

Police & Crime Commissioner for Gwent
Internal Audit Recommendations - Status Report as at 20th June 2016

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 | | 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. Discussions with The Director of Resources and Cardiff Council are at an advanced stage around the transfer of the service. Draft frameworks are being developed by Gwent Police Procurement department and these are with the Cardiff Legal Team in Cardiff Council for consideration.</p> <p>Revised completion date October 2016 (the proposed handover date).</p> |

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| R03 | <p><i>Accreditation and Grading of Interpreters:</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>In addition, WITS should ensure that all interpreters on the Register are appropriately graded and that it is clear what the grades signify, when they were attained or when they should be renewed.</p> | H | Oct 16 | | WITS Manager | <p>The pilot examination took place and 25 interpreters in key languages took part. The CIOL are evaluating the examination. The electronic booking system is embedded and interpreters are graded on a 1-10 basis with jobs being allocated to the best qualified interpreter who is available at the time. Personal records including qualifications are captured and held in a folder in the WITS drive.</p> <p>Revised completion date October 2016 (the proposed handover date).</p> |

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| 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 16 | WITS Manager | <p>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 from JLS and that will be used for the new collaboration and will be considered by the WITS Executive Board. A meeting between the LA, the force and Wales Audit Office to consider the proposal is planned for 2nd December 2015.</p> <p>The proposed lead LA is developing the revised MoU.</p> <p>Revised Completion Date: April 2016</p> <p>Discussions are at an advanced stage with Cardiff Council. It is likely that a transfer will take place in October 2016.</p> <p>Revised completion date October 2016 (the proposed handover date).</p> |
| R06 | <p><i>Procurement Process:</i></p> <p>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 | | WITS Manager | <p>The contract framework documents are drafted with support of the National Procurement Service.</p> <p>Ongoing and with Cardiff Legal team.</p> <p>Revised completion date October 2016 (the proposed handover date).</p> |

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| | <u>DATA PROTECTION – INFORMATION ASSET OWNERSHIP 2014/15 - May 2015</u> | | | | | |
| R03 | <p><i>Policies and Procedures for Information Asset Management:</i></p> <p>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. Training should then be provided for all Information Asset Owners as they gain the responsibility of maintaining an Information Asset Register.</p> <p>Training should also be provided to all staff so that they may become aware of any unidentified Information Assets to be registered and maintained appropriately.</p> <p>A programme should be put in place to ensure that all staff also complete the compulsory NCALT training – Protecting Information Level 2 e-learning, and all Information Asset Owners complete the Protecting Information Level 3 e-learning.</p> | H | Sep 15 | Apr 16 | Manager Of Data Managmt Unit | <p>Once allocation of the information asset ownership has been completed, mandatory NCALT training at the appropriate level will be rolled out. Performance and compliance of the training will be monitored by the training department and reported to the force performance meeting. 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. The e learning programmes have been commenced and progress will be reported at JAC.</p> <p>The current status is:</p> <p>Level 1 – 1,425 complete, Level 2 – 468 complete, Level 3 – 103 complete</p> <p>This was discussed at the IAB on 17th June at which line managers were reminded to ensure compliance in Level 1 in their Service areas with completion by April 2016.</p> <p>Revised completion date 31 Aug 2016.</p> |

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| Ref | Narrative | Risk | Original Plan Date | Current Plan Date | Responsible Officer | Current Status |
| R04 | <p><i>Mapping of Information Asset Ownership:</i></p> <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>Even though it appears that the Head of Criminal Justice, Data Management and Information Security holds responsibility for creating an Information Asset Management system increased involvement from the SIRO is required to identify and map Information Asset Ownership.</p> <p>The map must include the Chief Officer, identified Information Asset Owners and any respective Senior Information Risk Owner as a minimum to be APP compliant. The map may also include any person empowered by the Chief Officer to manage the everyday Information Asset Registers of police information within the force and other persons such as those working in IT, security and Information Management who have been assigned related roles within the function. This applies to all teams in all roles across the Force.</p> | H | Aug 15 | Apr 16 | Manager Of Data Managmt Unit | <p>This recommendation is fully accepted and will form the initial stage of the work that will be completed in Gwent. 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.</p> <p>Revised completion date January 2016. 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%</p> <p>Progress will be considered at the next Information Assurance Board.</p> <p>At 17th February 2016 Asset owners identified – 100% Template issued to asset owners - 100% ISO visit to asset owners – 24 of 24 depts Returns completed – 24 of 24.</p> <p>Revised completion date 31 Aug 2016.</p> |

