

Tiaa Outstanding Audit Recommendations (downloaded 18 August 2020)

1. Recommendations Requiring Members' Agreement of an Extension of the Planned Completion Date (Priority 1 and 2 Only)						
Job	Recommendation	Priority	Management Comments	Responsible Officer	Due Date	Latest Response
Collaborative Review - Debtors - Lead Force-Dyfed Powys	Unreconciled transactions identified within bank reconciliations be dealt with on a routine basis.	2	The three transactions relate to the accounting for the pension top up grant from the Home Office that is posted as a year-end journal. The items have not been removed from the cashbook on the advice of the ABW administrator. We will resolve these items and prevent a recurrence for the 2019/20 accounts.	HoF	31/07/2020	19/08/2020 - Covid19 has impacted on our ability to clear these items from the bank reconciliation for 2019/20. We will take forward to resolve with the FIRMS team in 2020/21. <b>Extension requested to 31st December 2020.</b>
Collaborative Change Control	The interrelationships between the various force domains be fully identified and mapped.	2	The inter relationships between services operating between the two forces will be undertaken through a review of data that traverses the firewalls between the two forces. The expectation is that this will provide clarity on current dependencies as well as providing options as to future capabilities.	N Stephens	30/06/2020	01/09/2020 - ongoing. <b>Extension requested to 30 September 2020.</b>
Local Policing – Property and Cash	A report be provided to Senior Officers at Monmouth and Newport Stations with all exhibits recorded as being present at these stations and action be taken to investigate where exhibits cannot be located and the system be updated to reflect the outcome.	2	The report used by the auditors will be provided to the Geographical Inspectors for Monmouth and Newport as recommended to investigate where these items are located. This will go in hand with a larger piece of work, which is being undertaken by Project team to deal with 'unaccounted' items recorded on the current property system.	Inspector Property	30/06/2020	01/09/2020 - A presentation will be provided to the Joint Audit Committee in September to provide a full update on Property. <b>Extension requested to 31st December 2020.</b>
Local Policing – Property and Cash	A report be provided to Senior Officers at Bargoed, Blackwood and Ystrad Mynach Stations with all exhibits recorded as being present at these stations and action be taken to investigate where exhibits cannot be located and the system be updated to reflect the outcome.	2	The report used by the auditors will be provided to the Geographical Inspectors for Bargoed, Blackwood and Ystrad Mynach as recommended to investigate where these items are located. This will go in hand with a larger piece of work, which is being undertaken by Project team to deal with 'unaccounted' items recorded on the current property system.	Inspector Property	30/06/2020	01/09/2020 - A presentation will be provided to the Joint Audit Committee in September to provide a full update on Property. <b>Extension requested to 31st December 2020.</b>
Local Policing – Property and Cash	All evidential property be labelled by Officers in accordance with procedures and all Officers be reminded of this important process.	2	The importance of labelling exhibits correctly is being reinforced through the Evidential packaging input currently being delivered to all front line officers through Force Training Days. This will continue to be monitored by the property team once all training has been completed.	Inspector Property	30/06/2020	01/09/2020 - A presentation will be provided to the Joint Audit Committee in September to provide a full update on Property. <b>Extension requested to 31st December 2020.</b>
Risk Management – Mitigating Controls	Set timeframes for the delivery of the identified mitigating actions and controls for Risk 4851 to allow progress to be monitored.	2	Risk 4851 is solution for which implementation will be completed with South Wales police. The Digital Services Division is leading and potential suppliers identified which will be included in a procurement process. Implementation dates are as yet unclear and in the meantime the risk is mitigated appropriately.	Risk Manager	31/03/2020	18/08/2020 - the phased approach is progressing. The product has been live in a test environment with the Digital Services Division (DSD) for a number of weeks and is now subject to further live environment testing with CJD in Gwent and DSD. Training has been undertaken and has been well received in force and we have been working closely with NICE Investigate to develop the training and communications approach. In the coming weeks we will see West LPA (CID) and East LPA (Newport East) adopt the system with a further force wide roll out to follow imminently. The risk has been reviewed monthly at the Operational Performance Board and the DCC's Scrutiny Executive Board. It currently remains high but will be reviewed with a view to reducing the rating following the further planned produce roll out and testing. <b>Extension requested to 30th November 2020.</b>
Local Policing – Property and Cash	Officers be reminded to update the Continuity form on the Evidential Property system whenever appropriate exhibits have been disposed of.	2	The current property system automatically populates the continuity form when any move/disposal is completed. On this occasion due to damage to the packaging, the items were taken straight for disposal, which was not reflected on the continuity form, which was human error. Property staff reminded to update continuity form.	Inspector Property	11/03/2020	01/09/2020 - A presentation will be provided to the Joint Audit Committee in September to provide a full update on Property. <b>Extension requested to 31st December 2020.</b>
