

**APPENDIX 1 – DETAILED UPDATE ON ALL OUTSTANDING HIGH RISK AUDIT RECOMMENDATIONS  
(as at 23 June 2011)**

Ref No.	<p align="center"><b>Palace of Westminster - SO Lead</b> <i>(SO lead with HR consultation required to implement this recommendation)</i></p>	<p align="center">Update on the one outstanding High Risk recommendation - raised January 2008</p>	<p align="center">Target date for completion</p>
1	<p>Fire and Security Officers at PoW perform a variety of rostered shifts and claim significant and regular overtime and premium payments. Recommended that:</p> <ul style="list-style-type: none"> <li>• <i>SO17 SMT undertake, in consultation with HR and the PoW, a further documented review of the current procedures in particular to look at:</i></li> <li>• <i>The contracts and rosters to ensure that they are appropriate achieve best value and protect the interests of the MPS and the individuals concerned.</i></li> <li>• <i>The degree to which payments comply with MPS rules and regulations.</i></li> <li>• <i>The systems for processing and monitoring hours worked and amounts claimed to ensure best value.</i></li> </ul>	<ul style="list-style-type: none"> <li>• Roster for Band T Security Officers working at search points around the Parliamentary Estate formally reviewed during Summer 2008. As a result, new roster for these officers introduced on in October 2008.</li> <li>• SO17 Police Staff have standard MPS/MPA contracts, which comply with present MPS HR and Pay &amp; Pension policies. Payments to personnel currently comply with MPS and local policies. Formal documented local review of pay related payments took place in February 2009. SO17 is satisfied that the existing systems for processing and monitoring hours worked and amounts claimed represent best value to the MPS and PoW.</li> <li>• Follow up audit report issued by DARA in December 2009 and response highlighted that two of the three elements of this high risk recommendation have been implemented. The outstanding element relating to the contractual and rostering arrangements that lead to the payment of Shift Disturbance Allowance and Premium Payments is being reviewed and is subject to further continuing discussion. Meeting between SO17 and DARA in October 2009 highlighted need for outstanding high risk recommendation needs to be addressed at corporate level to allow local action to be taken.</li> <li>• New contract for PoW came into force from 1 April 2010 which increases BWT for Band T Security Officers. OCU commander SO17 is currently liaising with HR Directorate regarding the introduction of new terms and conditions for the new recruits. This will introduce a Flexibility Allowance and bring an end to Premium Payments for weekend working. Awaits agreement from HR as this is now a HR Pay and Policy issue which will require negotiations with Trade Unions and Federation and any further progress will be lead by HR.</li> </ul> <p>July 2010 Update: Discussions regarding the introduction of revised terms and conditions for new Band T Security Officers are now complete. The introduction of the Flexible Roster Allowance has been agreed and set at 8%. This allowance replaces Premium Payments for weekend working and will be applicable to all new Band T Security Officers. It is intended to offer existing security staff the opportunity to change from their existing terms and conditions to the revised scheme.</p> <p>Jan 2011 update from SO SPOC</p> <p>The OCU Commander has requested that DARA re-visit to check on the progress being made to address all recommendation and confirm status of the high risk. This has been scheduled for the end of March, beginning of April 2011.</p> <p><b>June 2011 Update</b></p> <p>Commander Wood is to meet with DARA by 17<sup>th</sup> June 2011 in order to discuss Terms of Reference for the follow up visit due in Summer 2011.</p>	<p>To be advised subject to DARA / SO / HR agreement following revisit.</p>