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| Ref | Narrative | Risk | Original Plan Date | Current Plan Date | Responsible Officer | Current Status |
| R05 | <p><i>Information Asset Ownership Guidance:</i> It is recommended that when constructing each of; an Information Asset Register, Information Asset Mapping, Information Asset Guidance and Information Asset Ownership Training careful attention is paid to each of the sources of information and guidance policies available on the APP website. Further clarification should be requested to better define the main source of guidance that the Force is required to adhere to. This clarification should be sought from the ICO in response to the letter received on 17 February 2015.</p> | M | May 15 | Apr 16 | Manager Of Data Managmt Unit | <p>Clarification has been requested from the ICO and any required action will be included in the work plan developed.</p> <p>NCALT complies with APP, so it is just the compliance rates which are available at a team level on qlikview and force level provided by L+D to IAB.</p> <p>Revised Completion January 2016.</p> <p>Revised Completion date 30 April 2016.</p> <p>Refer recommendation R03 above.</p> <p>Revised completion date 31 Aug 2016.</p> |

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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>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>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 | Nov 16 | Assistant Director SRS | <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. The implementation plan has been revised accordingly and a change is required to delivery date.</p> <p>Revised completion date November 16.</p> <p>Interviews completed to appoint a technical project manager to oversee the technical scoping with SRS & SWP and manage the implementation of the DR environment. The successful candidate is currently awaiting completion of the vetting process to determine the actual start date. SRS technical team have held meetings with Proact supplier for Netapp SAN storage and a first draft cost proposal has been received.</p> |

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| | <u>IT GENERAL CONTROL: CHANGE MANAGEMENT 2012/13</u> - <u>November 2012</u> | | | | | |
| R02 | Introduce a test environment. | H | Dec 13 | Nov 16 | Infrastructure Services Manager | <p>We will develop a business case for Gwent Police through the BDG / BTCG process to take this recommendation forward.</p> <p>Revised completion date (based on potential DR dates with SWP – end of August 2014 for building works and 6 months commissioning work for ICT – end of February 15 – April 15.</p> <p>Revised completion date April 2015.</p> <p>See report IT Disaster Recovery 2010/11 above, recommendation R03.</p> <p>Revised completion date Sept 2015 Revised completion date July 2016.</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>Revised completion date November 16.</p> <p>For latest position, see IT DR June 2011, recommendation R03, above.</p> |

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3. RECOMMENDATIONS THAT HAVE BEEN COMPLETED OR REJECTED

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| | <u>ATTENDANCE MANAGEMENT 2014/15</u> - <u>February 2015</u> | | | | | |
| R01 | <i>Annual Leave Entitlement:</i> At year end, HR should record the annual leave entitlement and c/f calculation for all staff. This will enable an accurate annual leave accrual (required under IFRS) and confirm that annual leave entitlement has been set correctly. | M | Mar 15 | Apr 16 | IRSC Manager | <p>The new IT system will be implemented during 2016/17 and so the management of leave has now been centralised within the IRSC. A high degree of confidence exists with the accuracy of leave being recorded. This process will be in place for the year end accounts.</p> <p>Annual leave has been centralised and for the year 2016/17 will be booked on the rota. The responsibility for monitoring annual leave is with line management (rather than HR).</p> <p>There are certain departments where the recording of annual leave requires improvement and this is being addressed through an improvement plan. A report on the carry forward of annual leave will be issued to managers in April 2016.</p> <p>An automated system for police staff and a manual system for police officers was implemented for year-end recording.</p> <p>Completed.</p> |

