



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

Summary Internal Controls Assurance (SICA) Report

September 2024

Draft

# 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 for Gwent Police as at 11<sup>th</sup> September 2024.

## TIAA Ltd becomes a Certified B Corporation

2. TIAA Ltd has achieved its certification as a B Corporation (or B Corp), joining a growing movement of companies that are reinventing business for the benefit of all people and our shared planet. Verified by B Lab, the not-for-profit behind the B Corp movement, the achievement demonstrates that TIAA Ltd meets high standards of social and environmental performance, transparency, and accountability alongside a commitment to goals beyond shareholder value.

The news comes as the ongoing climate crisis and widening social inequality continue to pose urgent challenges to our economy. B Corp Certification assesses the entirety of a business’ operations and currently covers five main impact areas: Governance, Workers, Community, Environment and Customers. The certification process is rigorous, with companies required to reach a score of 80 points in the B Impact Assessment while providing evidence of responsible practices relating to energy supplies, waste and water use, worker compensation, diversity, and corporate transparency. A business must also legally embed their commitment to purpose as well as profit in their company articles.

TIAA Ltd is now part of a growing community of over 8,000 businesses globally that have certified as B Corps. The B Corp community in the UK is one of the largest and fastest growing in the world, with over 1,700 companies spanning a range of different industries and sizes. Names include The Guardian, Innocent Drinks, Patagonia, Tony’s Chocolonely, The Big Issue, Finisterre, Elemis, and Sipsmith Gin.

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

3. 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
Data Protection Act (2023/24)	Reasonable	14/06/24	18/07/24	18/07/24	0	2	2	0
Service Improvement Board (2023/24)	Substantial	18/07/2024	14/08/2024	23/08/2024	-	-	-	4
Proceeds of Crime Act 2002 (2024/25)	Reasonable	01/08/2024	13/08/2024	23/08/2024	-	1	-	-

Contract Management (2023/24)	Substantial	18/07/2024	13/08/2024	03/09/2024	-	-	-	-
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4. There are no issues arising from these findings which would require the annual Head of Audit Opinion to be qualified.

**Progress against the Annual Plans 2023/24 and 2024/2025**

5. Our progress against the Annual Plan for 2023/24 and 2024/25 is set out in Appendix A.

**Changes to the Annual Plan 2024/25**

6. No changes have been made to the planned work for 2024/25.

**Progress in actioning priority 1 & recommendations**

7. 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**

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

**Other Matters**

9. We have issued a number of briefing notes and fraud digests, shown in Appendix B, since the previous SICA report.

**Responsibility/Disclaimer**

10. 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.

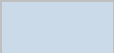
## Appendix A: Progress against Annual Plan 2023-24

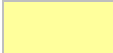
System	Planned Quarter	Current Status	Comments
<b>Collaborative</b>			
Data Protection Act	2	Final Report Issued 18/07/2024	All four forces. Lead force: Gwent Police Presented to JAC September 2024
Payroll	3	Final Report issued: 01/02/2024	All four forces. Lead force: North Wales Police Presented to JAC March 2024
Debtors	3	Final Report issued: 08/02/2024	All four forces. Lead Force: Dyfed-Powys Police Presented to JAC March 2024
Counter Fraud	3	Final Report issued: 08/05/2024	All four forces. Lead Force: North Wales Police Presented to JAC June 2024
Telematics	4	Final Report issued: 19/06/2024	All four forces. Lead force: South Wales Police Presented to JAC July 2024
Creditors	2	Final Report issued: 22/01/2024	The three forces are South Wales Police, Gwent Police and Dyfed Powys Police. Lead force: Dyfed Powys Police Presented to JAC March 2024
Treasury Management	3	Final Report issued: 18/12/2023	The three forces are South Wales Police, Gwent Police and North Wales Police. Lead force: North Wales Police Presented to JAC March 2024
Risk Management	3	Final Report issued: 15/12/2023	The three forces are Gwent Police, Dyfed Powys Police and North Wales Police. Lead force: Gwent Police

System	Planned Quarter	Current Status	Comments
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 March 2024
Firearms Licencing (Gwent Police and South Wales Police)	3	Final Report issued: 08/02/2024	The two forces are Gwent Police and South Wales Police. Lead force: Gwent Police Presented to JAC March 2024.
Information Disclosures (Gwent Police and South Wales Police)	4	Final Report issued: 04/12/2023	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 Presented to JAC March 2024
HR Recruitment and Training	4	Fieldwork commenced: 22/01/2024	The two forces are Gwent Police and South Wales Police. Lead force: South Wales Police Fieldwork to be recommenced in Q3 2024/25.
<b>Gwent Police Only</b>			
Strategic Planning	1	Final Report issued: 19/11/2023	Presented to JAC November 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	Presented to JAC March 2024
Budgetary Control	3	Final Report issued: 22/01/2024	Presented to JAC March 2024
Pensions	3	Final Report issued: 16/05/2024	Presented to JAC June 2024
Commissioning	3	Final Report issued: 01/12/2023	Presented to JAC November 2023
Contract Management	4	Draft Report Issued 18/07/2024	Presented to JAC September 2024
Service Improvement Board	4	Draft Report Issued 18/07/2024	Presented to JAC September 2024
Estates Management - Delivery	4	Fieldwork commenced: 11/03/2024	Fieldwork ongoing due to availability of Estates staff during busy period.

