 following our work undertaken to date against the Annual Plan for 2015/16. The Summary Internal Controls Assurance report ('SICA') is based on the internal audit work carried out by TIAA and management representations that have been received during the period.

PROGRESS AGAINST THE 2015/16 ANNUAL PLAN

2. The Joint Audit Committee agreed the Annual Plan for 2015/16 at the meeting in March 2015 (extract attached at Appendix A). Our progress against the plan to 22nd February 2016 is set out in Appendix B.

AUDITS CARRIED OUT

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

Review	Evaluation	Draft issued	Response s received	Final issued	Recommendations Made			
					1	2	3	OEM
Joint Firearms Unit	Reasonable	19/11/2015	22/12/2015	04/1/2016	0	1	5	1
Risk Management – Business Continuity	Reasonable	22/12/2015	04/01/2016	07/01/2016	0	2	2	0
Creditors	Reasonable	21/12/2015	20/01/2016	21/01/2016	0	2	4	1
General Ledger	Reasonable	17/12/2015	22/01/2016	25/01/2016	0	3	0	3
Capital Programme	Substantial	02/12/2016	22/01/2016	26/01/2016	0	0	1	1
Duty Resource Management	Reasonable	26/10/2015 Rev 26/01/2016	04/02/2016	04/02/2016	0	3	0	2
Debtors	Reasonable	08/02/2016	11/02/2016	11/02/2016	0	2	2	3

Review	Evaluation	Draft issued	Responses received	Final issued	1	2	3	OEM
Payroll	Substantial	10/11/2015	23/02/2016	23/02/2016	0	0	2	1
Local Policing West	Limited	27/10/2015	23/02/2016	24/02/2016	1	5	4	2
<u>Drafts</u>								
Local Policing East	Limited	27/10/2015						
Counter Fraud Procurement	Reasonable	12/02/2016						
Corporate Communications	No assessment given	15/02/2016						

CHANGES TO THE ANNUAL PLAN

4. The review of the Communication arrangements for the Force has been deferred until 2016/17. The 2015/16 review includes the arrangements for the Police and Crime Commissioner only. There are no other changes other than slight changes to timings as reported in Appendix B.

LIAISON MEETINGS

5. We have ongoing liaison meetings with the Wales Audit Office (WAO) as external auditor.

FRAUDS/IRREGULARITIES

6. We have not been advised of any frauds or irregularities during the period.

PROGRESS IN ACTIONING PRIORITY 1 RECOMMENDATIONS

7. The outstanding priority 1 recommendations made in previous Audit Reports and the current position are listed Appendix C.

PERFORMANCE MONITORING

8. The performance against targets for the reports finalised to 20th November 2015 as are as follows:

Achievement of the plan

- Completion of Audits with the agreed timetable and budget – **100% target – on target for completion by year end**
- Number of Audits conducted vs number of Audits Planned – **100% target – 1 reviewed deferred to 2016/17**

Reports Issued

- Draft issued within 10 working days of exit meeting – **95% target - 100% actual**
- Number of days between draft and final reports – **Less than 20 for 50% of the reports – 19% on finals to date**
- Final issued within 10 working days of receipt of responses – **95% target - 100% actual**

Recommendations

- Recommendations accepted – **90% target - 100% actual**

RESPONSIBILITY

9. The responsibility for a sound system of internal controls rests with management and work performed by internal audit should not be relied upon to identify all strengths and weaknesses that may exist. Neither should internal audit work be relied upon to identify all circumstances of fraud or irregularity, should there be any, although the audit procedures have been designed so that any material irregularity has a reasonable probability of discovery. Even sound systems of internal control may not be proof against collusive fraud. Reliance was placed on management to provide internal audit with full access to staff and to accounting records and transactions and to ensure the authenticity of these documents.