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| R03 | <p><i>Annual leave Carried Forward Procedure:</i></p> <ol style="list-style-type: none"> 1. A formal request form for annual leave carried forward should be used alongside timesheets, and kept on individual's records at HR. 2. Line managers should discuss with individuals about annual leave not taken before the next leave year and fill in the request form, which should be submitted to HR as evidence. 3. The rota team should have more of an involvement in annual leave taken in the period, and should monitor whether individuals are taking annual leave on a timely basis. | L | Mar 15 | Apr 16 | IRSC Manager / HR Manager | <p>Annual leave approval is to be centralised within the Force Rota Team.</p> <p>See update R01 above.</p> <p>No further update at this time as no system has yet been purchased to deal with this aspect of resource management.</p> <p>However, records are managed in the current force timesheet system and this is under consideration to meet these recommendations.</p> <p>A pro forma is in place to request leave and the annual leave process was updated in 2015/16 to enable more robust management. The Chief Supt Neighbourhood Policing is supporting this process from an operational perspective.</p> <p>See R01 above.</p> <p>Completed.</p> |

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| | <u>DATA PROTECTION – INFORMATION ASSET OWNERSHIP 2014/15 - May 2015</u> | | | | | |
| R01 | <p><i>Information Asset Register:</i></p> <p>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. A register containing details of the Information Asset, including contents, security, access, review dates and owner details should also be maintained. A regular review should then be performed of the Information Asset Register to ensure correct owners have ownership of the assets and for further Information Assets to be added/ disposed of from the register when appropriate.</p> <p>The Information Asset Register should then be accessible for all IAOs to view, enabling the sharing of relevant skills and knowledge required to perform the role.</p> | H | Aug 15 | Apr 16 | Manager Of Data Managmt Unit | <p>Information Asset Ownership sits under the governance of the Information Assurance Board(IAB), chaired by ACC Williams who is also the force SIRO. An action plan that underpins the audit recommendations has been drawn up and agreed at IAB. Identified Information Asset Owners have been briefed and provided with a copy of the action plan. Revised completion date January 2016.</p> <p>Following JAC intervention for completion by November 2015 the status is as below: At 17th February 2016 Asset owners identified – 100% Template issued to asset owners - 100% ISO visit to asset owners – 24 of 24 depts Returns completed – 24 of 24 Revised Completion Date: April 2016. Completed.</p> |

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| | <u>MOBILE DATA PROJECT 2014/15</u> <u>- May 2015</u> | | | | | |
| R01 | <p><i>More resources should be brought in to assist with updating the current Mobile Register and cancelling unused contracts:</i></p> <p>It is recommended that this issue is raised at the Information Assurance Board and with the Gold Level Commander, ACC Julian Williams, so that the potential data security issues can be considered and addressed.</p> <p>Gwent Police should consider devoting more staff/hours to address the following priority areas:</p> <ul style="list-style-type: none"> • Cancelling inactive EE contracts. Gwent Police could consider a blanket approach, issuing an email to all staff stating that mobile data devices not used in the last three months will be cancelled, unless the Project Fusion team is contacted confirming that a device is still in use and should not be cancelled. • Tracing ownership of unknown devices to ensure they are all held by current employees. The exercise of issuing new mobile data devices should be used as an opportunity to require that staff surrender all current mobile data devices before a new device will be issued, and staff could be contacted in advance to complete details of current devices before a request for a new device will be processed. • Reminding staff of their responsibilities in relation to data security in relation to mobile devices, including immediate reporting lost or stolen devices. <p>Management comment</p> | H | Sep 15 | Mar 16 | <p>C.S. Jon Edwards</p> <p>&</p> <p>Supt. Jon Burley</p> | <p>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. Plan is in place with implementation commencing Oct 2015. All EE contracts will be completed by 31st Jan 2016. Revised completion date 31st Jan 2016.</p> <p>New Note 4 devices have been rolled out to officers (Completed 26th February) and the EE contracts cancelled following their blackberry's being handed in. At 15 January 585 EE contracts had been cancelled and it is planned that all EE contracts will be cancelled by the end of February (relating to police officers) and the end of March for police staff (approx. 100).</p> <p>The rollout of the new devices is complete and detailed on the asset register. The previous numbers (EE contract) have been terminated. Completed.</p> |

