

Due to time constraints at the Joint Audit Committee held on 11th June 2020, it was agreed that there would be a reduced agenda and some reports would be circulated following the meeting for comment. These comments have been collated and a response provided. Please find a list of these questions and their responses below:

***Please note:** once completed this document will be published on the OPCC website alongside the minutes of the meeting to evidence scrutiny.

<u>Report Title</u>	<u>Question/Comment</u>	<u>Response</u>
Internal Audit -TIAA Compliance Review of Local Policing - Property and Cash 2019/20 – Detailed Audit Report)	➤ I was concerned about the Local Policing – Property and Cash audit and the Limited Assurance finding. This continues to be a significant operational problem and has been on-going for a long time. Improvements are urgently required but of course, appreciate the current operational difficulties. I note that the issue is reflected in the Risk Register.	The Assistant Chief Officer, Resources (ACOR) has received a report from the Project Manager on the audit findings which he is reviewing and will issue to Joint Audit Committee members in the coming weeks that build on the actions within the audit findings. There are activities that are being undertaken but the main issue to address is the individual officer “ownership” of their evidential property: seizing the right items for investigation and returning/disposing items once investigations are concluded. This is tied into the force performance framework that reports on property across the force, to the Local Policing Areas and to individual shifts and officers, this will ensure progress. JAC members will be updated through Joint Audit Committee progress reports on internal audit recommendations.
	I consider that the Compliance Review of Local Policing - Property and Cash 2019/20 report should be on the agenda for the first JAC meeting where we are able to meet personally.	The Compliance Review of Local Policing - Property and Cash 2019/20 report has been added to the October 2020 agenda for discussion, supported by a presentation
TIAA Update Report Final May 2020	Page 2, local policing - disappointing that some exhibits still unaccounted for.	Will be addressed in meeting under above agenda item

TIAA Update Report June 2020	Page 1, a bit confusing as to which plan is being referred to in paragraph 2 & 6 (Page 4-5) at the time of writing there were some Q1 activities that had not commenced.	The 2020/21 audit plan was being referenced.
	Page 7, It's disappointing that the Collaborative Project Review – Early Action Together (Adverse Childhood Experiences ACES Project) audit is taking place after the funding has finished. However, the embedded-ness will be a good test.	The funding bid for continuation was submitted but not supported nationally.
	Page13, How are we as JAC to gain assurance from digital/IT teams that a comprehensive programme of protection measures are in place to protect technology, and to raise user awareness. especially in view of extensive home working etc.	There is a comprehensive security arrangement concerning the asset, the use of the asset and also the monitoring of usage. All technologies are tested by information security officers before they are launched. A mid year exercise is currently underway and due to report September 2020 which will inform the transfer of data onto the inventory register that has recently been developed in the Asset Management module of Business World (Finance system).
Outstanding Audit Recommendations	➤ I would be content with the deadline extensions in respect of Collaboration Change Control (twice) and Risk Management. With regard to the Estate Management issue, whilst accepting the extension to 31st July,	Lead Force – North Wales: A request has been made for the document from Torfaen.
	There was no similar document for the Shared Resource Service (SRS) outstanding recommendations	This is the SRS report that presents their progress with the recommendations and is now provided each meeting.
	The risk of not completing the recommendations is that it exposes the organisation to operational and financial loss, so it's disappointing that there are still some older ones outstanding.	Noted and we endeavour to address issues at the earliest opportunity
Disaster Recovery – Phase Two	➤ The report is noted and let's hope the timetable contained therein can be achieved.	We remain on course for an Autumn completion of the implementation.

	Page 1, paragraph 1: there's a reference to estimates. How do we know that we'll get Value for Money (VfM)?	VfM is achieved through framework contracts and tender processes which are undertaken on all ICT equipment. These are checked when the Assistant Chief Officer of Resources places the orders.
	Page 8, number 3, Value for Money Licensing 8 x £1500 = £12K so what else is included?	The support required for the configuration of the firewalls.
	Number 5, which year are the consultancy days in?	TBC
	Timescales are based on assumptions (best case scenario), what contingency is being included? Competitive tendering or single line items? Will Gwent Police incur the costs in its entirety?	See above ref VfM
JAC Self-Assessment Action Plan	➤ The update on the 19/20 Action plan is noted. Comments forwarded to Head of Assurance and Compliance 2020/21.	Noted. Any comments received will be incorporated. Action Plan on agenda for agreement at the October meeting.
Joint Strategic Risk Management Framework	<ul style="list-style-type: none"> ➤ 2.1 What is the National Decision Model (NDM), it would be good to have a reference to it. General comment: it would be good to have references to underlying documents. ➤ 7.10 As above ➤ The reviewed Strategy and Framework documents are noted. I also note the updated register further to what appears to have been a thorough review on 7th April. Sadly that seems to have generated quite an increase in the level of risk assessed across a number of risks. It is welcomed that this review has taken place and actions are now required in mitigation, whilst again noting the current operational environment. 	<p>The NDM is the national policing decision making model that is the established through police training and the process all officers are expected to follow to ensure clear rationale for operational decisions.</p> <p>Noted.</p>

Joint Risk Register	➤ Indicates that risks and their status are dependent on time, interesting to see the number that have increased in severity and the ones reinstated.	The moderation considered a number of factors to ensure management focus is appropriate.
Internal Audit Torfaen County Borough Council – Detailed Audit Reports	➤ No comments	
Medium Term Financial Plan	➤ No comments	