System	Planned Quarter	Current Status	Comments
Follow Up – Interim	3	Interim Draft Report issued: 20/03/2024	
Follow Up – Year End	4		To be confirmed.
Contingency	1-4	TBC	2 Days – not used.
Annual Planning	1-4	Final Plan issued: 19/06/2024	
Annual Report	1	Draft Report issued: 30/05/2024	
Audit Management	1-4		

**KEY:**

 To be commenced

 Site work commenced

 Draft report issued


 Final report issued

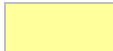
## Progress against Annual Plan 2024-25

System	Planned Quarter	Current Status	Comments
<b>Collaborative</b>			
Uniform Stores	2	Fieldwork commenced 05/08/2024	
Health and Safety	2	Fieldwork completed	Draft report pending
Sustainability	2	Suggested date: 02/12/24	
Payroll	3	Fieldwork to commence :27/11/2024	
ISO Accreditation	3	Suggested date: 04/11/2024	
Connect Teams Channel	4	Cancelled by each Force	
<b>Gwent Police Only</b>			
Proceeds of Crime Act 2002 (POCA)	1	Final Report Issued: 01/07/2024	Presented to JAC September 2024
HR Management – Absence Management	1	Fieldwork Commenced: 02/09/2024	
Business Continuity Management	2	Fieldwork to commence: 16/09/2024	
Contract Management	2	Dates to be agreed	
Vetting	2	Draft Report Issued: 29/07/2024	
HR Management – Skills Map and Planning	2	Dates to be agreed	
Occupational Health – Referral, Process and Cost	2	Fieldwork Commenced: 04/09/2024	
Whistleblowing	2	Fieldwork completed	Draft report pending
General Ledger	3	Suggested date: 07/10/2024	
Creditors	3	Suggested date: 15/10/2024	

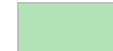
System	Planned Quarter	Current Status	Comments
Capital Programme	4	Suggested date: 20/01/2025	
Estates Management – Strategy	4	Suggested date: 17/02/2025	
Follow Up - Interim		Dates to be agreed	
Follow up – Year End		Dates to be agreed	
Contingency	1-4	To be used as required	
Annual Planning	1-4	Revised Draft Issued 30/05/24	
Annual Report	1		
Audit Management	1-4		

**KEY:**

 To be commenced

 Site work commenced

 Draft report issued

 Final report issued



## Appendix B: Briefings on Developments in Governance, Risk and Control

TIAA produce regular briefing notes to summarise new developments in Governance, Risk, Control, Counter Fraud and Security Management 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 briefings issued in the last three months which may be of relevance to Gwent Police is given below:

### Summary of recent Client Briefings and Alerts

Date Issued	Sector	Briefing Type	Subject	Website Link	TIAA Comments
30 AUGUST 2024	ALL	Security Alert	Social media trolling of NHS staff	<a href="#">Social media trolling of NHS staff - TIAA</a>	In an era where online interactions can significantly impact mental health and workplace morale, it is essential to stand up against harassment targeting our dedicated NHS workforce.  Our alert details a recent incident and what you can do to protect your organisation.
30 AUGUST 2024	ALL	Security Alert	Nitrous Oxide thefts	<a href="#">Nitrous Oxide thefts - TIAA</a>	Our Security Management team have issued a new security alert regarding a rise in nitrous oxide thefts. Stay informed and take necessary precautions to protect your assets.
14 AUGUST 2024	ALL	Anti-Crime Alert	Fake QR Codes in Parking Scam	<a href="#">Fake QR Codes in Parking Scam - TIAA</a>	There have been reports of scammers placing fake QR codes on parking ticket machines. These deceptive codes lead unsuspecting victims to malicious websites that mimic sites such as RingGo or PayByPhone. Our alert details how to stay safe from these scams.

07 AUGUST 2024	ALL	Security Alert	National Protests	<a href="#"><u>National Protests - TIAA</u></a>	National protests took place across the country, and it is crucial to stay informed and stay safe. Our alert shares important information and tips on how to protect your organisation and staff during these uncertain times.
26 JULY 2024	ALL	Data Protection Alert	New Digital Information and Smart Data Bill	<a href="#"><u>New Digital Information and Smart Data Bill - TIAA</u></a>	The UK government is introducing a Digital Information and Smart Data Bill (DISD), distinct from the previous government's failed Data Protection and Digital Information Bill in several ways. Learn more about this new bill and the actions to take to keep your data protected.
26 JULY 2024	ALL	Client Briefing	The Economic Crime and Corporate Transparency Act 2023	<a href="#"><u>The Economic Crime and Corporate Transparency Act 2023 - TIAA</u></a>	Learn about the Economic Crime and Corporate Transparency Act 2023, aimed at boosting the UK's efforts to combat economic crime and improve corporate transparency. Discover the Act's key points and requirements.
15 JULY 2024	ALL	Client Briefing	Cyber Security Threats	<a href="#"><u>Cyber Security Threats - TIAA</u></a>	The National Cyber Security Centre (NCSC) has published an alert of a significant risk to IT systems and infrastructure. Attackers are exploiting vulnerable Small Office and Home Office (SoHo) devices at organisations to leverage attacks. Typically, SoHo devices (broadband routers etc) do not feature the advance security protection of enterprise level IT systems, thus making them an easy target.