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| | <u>SUSTAINABLE IT(REPLACEMENT PLANNING) 2014/15</u> <u>- May 2015</u> | | | | | |
| R01 | <p><i>Policies governing Sustainable IT should be written, reviewed, and finalised:</i></p> <p>Policies governing Sustainable IT should be written, reviewed, and finalised. These should include detail on:</p> <ul style="list-style-type: none"> • IT asset replacement timescales; • Key responsibilities for ensuring assets are appropriately replaced; and • Budgeting responsibility for IT replacement | H | Mar 16 | Dec 15 | Infra-structure Manager SRS | <p>An inventory of all equipment in data hall 3 has recently been captured utilising a product called <i>DCOM (Data Centre Operations Manager)</i> which has been configured for each rack and evidenced by TIAA on 09/02/16. Consolidation of a significant amount of equipment in Newport Central has been completed to data hall 3.</p> <p>Revised completion date 31 March 2016. Completed.</p> |
| R02 | <p><i>Plans for current IT Replacement operations should be formalised:</i></p> <p>Plans for currently occurring IT replacement operations should be written, formalised, and reviewed – in particular for:</p> <ul style="list-style-type: none"> • Desktop assets (including a log of all IT assets and planned IT replacement dates for each asset); and • Incomplete aspects of data storage virtualisation | H | Apr 16 | | Infra-structure Manager SRS | <p>To commence once R01 above is complete. The infrastructure team are reviewing the more detailed information generated by DCOM and documenting the potential replacement dates for each item with estimated replacement costs. (Note there is a separate replacement process in place for Desktop with funding allocated to replace a number of older desktops / laptops each year).</p> <p>Revised completion date 30 April 2016. Completed.</p> |

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| | <u>GOVERNANCE COLLABORATION ARRANGEMENTS 2015/16 - September 2015</u> | | | | | |
| R03 | All Partnership Agreements should be held in one central repository, should members of staff leave the Force or be absent due to leave or sickness these key governance documents would still be obtainable. | L | Jan 16 | Apr 16 | Chief Supt Rhiannon Kirk | The Partnership Agreements will be stored in a central archive. Revised Completion date 30 April 2016. Completed. |
| | <u>PEOPLE SERVICES – TRAINING AND DEVELOPMENT 2015/16 - October 2015</u> | | | | | |
| R04 | All work stream and departmental managers be advised to inform the Learning & Development Department where courses will not be attended for whatever reason and to ensure they reply to proposed course dates to inform Learning & Development if they are convenient or not. | L | Nov 15 | | Head of People Services | Meeting with Crime, Local Policing and Operational Support identify issues. Head of People Services to ask for training SPOC's to follow up and respond to queries, as soon as possible. Completed and reported on a monthly basis. Completed. |

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| | <u>COLLABORATION PROJECTS – JOINT FIREARMS UNIT 2015/16</u> - <u>January 2016</u> | | | | | |
| R01 | The budget for the JFU for 2016-17 be set more accurately in terms of operational cost requirements. | M | Apr 16 | | C.I. Simon Belcher | The JFU management have met with the Accountant and Finance officer to discuss the budget. The Budget will be adjusted accordingly and within the required timescales. Budget set for 2016/17. Completed. |
| R06 | A decision be made by the South Wales Collaboration Board on the resource vacancy situation in order that effective budgeting can be set and that overtime situation is reduced. This may prevent and reputational risks if any Freedom of Information (FOI) requests on overtime were received. | L | Apr 16 | | ACC Williams | Resourcing issues and vacancies are discussed at the Collaboration Board. Action is being taken to address the vacancies, including advertising for external transferees to the Western Hub and the provision of a Basic Firearms course for internal applicants. Completed. |
| | <u>CREDITORS ARRANGEMENTS 2015/16</u> - <u>January 2016</u> | | | | | |

