

1. Recommendations Requiring Members' Agreement of an Extension of the Planned Completion Date							
Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
Vetting 17-18	The backlog of workforce who do not hold up-to-date security clearance and the number of Non-Police Personnel Vetting that have expired and need renewing be addressed to minimise any potential risk and to ensure compliance with the National Vetting Policy and HMIC recommendation.	2	A temporary member of staff is employed along with a - seconded police officer.	Det Supt Brain	31/12/2018	31/07/2018	24.02.18 - Additional staff are now in place and a review plan is in place to clear the backlog by the deadline of December 2018. Currently on track to achieve this. Procurement are currently processing the upgrade of Core-Vet which will cut timescales for staff completing checks down considerably. Request for extension to 31.12.18.
Vetting 17-18	A house keeping exercise be undertaken to withdraw the vetting clearances of all applicants whose vetting has expired so that the Core-vet database is brought up to date in order that the 'overview' facility can be fully utilised to its full potential.	2	Capacity constraints have delayed this work and a request for 2 additional members of staff on a permanent basis has been made.	Det Supt Brain	31/03/2018	31/03/2018	24.02.18- Additional staff are now in place and a review plan is in place to clear the backlog by the deadline of December 2018. Currently on track to achieve this. Procurement are currently processing the upgrade of Core-Vet which will cut timescales for staff completing checks down considerably. Request for extension to 31.12.18.
HR Management - Strategy 17-18	A process be established within People Services for monitoring and ensuring the completion of staff inductions and probationary reviews.	2	Probationary reviews are currently monitored and a mechanism to report non-compliance will be established to enable decision making.A formal induction day will be established on a monthly basis from January 2018. This will be monitored on training records.	HR Business Partner (AJ) HR Business Partner (AJ)	31/03/2018		27.02.18 - Formal induction in place for police officer transferees. Formal Induction for police staff to commence in September 2018. Revised Completion Date: September 2018

2. High Priority Recommendations Where the Planned Completion Date has not yet Expired							
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Follow Up	R03 - IT DISASTER RECOVERY 2010/11 - June 2011We 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.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.	1	With the issues in Autumn 2012 in ICT infrastructure, the Disaster Recovery solution will be developed. This will need to be procured after implementation of the primary services which is expected to be completed by March 2013.Business case being developed for BTCC.Revised completion date Sept 2013.Revised completion date Dec 2013.Revised completion date Sept 2015. Revised completion date July 2016.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.	Mike Holcombe, SRS	01/09/2016	31/03/2018	01.12.17 - SQL data migration is complete and Oracle migrations commenced. These migrations will be completed by end of January. The Network Link to SWP, Fairwater is on-going and configuration and testing is anticipated to be complete by end of January. The agreed date for the configuration of the infrastructure to perform replication will be complete by end of February and data replication and infrastructure to be located in Fairwater by end of March. Once the above work has been completed phase 2 can be started which will include: 1. Review and amend DR Planning Policy 2. Conduct Business Impact Analysis 3. Create DR Strategies 4. Develop DR Plan 5. Plan, training and testing exercises. Revised Date for reporting progress to JAC: 31 March 2018
Follow Up	R02 - IT GENERAL CONTROL:CHANGE MANAGEMENT 2012/13 - November 2012Introduce a test environment.	1	We will develop a business case for Gwent Police through the BDG / BTCC process to take this recommendation forward. 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. Revised completion date April 2015. See report IT Disaster Recovery 2010/11 above, recommendation R03.Revised completion date Sept 2015 Revised completion date July 2016. 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	Infrastructure Services Manager	01/09/2016	31/03/2018	Revised Date for reporting progress to JAC: 31 March 2018