Collaborative - Estate Management Delivery - Lead Force – North Wales	A fully signed copy of the General Building & Electrical Maintenance and Refurbishment Works be obtained from Torfaen or Monmouthshire County Council.	2	The procurement was managed by TCBC with representation from all three partners. A copy of the signed contract will be obtained.	Head of Estates and Facilities	31/01/2020	19/09/2020 - Torfaen County Borough Council led this tender process and have been contacted on two occasions to request this document without success. A further follow up request has been made. <b>Extension requested to the 31st December 2020.</b>
GDPR Compliance Audit review 1	All personal data held within individual and team drives and devices be identified and a decision made on their continued use or removal.	2	The assessment of personal data held within individual and team drives and devices forms part of the corporate information governance strategy relating to the Electronic Documents and Records Management (EDRM) programme. The corporate file plan has been developed and approved by Information Assurance Board which will be adopted following the implementation of Office 365 (early 2019). The Records Manager holds the portfolio for EDRM forms part of the new Information Governance structure with effect from 1st October 2018. Progress on this action to be provided 31st March 2018, following completion of new team.	Records Manager	31/03/2019	26/08/2020 - Data Mapping has been completed and depts recommended to review/delete their data in line with Retention Schedule. This will be addressed as part of the migration to O365. Working with the Joint DPO to produce a plan. <b>Extension requested to 31st December 2020.</b>

GDPR Compliance Audit review 1	Existing hard copy and electronic documents and data be assessed against the Document Retention Policy once it has been approved so that documents and data that are identified as no longer required can be deleted or disposed of.	2	The Gwent Police Document Retention Schedule has been approved by the Information Assurance Board. The Records Manager holds the portfolio for Management of Police Information (MoPI) and the Review, Retention and Deletion (RRD) of records. RRD in respect of hard copy files is 90% complete. Data held within legacy systems relating to Crime and Intelligence has been back record converted into Niche RMS. Legacy systems will be subsequently decommissioned. The National Minerva Working Group is seeking an RRD solution for Niche RMS. Progress on this action to be provided 31st March 2018 at which stage the NICHE solution should be known.	Records Manager	31/03/2019	26/08/2020 - Review of Crime data in SharePoint is underway and part of the migration process to SharePoint online. All hard copy data is being reviewed in line with MOPI and deleted or digitised. Proposal in relation to ORIS/Niche BRC to be produced. Awaiting RRD specification for Niche which is currently out of consultation by the Minerva Information Management Working Group. <b>Extension requested to 31/12/2020.</b>
GDPR Compliance Audit review 1	All hard copy and electronic records be assessed against the Document Retention Policy once the Policy has been approved and any documents that do not need to be retained be appropriately disposed of.	2	Work is on-going to finalise the retention schedule and a review of all electronic and hard copy information will be undertaken once complete.	Records Manager	31/12/2018	26/08/2020 - Data Mapping has been completed and depts recommended to review/delete their data in line with Retention Schedule. This will be addressed as part of the migration to O365. Working with the Joint DPO to produce a plan. <b>Extension requested to 31st December 2020.</b>
Fleet Management – Single system	The import facility within Tranman to automatically download tyre spreadsheet data and create jobs be fully utilised as an efficiency measure in order to achieve the intended benefits of the collaboration agreement.	2	Agreed. Training with System Supplier has been arranged. A lack of management in the workshop, coupled with a high turnover of admin staff has meant that the facility hasn't been developed.	Head of Fleet, Gwent	31/08/2018	01/09/2020 - It has been established that the automatic download necessitates the creation of a separate spreadsheet and a slight change in process which does not provide any efficiency in the process and can in fact make the process less efficient. Further testing of efficiency is required before fully committing to the implementation. <b>Extension requested to 31st December 2020.</b>
<b>2. High Priority (Priority 1) Recommendations Where the Planned Completion Date Has Not Yet Expired</b>						
Local Policing – Property and Cash	All property exhibits not found at Monmouth and Newport Central Stations within the West division and the other exhibits presumed to be present be investigated and the Evidential Property System be updated to reflect the outcome of the investigations.	1	This is a large piece of work, which had already been commenced by the Project team to deal with 'unaccounted' items recorded on the current property system. Officers have been instructed to complete a report for any unaccounted items they are responsible for, these will then be categorised, and RAG rated. A panel consisting of a representative from PSD, L&D and SMT will assess items, which fall into the High Risk category, and an appropriate course of action agreed.	Inspector Property	01/12/2020	Not yet due.
Local Policing – Property and Cash	All property exhibits not found at Bargoed, Blackwood and Ystrad Mynach Stations within the East Division and the other exhibits presumed to be present be investigated and the Evidential Property System be updated to reflect the outcome of the investigations.	1	This is a large piece of work, which had already been commenced by the Project team to deal with 'unaccounted' items recorded on the current property system. Officers have been instructed to complete a report for any unaccounted items they are responsible for, these will then be categorised, and RAG rated. A panel consisting of a representative from PSD, L&D and SMT will assess items, which fall into the High Risk category, and an appropriate course of action agreed.	Inspector Property	01/12/2020	Not yet due.