Annual Plan – 2015/16

Quarter	Audit	Type	Days	Scope and Rationale
1	Governance - Collaborations	Assurance	5	<p><u>Scope</u></p> <p>The review will consider the arrangements for obtaining assurance that: where services are provided in collaboration there are arrangements to provide assurance jointly with other organisations; where neither the Chief Constable nor the PCC are the lead partner that there are internal controls in place and operating effectively which are designed to ensure that the funding provided can be accounted for. The review does not include consideration as to whether the assurance arrangements currently in place for such services are in place and operating effectively.</p> <p>The review will identify the services which are provided in collaboration and are operationally active and establish whether legal agreements, effective governance arrangements and an Audit provision are in place.</p> <p>Assessing what form of assurance should be obtained from the lead partners and the timing of receipt of such that internal audit can seek to rely upon these assurances when making our head of audit annual opinion.</p> <p><u>Rationale</u></p> <p>Collaboration is increasing so there is a need to ensure that there are effective arrangements in place to provide assurance.</p> <p><u>Executive Lead</u></p> <p>DCC.</p> <p><u>Departmental Lead</u></p> <p>Chief Superintendent.</p>
1	People Services – Training and Development	Assurance	7	<p><u>Scope</u></p> <p>The review considers the arrangements for: determining the training requirements; the monitoring arrangements; and reporting to the L&D Strategy Group. The scope of the review does not include verification that all staff have been correctly appraised or that all training needs have been correctly assessed, or the arrangements for provision of in-house training.</p>

Quarter	Audit	Type	Days	Scope and Rationale
				<p><u>Rationale</u> Review of HR Management arrangements included in each year of the plan.</p> <p><u>Executive Lead</u> DCC</p> <p><u>Departmental Lead</u> Learning And Development Manager.</p>
1	Risk Management – Mitigating Controls	Assurance	2	<p><u>Scope</u> The review considers the organisation's arrangements for identifying and monitoring the mitigating controls with regards to the organisation's business significant risk map. One risk currently included in the organisation's business significant risk map will be selected and the effectiveness of the identified controls will be reviewed. The scope of the review does not include consideration of all potential mitigating arrangements or their effectiveness in minimising the opportunities for the identified risks to occur.</p> <p><u>Rationale</u> Included in each year of the Strategic Plan to ensure that there are effective controls in place for the most significant risks. This risk selected is Business Continuity Planning.</p> <p><u>Executive Lead</u> DCC Chief Executive OPCC.</p> <p><u>Departmental Lead</u> Chief Supt - Strategic Lead Staying Ahead 8.</p>
1	ICT – Network Security	Assurance	5-10	<p><u>Scope</u> The review considers the arrangements for the physical and access security of hardware and software. The scope of the review does not include consideration of the merits of the types of hardware and software used, the access rights to the individual software; or the depreciation policies. The review will only consider the arrangements for the Policing ICT network within the Shared Resource Service.</p> <p><u>Rationale</u> Previous Internal Audit reviews have resulted in a "Limited Assurance" assessment. In discussion with Senior Officers it was identified that this continues to be an area of risk. The time will be dependent on the detailed work carried out as part of the review and the</p>

Quarter	Audit	Type	Days	Scope and Rationale
				<p>APM agreed.</p> <p><u>Executive Lead</u> ACC.</p> <p><u>Departmental Lead</u> Head Of Criminal Justice, Data Management Information Security Officer</p>
2	Collaborative Projects	Assurance	4	<p><u>Scope</u> The review will consider the arrangements for providing effective governance arrangements in the Joint Firearms Unit. The costs of the review will be shared across Gwent, South Wales and Dyfed Powys Police. (With a total 12 days).</p> <p><u>Rationale</u> Included in the plan annually, due to the increasing number of collaborative projects.</p> <p><u>Executive Lead</u> ACC.</p> <p><u>Departmental Lead</u> Chief Executive.</p>
2	Risk Management – Business Continuity	Assurance	8	<p><u>Scope</u> The review considers the arrangements for business continuity planning including policy/strategy and procedures, organisational responsibility, plan details for various scenarios and testing. The scope of the review does not include providing assurance that the business continuity planning covers all the risks faced, or that the arrangements proposed operate continuously and effectively.</p> <p><u>Rationale</u> Previous Internal Audit reviews have resulted in a “Limited Assurance” assessment. In discussion with Senior Officers it was identified that this continues to be an area of risk.</p>