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| R01 | Appropriate Periodical Payment Register guidelines be put in place to provide cover in the event of the absence of the Purchasing Payment Manager. | M | Mar 16 | | P & P Manager | The annual retainer for the FME's is the only payment that is included on the PPR. There is no possibility of the payments being delayed as they are entered in Mth 1 of each financial year and then scheduled for qrtly payment within Lawson. Discussion to further expand the PPR for 16/17 to be discussed as part of year end work. Completed. |
| R05 | A cleansing exercise be completed to deactivate supplier accounts which have been inactive for a period of three years. | L | Mar 16 | | PMA | A review of 'dormant' suppliers will be conducted ahead of the Force's transition to Unit 4 Business World. Completed. |
| R06 | Dip sampling of credit card expenditure be conducted by the SPPA on a monthly basis as planned. | L | Mar 16 | | P & P Manager | Dip sampling of one in five records will be programmed into the SPPA's workplan. The sample population will be limited to those transactions originating outside of the P&P section as this is the area where compliance has been problematic. Completed. |
| | <u>GENERAL LEDGER ARRANGEMENTS 2015/16</u> <u>- January 2016</u> | | | | | |

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| Ref | Narrative | Risk | Original Plan Date | Current Plan Date | Responsible Officer | Current Status |
| R01 | The Sundry Debtors account be fully reconciled each month. | M | Mar 16 | | P & P Manager | The Purchase and Payments Manager (PPM) is responsible for this but has been on two instances of long term sickness since June. The PPM is currently bringing these reconciliations up to date. Completed. |
| R02 | All control account reconciliations be independently reviewed and signed off in a timely manner. | M | Mar 16 | | Senior Financial Accountant | Agreed. Completed. |
| <p><u>CAPITAL PROGRAMME ARRANGEMENTS 2015/16</u> - <u>January 2016</u></p> | | | | | | |
| R01 | The rationale for carrying forward Capital Scheme Funds to the following financial year be documented and held by the Management Accounts Team to inform future year projections of the Capital Programme. | L | Apr 16 | | PMA | Agreed. A formal process to recognise the carry forward of funds will enhance reporting, reserve management and future funding demands. Completed. |
| <p><u>DUTY RESOURCE MANAGEMENT ARRANGEMENTS 2015/16</u> - <u>February 2016</u></p> | | | | | | |

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|--|---|------|--|-------------------|--------------------------|--|
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| Ref | Narrative | Risk | Original Plan Date | Current Plan Date | Responsible Officer | Current Status |
| R02 | A Qlikview report be developed to allow the Integrated Resource Service Centre and operational and frontline officers to review and compare records on officer availability and skills. | M | Mar 16 | | Chief Supt Rhiannon Kirk | Agreed. This shall be prioritised. Completed. |
| | <u>DEBTORS ARRANGEMENTS 2015/16</u> - <u>February 2016</u> | | | | | |
| R01 | To continue as planned, to demonstrate compliance with the Financial Procedures Manual (Debtors and Debt Recovery) for the recovery of any outstanding debts in excess of 28 days of an invoice being raised. | M | Jun 16 | | P & P Manager | Agreed. Completed. |
| R02 | Copies of any reminder letters issued to debtors regarding outstanding payments be retained so to support the work of the Joint Legal Service to successfully pursue any outstanding debts. | M | Mar 16 | | P & P Manager | Agreed. New process put in place and copies of reminder letters and monthly statements retained as evidence for any potential reclaims via JLS. Completed. |
| | <u>LOCAL POLICING–WEST ARRANGEMENTS</u> <u>(INCLUDING CID) 2015/16 - February 2016</u> | | | | | |