3. Recommendations That Have Been Completed or Rejected							
Audit Title	Recommendation	Priority	Management Response	Responsible Officer	Due Date	Revised Due Date	Latest Response
First Point of Contact 16-17	The role of the Quality Mentors be revisited as part of the project implementation review to ensure the risk of the loss of key functions and role performed by the Quality Mentors is addressed.	2	Temporary extension to contracts agreed, PIR will ensure an evidence base is provided as to the type of support required and the capacity needed	Supt Townsend	31/03/2018	30/01/2018	There has been a change in the management of performance for the suite and in particular the Quality Assurance process. This is now the responsibility of the management team for each shift and the Deputy Head. FCS has oversight – the monthly performance packages have been updated to reflect this and development plans are utilised for those that fall below a specific standard and extra checks are also utilised to ensure that quality is maintained. The PIR does not at this time intend on recommending the return of these roles. Complete.
HR Management – Learning and Development 17-18	The reporting requirements for the Learning and Development meeting be formally determined including the reports and information required and the frequency.	2	A review of the terms of reference for the learning and development meeting is being undertaken to align with the force meeting structure.	Neil Lewis	31/03/2018		27.02.18 - the ToR for the L & D meeting were agreed as part of the review of the governance structure, meetings take place on a quarterly basis. Complete.
Corporate Communications 16-17	To continue as planned to review and update the Force's Media Manual, which provides direction on what can and cannot be released to the public and the methods of engagement with the media, particularly in an investigative context, in consultation with Joint Legal Services.	3	The document will be revised.	Rhys Jones	01/04/2017	31/12/2017	22.02.18 - the force's Media and Communications Manual was signed off by the DCC and has been published in the policy section of the force intranet site. Complete.
Risk Management – Mitigating Controls 17-18	Arrangements be put in place to ensure that there is a deputy with the appropriate accreditation to provide cover for the Force Crime Registrar in the event of absence.	3	The Force Crime Registrar for Gwent Police is accredited. Demand levels have been mapped across the force and Chief Officers have made the decision not to appoint an accredited deputy. Recommendation not accepted	n/a	05/09/2017	05/09/2017	The Force Crime Registrar for Gwent Police is accredited. Demand levels have been mapped across the force and Chief Officers have made the decision not to appoint an accredited deputy. Recommendation not accepted.
Risk Management – Mitigating Controls 17-18	The suggested actions recorded within the 'Gwent Police / OPCC Strategic Risk Assessment Form' be described in 'SMART' terms in order for those responsible for oversight of the risk and the risk management process to have full information on which to evaluate and review the risk and also track its progress.	3	ISO Accreditation - A revised strategic assessment form is available dated 6th July 2017 which includes three high risk actions and SMART objectives to monitor and control risk. Force risk assessment will be reviewed to include actions described in SMART terms. Consideration will be given to requesting that where possible, an action plan be completed. The current risk assessment form does request proposed and actions undertaken to be outlined.	Service Development Officer	31/12/2017	31/12/2017	07.12.17 - the current risk assessment form requests an action plan and actions undertaken to be outlined. The force has changed the governance structure of which risk is a significant element, to improve assessment, accountability and recording. Complete.
HR Management – Learning and Development 17-18	The Learning and Development work plan be formally reviewed on a periodic basis with the actions taken to date being recorded and reported to the Learning and Development meeting to enable senior managers to monitor the progress of the work plan, identify any risks to its delivery and take action accordingly.	3	The Learning and Development Meeting reports to the Organisational Resources Board and regular progress reports will be provided.	Neil Lewis	31/01/2018		The training delievery against the actual plan is recorded in the Itrent system and will be produced as a Quarter 3 and Year End report. The Training Plan for 2018/19 is complete. 27.02.18 - Plan is reviewed on a quarterly basis within L&D meeting, updates reported to ORB. Complete.
HR Management - Strategy 17-18	The revised 'New Employee Induction Programme Checklist' be updated to include all elements previously included on the checklist.	3	This work is ongoing in progress with some departments awaiting up to date information.	HR Business Partner (AJ)	31/03/2018		27.02.18 - the checklist has been updated and associated documentation is in place. Complete.

Police and Crime Commissioner for Gwent
Internal Audit Recommendations – Status Report as at 14 February 2018

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HR Management - Strategy 17-18	A formal process be developed for obtaining and recording feedback from employees leaving the organisation which can be used to support the People Plan.	3	Work is ongoing to refine the Questionnaire and explore feasibility of using online survey for exit questionnaire.	Senior HR Business Partner (KT)	31/03/2018		27.02.18 - exit questionnaire and interview in place, the ability to automate this process will be looked at as part of FIRMS implementation. Complete.

Green = Greater than 31 days from due date

Amber = Implementation due within 30 days

Red = Implementation overdue