Quarter	Audit	Type	Days	Scope and Rationale
				<p><u>Executive Lead</u> ACC.</p> <p><u>Departmental Lead</u> Detective Chief Superintendent.</p>
2	Counter Fraud - Procurement	Compliance	5	<p><u>Scope</u> The review tests for potential significant fraud exposures due to non-compliance with the organisation's procurement arrangements and/or inadequate or ineffective segregation of duties. The review will consider the arrangements for single tender actions. The scope of the review does not include identification of all potential fraudulent transactions.</p> <p><u>Rationale</u> A review to test areas of exposure to fraud has been included in each year of the plan. The area for 2015/16 was requested by the Chief Executive of the PCC's Office as a result of the previous Internal Audit Review of single tender actions.</p> <p><u>Executive Lead</u> Assistant Chief Officer Resources.</p> <p><u>Departmental Lead</u> Procurement Officer.</p>
2	Budgetary Control	Assurance	5	<p><u>Scope</u> The review considers the budget preparation process, the monitoring arrangements, and reporting to the Strategy and Performance Board. The scope of the review does not include consideration of the assumptions used in preparing the budgets; depreciation policies; apportionment of central costs; or financial information included in tenders prepared by the organisation.</p> <p><u>Rationale</u> Key Audit risk area completed annually. Particularly important due to the continued cuts in funding and preparation for new finance system.</p> <p><u>Executive Lead</u> Assistant Chief Officer Resources. CFO (PCC)</p> <p><u>Departmental Lead</u> Principal Management Accountant.</p>

Quarter	Audit	Type	Days	Scope and Rationale
2	Contract Management	Appraisal	6	<p><u>Scope</u> The review considers the identification of: the arrangements for monitoring contracts managed by the organisation. The scope of the review does not include consideration of the funding arrangements or the specification of the contracts.</p> <p><u>Rationale</u> Large value contract being let and a key risk area not included in the plan for a number of years.</p> <p><u>Executive Lead</u> Assistant Chief Officer Resources.</p> <p><u>Departmental Lead</u> Head of Procurement</p>
2	Local Policing East Local Policing West Crime	Compliance	14	<p><u>Scope</u> The review will assess compliance with the key corporate procedures for delivery of Policing in the new defined areas of East and West. The review will include compliance with Evidential Property, Cash, personnel and training arrangement and duty of care policies.</p> <p><u>Rationale</u> Large scale change and key Staying Ahead 8 theme.</p> <p><u>Executive lead</u> ACC. Chief Superintendent. Acting Chief Superintendent.</p> <p><u>Departmental Lead</u> East - Supt - Local Policing Area Commander. West - Supt - Local Policing Area Commander. Crime – Supt (PPU).</p>
2	Duty Resource Management	Appraisal	6	<p><u>Scope</u> The review will appraise the effectiveness of the duty resource management system.</p> <p><u>Rationale</u> Staying Ahead 8 theme, included at the request of the ACO-R</p>

Quarter	Audit	Type	Days	Scope and Rationale
				<p><u>Executive Lead</u> Assistant Chief Officer Resources.</p> <p><u>Departmental Lead</u> Integrated Resource Service Centre Manager.</p>
3	Treasury Management	Assurance	5	<p><u>Scope</u> The review considers the arrangements for controlling the investment and borrowing arrangements; compliance with the organisation’s overall policy; banking arrangements; reconciliations and the reporting the JAC and PCP. The scope of the review does not include consideration of the appropriateness of any individual financial institution or broker or of individual investment decisions made by the organisation.</p> <p><u>Rationale</u> Key financial risk area - completed on 3 year cycle.</p> <p><u>Executive Lead</u> Chief Finance Officer PCC.</p> <p><u>Departmental Lead</u> Principal Financial Accountant.</p>
3	General Ledger	Assurance	5	<p><u>Scope</u> The review considers the arrangements for providing an effective audit trail for data entered onto the general ledger and the appropriateness of the reports generated. The scope of the review does not extend to the budgetary control arrangements and bank reconciliations.</p> <p><u>Rationale</u> Key Audit risk area completed annually. Particularly important due to the continued cuts in funding and preparation for new finance system.</p> <p><u>Executive Lead</u> Assistant Chief Officer Resources. CFO</p> <p><u>Departmental Lead</u> Principal Financial Accountant.</p>
3	Payroll	Assurance	5	<p><u>Scope</u> The review considers the arrangements for: the creation, amendment and deletion of payroll records; payment of allowances and pay awards; and payment of salaries. The scope of the review does not include determination of salary scales, appointment and</p>