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| Ref | Narrative | Risk | Original Plan Date | Current Plan Date | Responsible Officer | Current Status |
| R05 | A formal training plan for the Force Training days be set up for 2016-17 and be published through the Intranet. | M | April 16 | | L & D Manager & C.I. McLain | <p>A formal training plan is now in place but hasn't been published as yet.</p> <p>The force training plan provides a summary of the all requested LPA training topics. An LPA training day meeting takes place every 10 weeks to agree the topics for the following day to take into account force priorities and emerging issues. This approach provides flexibility to meet force needs.</p> <p>A summary of the agreed training plan will be posted on the L&D intranet site.</p> <p>Completed</p> |
| R07 | All relevant Officers be reminded of the requirement to send property items to the central store in Bettws after the point of charge, where applicable. | L | April 16 | | Force Property Manager | <p>There has been a delay in inputting property at the main storage area in Bettws. As a result a number of staff have been paid overtime for a number of weeks to clear the backlog and subsequently clear out station storage areas.</p> <p>The back log is significantly reduced but not yet clear.</p> <p>This work is on-going for the foreseeable future. Good progress is being maintained.</p> <p>Completed.</p> |

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| Ref | Narrative | Risk | Original Plan Date | Current Plan Date | Responsible Officer | Current Status |
| R08 | Regular inspections of the Property Store areas (particularly the CID room), be undertaken to ensure they remain tidy. | L | April 16 | | Force Property Manager & C.I. Staniforth | <p>Regular checks of property rooms are now carried out by supervisors. A main index of all property rooms across the force has now been established. A record of when each room is checked is also being implemented.</p> <p>Property Couriers check the stores on a daily basis when visiting the stores. Any adverse conditions are reported to the Property Manager who in turn reports any issues to the Chief Inspector. Management of Property through the Force is managed by the SMT using Qlikview. Regular reviews are to be held with Inspectors and Sgts to discuss Property.</p> <p>Completed.,</p> |
| R10 | A process be put in place for Officers who fail to attend training on the specifically allocated training days for reasons other than annual leave, compassionate leave, sickness or court attendance to control and monitor the time owing to the Force. | L | April 16 | | C.I. Staniforth | <p>This has been taken up by the DCC and a process is now in place where this is monitored and management information sent to Superintendents to ensure there are control measures in place. This is ultimately reported through the accountability forum which is chaired by DCC. The process is in place but Qlikview is yet to be populated with the relevant data, which will be completed by April 2016.</p> <p>Completed.</p> |

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| | <u>LOCAL POLICING–EAST ARRANGEMENTS</u> <u>(INCLUDING CID) 2015/16</u> <u>- March 2016</u> | | | | | |
| R01 | <p style="color: red;">A sample of 38 exhibits under 16 Parent numbers was selected to verify its existence and location. The review revealed that 17 of the exhibits selected could not be found and also various other issues identified.</p> <p style="color: red;">All exhibits not found to be investigated and the Property System be updated to reflect the outcome of the investigations.</p> | H | Nov 15 | | SMT East LPA | Following receipt of the draft report the main store was examined to establish the location of these exhibits. All missing items were located. Each had been booked into the relevant store but had been misplaced on inappropriate shelves. All were recovered to the correct storage location, as per the property system. Completed. |
| R02 | All drugs be stored in Store Room 1 which is the locked drugs store room. | M | Nov 15 | | Property Manager | All drugs located within the main store rooms were reviewed. These have been moved to the correct drugs store or appropriately disposed. Completed. |
| R03 | All cash be sent to the Finance Department once the point of charge has been determined after investigations and interviews have been carried out. | M | Nov 15 | | SMT East LPA | All cash that was outstanding for banking at the time of this audit has since been reviewed and banked. Completed. |

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| R04 | All overdue exhibits be reviewed by Inspectors/Senior Investigation Officers (SIOs) on a regular basis in accordance with Evidential Property Procedures to ensure the workflow of property remains current and to ensure accountability is in place. The presence of the Evidential Property System Managing Property with Qlikview and Infoview document be made aware to all relevant personnel. | M | Nov 15 | | Supt. East | <p>Property management practices been improved and guidance on the property system been given to all Inspectors / Detective Inspectors, further supported through Management Team meeting in January</p> <p>Inspectors have reviewed property items and promulgated the need for review and management to Sergeants and their teams.</p> <p>Recent changes enabled Sergeants to take a direct approach to property management.</p> <p>There has been an increase in the number of items correctly booked in to the system, giving confidence that officers are acting appropriately. Completed.</p> |