<b>3. Recommendations That Have Been Completed or Rejected (all)</b>						
Creditors	Recovery of identified duplicate payments be prioritised to ensure that Gwent Police recover the monies outstanding.	1	Agreed. Controls have been in place for a number of months that are working well in preventing any further duplicate payments. As at 21/11/18 we have identified the duplicate payments totalled 130 invoices for the sum of £1,045k. Of this, £482k has been recovered and £564k remains outstanding. These outstanding amounts continue to be vigorously pursued with suppliers with a specific focus on recovering the high value items in the first instance. Copy evidence to confirm payment to, and recovery from, suppliers is being provided. The level of recovery is also being monitored and reported on a weekly basis to the ACOR.	HoF	31/03/2019	19/08/2020 - The majority of the £14k balance has now been resolved with suppliers. Reviews of all payment runs for potential duplicates have been in place since late 2019. <b>Complete.</b>
Collaborative Change Control	The Memorandum of Understanding for system collaboration be updated and re-signed by all parties.	2	The existing document will be updated across the three Forces.	N Stephens	31/03/2020	01/09/2020 - following discussion with Joint Legal Services this shared system use does not require a Section 22a and an agreement has been drafted for the shared use (supported by SWP ICT service levels). <b>Complete.</b>
Staying Ahead 8 theme – Corporate Communications	Campaign evaluations be performed on both a quantitative and qualitative basis and captured within departmental Key Performance Indicators.	2	The development of KPIs will be considered for the department including the effectiveness of campaigns to ensure there is continuous improvement and lessons learnt opportunities. This will be discussed at SIB in May 2019 within implementation of a set of indicators by November 2019.	Head of Corporate Communications	30/11/2019	18/08/2020 - An evaluation dashboard has been developed which considers campaign impact on social media, traditional media and internal communications. These are measured against the campaign objectives and to provide key take outs to generate lessons learnt for future campaigns. <b>Complete.</b>
Duty Resource Management	The Working Hours Procedure, Flexible Working and Part-time Working Procedure and the Annual Leave Policy and Guidance be reviewed and updated.	2	Working hours procedure has been reviewed, consultation is complete and the updated version is scheduled to go live. Flexible working procedure (includes part-time working) 102-13 has been reviewed, consultation of the changes is complete and the new version was published 14/08/19. Annual leave policy and guidance 102-16a is currently under review, input has been provided by HR, Operational support and GRS	Head of HR	30/09/2019	18/08/2020 - Both policies have now been updated and published via The Beat as of the 15th June 2020. <b>Complete.</b>

Staying Ahead 8 theme – Corporate Communications	The proposals outlined in the Options Paper "What Works" be presented to the OEEB in April as planned and evaluated and approved as appropriate.	2	Paper drafted but deferred to Service improvement Board May 2019.	Head of Corporate Communications	31/05/2019	18/08/2020 - A detailed business for Corporate Comms was presented at the Service Improvement Board in May 2019 where a number of queries were raised. An options paper was brought back to the Service Improvement Board 18/09/2019 and option 6a was agreed. The structure of the business case has now been implemented. <b>Complete.</b>
Fixed Assets	Process documentation be developed for fixed assets.	3	Full procedure notes will be completed once the FA module is implemented. Desk notes for each of the processes in the module are already documented and currently in use by staff.	HoF	31/08/2020	19/08/2020 - A User Manual and process desk notes are already in place. Further amendments are required to the module and the manual and process notes will be updated on an ongoing basis as required. <b>Complete.</b>
HR Management – Absence Management	Arrangements to provide cover for the HR Business Partner be put in place as planned.	3	This will be considered as part of the HR structure review, to ensure there is resilience in this area.	Head of HR	30/06/2020	18/08/2020 - The revised HR structure was agreed at the Service Improvement Board in July 2020 with implementation planned for November 2020. Within the new structure there will be resilience and also HR Support Officers to assist the HR Business Partners. <b>Complete.</b>
HR Management – Absence Management	The Compassionate, Dependant and Emergency Leave Policy be reviewed and updated.	3	The Policy is being reviewed before being forwarded for consultation.	Head of HR	31/01/2020	18/08/2020 – Special Leave procedure published 4th August 2020 which replaces the Compassionate and Emergency Dependant Leave procedure. <b>Complete.</b>
Collaborative Review - Creditors - Lead Force – Gwent Police	Staff be reminded to ensure that a record of contact with the supplier to confirm the legitimacy of change was made in ABW.	3	All staff have been reminded of the procedure to include a note confirming the change has been agreed with the supplier on ABW. Completed.	HoF	31/12/2019	19/08/2020 - All staff notified and then reminded again during covid19 lockdown to be aware of potential fraudulent activity. <b>Complete.</b>