Quarter	Audit	Type	Days	Scope and Rationale
				<p>removal of staff, severance payments or reimbursement of travel and subsistence expenses, or pension arrangements.</p> <p><u>Rationale</u> Key Audit risk area completed annually due to large percentage of overall budget. Particularly important due to the continued cuts in funding and preparation for new finance system.</p> <p><u>Executive Lead</u> Assistant Chief Officer Resources CFO</p> <p><u>Departmental Lead</u> Integrated Resource Service Centre Manager</p>
3	Creditors	Assurance	5	<p><u>Scope</u> The review considers the arrangements for authorising and paying costs incurred by the organisation and the arrangement for control of the organisation's cheques and automated payments. The scope does not include providing an assurance that the expenditure was necessary or that value for money was achieved from the expenditure committed.</p> <p><u>Rationale</u> Key Audit risk area completed bi-annually. Included in this year's plan due to timing and the preparation for new finance system.</p> <p><u>Executive Lead</u> Assistant Chief Officer Resources. CFO</p> <p><u>Departmental Lead</u> Principal Financial Accountant.</p>
3	Debtors	Assurance	4	<p><u>Scope</u> The review considers the raising of debtor accounts, collection of income, receipting, storage and banking of income received by the organisation. The scope of the review does not include identification of the activities giving rise to income for the organisation, the basis of calculating the rates to be charged or that all income receivable has been identified.</p>

Quarter	Audit	Type	Days	Scope and Rationale
				<p><u>Rationale</u> Key Audit risk area completed bi-annually. Included in this year's plan due to timing and the preparation for new finance system.</p> <p><u>Executive Lead</u> Assistant Chief Officer Resources. CFO</p> <p><u>Departmental Lead</u> Principal Financial Accountant.</p>
3	Capital Programme	Assurance	4	<p><u>Scope</u> The review considers the arrangements for accounting for the capital programme. The scope of the review does not include consideration of the funding arrangements or the specification of the projects.</p> <p><u>Rationale</u> Key Audit risk area completed bi-annually. Included in this year's plan due to timing and the preparation for new finance system.</p> <p><u>Executive Lead</u> Assistant Chief Officer Resources. CFO</p> <p><u>Departmental Lead</u> Principal Management Accountant.</p>
4	Corporate Communications	Appraisal	6	<p><u>Scope</u> The scope of the review will appraise the effectiveness of the corporate communication strategy.</p> <p><u>Rationale</u> Staying Ahead 8 themes, included at the request of the ACOR. To review links to the Press Officer in the OPCC.</p>

Quarter	Audit	Type	Days	Scope and Rationale
				<p><u>Executive Lead</u> DCC Chief Executive PCC.</p> <p><u>Departmental Lead</u> Head of Corporate Communications. Communications Manager.</p>
1 - 4	Finance and Resource System Implementation	Appraisal	8	<p><u>Scope</u> Advice and guidance on the controls in the new finance system being implemented with South Wales Police will be provided throughout the year as required.</p> <p><u>Rationale</u> Proactive review to provide advice and guidance during the new system implementation.</p> <p><u>Executive Lead</u> Assistant Chief Officer Resources.</p> <p><u>Departmental Lead</u> Principal Financial Accountant.</p>
1-4	Commissioners Objectives: The Commissioners Commissioning Strategy including the Victims Hub	Appraisal	6	<p><u>Scope</u> Each review will consider the arrangements for the implementation of the Commissioning Strategy, policy and procedures for delivering the projects which tie in with the PCC's Police and Crime Plan objectives. The review will also consider the arrangements for monitoring and reporting compliance with the Strategy, Policy and Procedures designed to meet the objectives.</p> <p><u>Rationale</u> Included at the request of the CFO for the PCC.</p> <p><u>Executive Lead</u> PCC – CFO.</p>
	Follow Up	F/UP	10	The review ascertains whether management action has been taken to address the Priority 1 & 2 recommendations arising from selected internal audit work carried out in the previous financial year.

Quarter	Audit	Type	Days	Scope and Rationale
1 and 4	2015/16 Annual Plan and Report		2	
1 - 4	Audit Protocol and liaison with WAO		3	
1-4	Audit Management		15	This time includes attendance at Audit Committee meetings and overall contract management.
		Total days	150	

Of the 150 days, 12 will be shared collaboratively with SWP and DPP (4 each) relating to the review of JFU.