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| Ref | Narrative | Risk | Original Plan Date | Current Plan Date | Responsible Officer | Current Status |
| R05 | A formal training plan be set up for 2016-17 and be published through the Intranet. | M | Jun 16 | | Head of L & D | <p>An Operational Property Management Group has been established and training requirements are being addressed through this board. As a result further training will be rolled out to operational officers through the force Training Days.</p> <p>Training requirements are being monitored through the Operational Property Management Group. On-going property training is being delivered through the LPA training sergeants. A summary of the agreed training plan will be posted on the L&D intranet site.</p> <p>Completed.</p> |
| R06 | All relevant Officers be reminded of the requirement to send property items to the central store in Bettws after the point of charge, where applicable. | L | Nov 15 | | Supt. East | <p>Briefings have been provided to all staff. Property is encouraged to be moved to Bettws at the point of charge. The uplift in number of exhibits within the system shows that the issues with some exhibits, particularly CID, has been addressed.</p> <p>Completed.</p> |

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| Ref | Narrative | Risk | Original Plan Date | Current Plan Date | Responsible Officer | Current Status |
| R07 | A process be put in place for Officers who fail to attend training on the specifically allocated training days for reasons other than annual leave, compassionate leave, sickness or court attendance to control and monitor the time owing to the Force. | L | Nov 15 | | Supt. East | <p>Since this audit has taken place representatives from LPAs have met with IRSC and Performance Management to establish a Qlikview monitoring tool for attendance at training.</p> <p>Key messages regarding the importance of attending training accurate recording of timesheets have also been delivered.</p> <p>This will continue to be addressed as core business and will be scrutinised through Accountability Forum.</p> <p>Completed.</p> |

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| | <u>COUNTER FRAUD - PROCUREMENT ARRANGEMENTS 2015/16</u> - <u>May 2016</u> | | | | | |
| R01 | Evidence of the procurement processes followed for the three payments noted be obtained and provided for review by Internal Audit - NCC Services Ltd, £12,622.49 and £4,178.42, and Spanset Ltd, £ 2,016.00. | M | Ongoing | | HOP | <p>As stated procurement were not involved in the purchases. Presentations are being carried out to ensure purchases are made in accordance with Standing Orders Relating to Contracts.</p> <p>Spend analysis is undertaken on a monthly basis, advice and guidance is provided where spend is non-compliant.</p> <p>Presentations have been carried out for four of the business support areas responsible for procuring goods and services.</p> <p>However due to the on-going staff changes in a number of departments the further presentations will be carried out after July 2016 when departments should have completed their reviews.</p> <p>Completed.</p> |

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| R02 | The staff involved in the Screwfix Direct Ltd payment found to have not followed Standing Orders relating to Contracts, be requested to provide formal explanation and arrangements made by Contracts and Procurement to provide the individual or department with appropriate training and advice if required. | L | Ongoing | | HOP | <p>The purchase was an urgent requirement to support the NATO Summit. Whilst not in accordance with Standing Orders it was deemed exceptional circumstances. As stated in Rec. 2 above, procurement presentations are being carried out.</p> <p><i>Presentations have been carried out for four of the business support areas responsible for procuring goods and services. However due to the on-going staff changes in a number of departments the further presentations will be carried out after July 2016 when departments should have completed their reviews.</i></p> <p><i>Individual had further training.</i></p> <p><i>Completed.</i></p> |

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| | <u>REVIEW OF GOVERNANCE – BOARD ASSURANCE FRAMEWORK 2016/17</u> - <u>June 2016</u> | | | | | |
| | <i>There are no audit recommendations apart from operational action points.</i> | | | | | |
| | <u>REVIEW OF RISK MANAGEMENT – MITIGATING CONTROL ARRANGEMENTS 2016/17</u> - <u>June 2016</u> | | | | | |
| | <i>There are no audit recommendations apart from operational action points.</i> | | | | | |

PFA - Principal Financial Accountant HOP – Head of Procurement