Appendix B

PROGRESS AGAINST THE ANNUAL PLAN FOR 2015/16

System	Planned Qtr	Current Status	Revised Qtr	Comments
Governance – Collaborations	1	Final report issued – 30 th September 2015.	2	
People Services – Training and Development	1	Final report issued - 18 th November 2015	2	
Risk Management – Mitigating Controls	1	Final report issued – 29 th September 2015.	2	
ICT Network Security	1	Final report issued – 26 th October 2015.	2	
Collaborative Projects	1	Final report issued – 4 th January 2016	3	
Risk Management – Business Continuity	2	Final report issued – 7 th January 2016	3	
Counter Fraud - Procurement	2	Draft report issued - 12 th February 2016	3	
Budgetary Control	2	Final report issued - 17 th November 2015	2	
Contract Management	2	Final Report issued - 23 rd October 2015	2	
Local Policing East Local Policing West - FINALISED Crime	2	Draft reports issued - 20 th October 2015	2	Additional information reported in Duty Resource Management. The report for West is finalised.
Duty Resource Management	2	Final issued – 4 th February 2016	2	
Treasury Management	3	Final report issued - 23 rd October 2015	3	

System	Planned Qtr	Current Status	Revised Qtr	Comments
General Ledger / Finance access permissions	3	Final report issued – 25 th January 2016	3	
Payroll	3	Final report issued 23 rd February 2016	3	
Creditors	3	Final report issued – 21 st January 2016	3	
Debtors	3	Final report issued – 11 th February 2016	4	
Capital Programme	3	Final report issued – 26 th January 2016	3	
Corporate Communications	4	Draft report issued – 15 th February 2016	4	
Finance and Resource System Implementation	1 - 4	Review deferred to 2016/17	4	
Commissioners Objectives – Victims Hub	1 - 4	Fieldwork in progress.	4	
Follow Up	4	To be agreed for final year end follow up/	4	Work commenced and o/s recs uploaded to the portal. Year-end follow up in progress.

KEY:

	=	To be commenced
	=	Site work commenced
	=	Draft report issued
	=	Final report issued

Appendix C

PROGRESSING OF PRIORITY 1 RECOMMENDATIONS

Recommendation		Position when last reported internally	Last reported planned completion date	Position as at 20 th November 2015	Current position as at 26 th February 2016
Review:	IT DISASTER RECOVERY 2010/11		Issued: June 2011		
<p>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>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.</p>	<p>01/09/16</p>	<p>There is a possibility that the South Wales DR Site in Fairwater may be ready late Autumn and then the SRS would be in a position to commence with the purchase, install and testing of DR equipment. The next update due on 13/11/15 at JOINS-IT Board. The completion of the DR site in Fairwater will allow the IT teams to start the DR infrastructure works. A kick-off meeting was scheduled with SWP to commence discussions and consider potential DR service delivery options, but unfortunately SWP had to postpone the meeting which is in the process of being rescheduled. This piece of work needs to be completed before we can establish exactly what needs to be purchased, implemented and the service delivery wrap.</p>	<p>This implementation of this recommendation is dependent on the Fairwater site and the collaboration with South Wales Police. The completion by September 2016 is still envisaged at this time.</p> <p>On target for revised completion date.</p>

Recommendation	Position when last reported internally	Last reported planned completion date	Current position as at 20 th November 2015	Current position as at 26th February 2016
Review: IT General Control Change Management 2012/13		Issued: November 2012		
Introduce a test environment.	<i>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.</i>	01/09/16	<i>For latest position read IT Disaster recovery 2011 recommendation above.</i>	As above
Review: Sustainable IT (Replacement Planning) 2014/15		Issued: May 2015		
Policies governing Sustainable IT should be written, reviewed and finalised.	<i>The IT asset replacement timescales are being drafted for each type of equipment e.g. desktops, laptops, servers, storage, network switches, firewall security hardware.</i>	Original Date 30/9/15	<i>IT asset replacement periods have been established for all types of equipment. The first draft has been completed with Server infrastructure and a revised draft is in progress to include the networking infrastructure.</i>	<i>A revised target date of 31st March 2016 has been set.</i>

Recommendation	Position when last reported internally	Last reported planned completion date	Current position as at 20 th November 2015	Current position as at 26th February 2016
<p>Plans for currently occurring IT replacement operations should be written, formalised, and reviewed.</p>	<p><i>A sustainable IT plan will be produced from the tools and information currently in existence for desktop and server infrastructure. This plan will include recommendations and costs to enable a Gwent Police decision.</i></p>	<p><i>Original Date 01/03/16</i></p>	<p><i>To commence once above recommendation is complete.</i></p>	<p><i>A revised target date of end March 2016 has been set in accordance with the recommendation above.</i></p>
<p>Review: Wales Interpretation & Translation Services (WITS) 2014/15 -</p>		<p>Issued: April 2015</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</p>	<p><i>Legal advice obtained and shared with the Executive Board on the 30th April 2015. The absence of professional indemnity insurance is an industry wide issue and WITS have requested insurance details to be provided from everyone in their database.</i></p>	<p><i>Original Date 01/04/16</i></p>	<p><i>WITS have now vetted 700 interpreters those who do not have insurance have been waiting for vetting results. The CIOL collaboration was approved by the WITS Board in principle on the 15th October. Work on the final detail of the proposal is ongoing.</i></p>	<p><i>This work is ongoing in accordance with the revised target date set.</i></p>

Recommendation	Position when last reported internally	Last reported planned completion date	Current position as at 20 th November 2015	Current position as at 26th February 2016
<p>It is recommended that WITS ensure that all interpreters undergo the vetting process before they are assigned to a booking.</p>	<p><i>2,200+ interpreters on the WITS database were been sent vetting packs for completion in April 2015 and have now been processed. The new computer system includes the vetting expiry dates and a warning prior to expiry.</i></p>	<p><i>Original Date 01/10/15</i></p>	<p><i>A total of 2,200+ interpreters on the WITS database were issued vetting packs for completion in April 2015 and these are being processed. The new WITS computer system includes the vetting expiry dates and a warning prior to expiry.</i></p>	<p><i>We have been advised that this recommendation had been Implemented but are awaiting evidence of the screenshots to confirm. An update will be provided at the meeting.</i></p>
<p>It is recommended that WITS verifies the accreditation of all interpreters before they are added to the Register of Interpreters.</p>	<p><i>Accreditation of existing qualifications is taking place. Following a meeting with the CIOL a minimum standard of accreditation at NVQ level will be develop with the Institute and a timeline for the implementation of the new qualification in March 2016.</i></p>	<p><i>Original Date 01/03/16</i></p>	<p><i>Good progress is being made on this at a national level.</i></p>	<p><i>On target for implementation by March 2016.</i></p>

Recommendation	Position when last reported internally	Last reported planned completion date	Current position as at 20 th November 2015	Current position as at 26 th February 2016
<p>It is recommended that clear, formal and up to date documentation of the governance structure in place at WITS is established.</p>	<p><i>Legal advice has been obtained in respect of shortfalls. Arrangements are in place to consider the handover of WITS to a local Authority. This is led by Nigel Stephens. Cardiff, Swansea and Torfaen are considering their position. This is key to the development of a more robust governance structure. Review August 2015.</i></p>	<p><i>Original Date 01/10/15</i></p>	<p><i>Legal advice has been received and planning work has commenced to manage the handover of WITS to a Local Authority. The LA met with force reps on the 9th October 2015. A draft MoU has been received by from JLS and that will be used for the new collaboration and will be considered by the WITS Executive Board in January 2016. A meeting between the LA, the force and Wales Audit Office to consider the proposal is planned for 2nd December 2015.</i></p>	<p><i>This work is ongoing with a revised target date set for completion of 30th April 2016.</i></p>

Review : Data Protection – Information Asset Ownership 2014/15 -		Issued: May 2015		
Information Assets should be identified and appropriate owners assigned by the Senior Information Risk Owner (SIRO), particularly for paper based information, the management of which should be mapped	<i>Identified Information Asset Owners have been briefed and provided with a copy of the action plan. An IAO Guidance document has been published on Force Guardian and incorporates the requirement to complete the NCalt Training Package. The Information Assurance Team has been tasked with collating the IA Register with respective business areas.</i>	<i>Original Date 01/01/16</i>	<i>Following JAC intervention for completion by November 2015 the status is as below: Asset owners identified – 100% Template issued to asset owners - 100% ISO visit to asset owners – 40% Returns completed - 20% Progress will be considered at the next Information Assurance Board.</i>	<i>As at 26th February 2016 – no update has been provided. Chasing will continue and an update will be provided at the meeting.</i>
It is recommended that a policy containing guidance should be made available to all staff on the intranet, detailing the policies of Information Asset Ownership and procedures which staff are required to follow.	<i>It is recommended that a policy containing guidance should be made available to all staff on the intranet, detailing the policies of Information Asset Ownership and procedures which staff are required to follow. All staff should consequently be notified of such a policy otherwise adherence to and compliance with the policy will be unlikely and difficult to enforce.</i>	<i>Original Date 30/09/15</i>	<i>The Policy is now in place following consultation that started on 16th October and concluded 5th November 2015.</i>	<i>This has been implemented and the Policy and associated evidence have been sighted.</i>
It is recommended that training specific to the Force's Information Asset Management policy and procedures should be provided to all Information Asset Owners which should be updated and amended as changes occur.	<i>The IAO Guidance document will be re-produced in accordance with the Force Policy and Procedure template. NCalt Training completion will be reported and monitored via the Accountability forum by L&D.</i>	<i>Original Date 01/01/16</i>	<i>The e learning programmes have been commenced and progress will be reported at JAC.</i>	<i>As at 26th February 2016 – no update has been provided. Chasing will continue and an update will be provided at the meeting.</i>

<p>It is recommended that an Information Asset Ownership map should be created to adhere to APP guidelines, showing a hierarchy of the responsibility for Information Assets. This should be reviewed and updated regularly in accordance with an Information Asset Management policy.</p>	<p><i>An IAO Register Template is incorporated as part of the IAO Guidance document. This will identify IA Owners. The Information Assurance Team will co-ordinate the completion of the IA Register.</i></p>	<p><i>Original Date 01/01/16</i></p>	<p><i>Following JAC intervention for completion by November 2015 the status is as below:</i></p> <p><i>Asset owners identified – 100%</i></p> <p><i>Template issued to asset owners - 100%</i></p> <p><i>ISO visit to asset owners – 40%</i></p> <p><i>Returns completed - 20%</i></p> <p><i>Progress will be considered at the next Information Assurance Board.</i></p>	<p><i>As at 26th February 2016 – no update has been provided. Chasing will continue and an update will be provided at the meeting.</i></p>
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Recommendation	Position when last reported internally	Last reported planned completion date	Current position as at 20 th November 2015	Current position as at 26 th February 2016
Review : Mobile Data Project 2014/15		Issued: May 2015		
<p>More resources should be brought in to assist with updating the current Mobile Register and cancelling unused contracts:</p> <p>It is recommended that this issue is raised at the Information Assurance Board and with the Gold Level Commander, ACC so that the potential data security issues can be considered and addressed.</p>	<p><i>Roll out of the new Note 4 devices will take place during T4 training days. Prior to attending these events, staff will be reminded that they must bring their BlackBerry device with them. The telephone number of the BlackBerry will be confirmed at this time whereupon the device itself will be wiped and EE contracts cancelled.</i></p> <p><i>Plan is in place with implementation commencing Oct 2015. All EE contracts will be completed by 31st Jan 2016.</i></p>	<p><i>Original Date 01/01/16</i></p>	<p><i>Roll out of the new Note 4 devices will take place during T4 training days. Prior to attending these events, staff will be reminded that they must bring their BlackBerry device with them. The telephone number of the BlackBerry will be confirmed at this time whereupon the device itself will be wiped and EE contracts cancelled.</i></p> <p><i>Plan is in place with implementation commencing Oct 2015. All EE contracts will be completed by 31st Jan 2016.</i></p>	<p><i>Implemented and evidence sighted.</i></p>
Recommendation	Position when last reported internally	Last reported planned completion date	Current position as at 20 th November 2015	Current position as at 26 th February 2016
Review : Local Policing West - 2015/16		Issued: Draft October – Final February 2016		
<p>All exhibits not found be investigated and the Property System be updated to reflect the outcome of the investigations.</p>	<p><i>Final report on the agenda recommendation reported as "Complete".</i></p>	<p><i>N/A reported in final as complete.</i></p>	<p><i>N/A</i></p>	<p><i>Implemented evidence for a spreadsheet was seen that the system has been updated following the outcomes of the investigations.</i></p>