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Ref No.	<b>Crime related property - TP Lead</b> <i>(TP lead with HR (Logistical Services) activity required to implement this recommendation)</i>	Update on the one outstanding High Risk recommendation - raised August 2008	Target date for completion
2	<p>Strategic Framework &amp; Culture Recommended that:</p> <ul style="list-style-type: none"> <li>• <i>The current processes, guidelines and instructions for the management of crime property are consolidated into a strategic policy that is approved by Management Board and that:</i> <ul style="list-style-type: none"> <li>○ <i>Includes a performance management framework at corporate and operational level</i></li> <li>○ <i>Identifies and documents the specific arrangements required for central departments and the overlap between BOCUs and central departments.</i></li> </ul> </li> <li>• <i>Documents cash handling requirements</i> <ul style="list-style-type: none"> <li>○ <i>Includes monitoring arrangements to ensure compliance with policies and procedures</i></li> </ul> </li> <li>• <i>Clarifies roles and responsibilities for processing and managing property, inc the roles of operational officers, property staff, the Crime Property Manager and SMT Lead</i></li> <li>• <i>Is supported by documented and approved corporate and local procedures</i></li> </ul>	<ul style="list-style-type: none"> <li>• HR Logistical Services' Criminal Exhibit Stores (CES) taken corporate lead in partnership with other stakeholders. Director of Logistical Services, HR agreed to fulfill role of ACPO nominated lead.</li> <li>• Monitoring and compliance is to lie with the individual operational units and a team within TP Emerald Custody Directorate is working in partnership with CES to address the issues identified.</li> <li>• Cash handling guidelines were issued to TP BOCUs on 5 August 09.</li> <li>• Parts of this recommendation will be covered by any new asset tracking application which TP Emerald Custody Directorate is currently working on with CES.</li> <li>• Draft policy "Retention and Disposal of Crime Related Property and Property Found in the Street" will be submitted for publication, together with updates to the manual.</li> <li>• Follow up report issued by DARA in July 2010.</li> <li>• <b>Also see corporate B/OCU issues audit</b> (as one recommendation cross refers - DoR leading)</li> </ul> <p>January 2011 update</p> <p>The strategic lead for the MPS is now Director of Logistical Services with TP Emerald Exhibit Management Team responsible for the implementation of the recommendations relating to TP</p> <p>Borough Based Custody Centres (BBCC) is now part of the Detention Command Project which is part of the TP Development Programme (TP Dev). It has been recognised that there is a dependency between the Detention Command Project and the Asset Tracking Project being progressed by Logistical Services. As part of the feasibility of both projects, Logistical Services and TP are jointly looking at how exhibits are stored, moved and tracked, and property from custody (including new builds) and exhibit stores. The asset tracking project has representation on the TP Dev Coordination board.</p> <p>TP Criminal justice including custody and all the support functions within TP Emerald, will imminently move to Central Operations (CO). This move is anticipated to happen in April 2011. This has an impact on the second partly implemented high risk recommendation in respect of TP performance. There are high level discussions ongoing in relation to the ownership of exhibits and property when custody moves to CO. There are also discussions taking place in respect of the management and monitoring of performance. TP Emerald will continue to publish monthly performance figures for TP stores until the move to CO takes place, after which CO and TP will determine responsibility for the management and performance of exhibits and property and develop a performance strategy accordingly.</p> <p><b>April 2011 update</b></p> <p>In addition to the above, Commander Zinzan, TP professional standards lead, has set in motion a plan to conduct inspections of TP exhibit stores in conjunction with DPS. The process will investigate the mechanics of including exhibit stores in the TP strategic performance reports and how that performance can be measured. In addition DARA are fully engaged in the asset tracking project and will provide representation at every stage of the design process.</p>	Second half of 2011. A more defined target date should be available for the June CGC Meeting

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Ref No.	Security vetting and clearance - SCD	Update on the two outstanding High Risk recommendations - raised March 2009	Target date for completion
3	<p>Approval for the creation of a new centralised Vetting Unit has been given following agreement between ACSO and ACSC. Recommended that Senior Management in the new unit develops a strategy for approval by Management Board that;</p> <ul style="list-style-type: none"> <li>• <i>Supports National and Corporate Policy.</i></li> <li>• <i>Includes clearly defined roles and responsibilities;</i></li> <li>• <i>Sets out governance arrangements including the remit of the Departmental Vetting Officer;</i></li> <li>• <i>Contains a requirement for designated Business Group Vetting Officers to identify the levels of clearance required for key posts within their BGs and to document clearly the rationale;</i></li> <li>• <i>Sets out monitoring and review activities;</i></li> <li>• <i>Is supported by appropriate, documented and approved corporate and local procedures;</i></li> <li>• <i>Includes a requirement for KPIs to be set and monitored.</i></li> </ul> <p>-----</p> <p>Units within SCD and SO are both responsible for different aspects of the vetting system and both maintain separate stand alone IT systems. To improve control over record keeping it is recommended that;</p> <ul style="list-style-type: none"> <li>• <i>Each BG Vetting Officer maintains details of non MPS staff clearance requests submitted to the central vetting unit</i></li> <li>• <i>An independent central list of all non-MPS personnel is established by a designated individual in liaison with each Business Group</i></li> <li>• <i>The vetting unit compares a sample of individuals on this list against the access logs and their database of non MPS staff who have been security cleared;</i></li> </ul> <p><i>A central database is maintained showing the security clearance status of all MPS staff and contractors.</i></p>	<p><b>June 2011 Update</b></p> <p>The MPA Audit team are doing a review w/c 27 June 2011. This may help getting a steer re sign off. Work could only really start in earnest on the recommendations once the amalgamation was approved in July 2010 for October 2010. (Merger now completed). Once the revised policy is approved, it is expected that one of the high risk recommendations will be signed off. It may be reclassified during the follow-up review. However, the second one will take some time to address in full as it will require an IT upgrade (due this FY probably in place January 2012) and there is a fair amount of people effort to sort the records out.</p> <p>The Unit has commenced updating employee vetting records on Met HR and reasonable progress is being made but even that is not expected to be complete until January 2012.</p> <p>The draft policy has been shared with Vetting Board and awaits feedback from DLS. The EIA is being finished and a couple of minor SOPs have to be finished too. However, these SOPs need not hold up the main event as they are new and relate to Cadets and Youth Supervision. Instead of a summer date it may now be September 2011. This gives time for Vetting Board to reconvene around some hotly debated points, legal feedback to come in and a chance to go back to stakeholders with the final draft for final comments before approval.</p>	<p>A revised target date - 09/2011</p>

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Ref No.	B/OCU - Corporate Issues - DoR Lead	Update on the one outstanding High Risk recommendation - raised April 2009 (the second high risk raised is a duplication of the risk identified, raised and being progressed by Crime Related Property (ref No.2 above))	Target date for completion
4	<p>This audit highlighted corporate issues identified as part of the B/OCU audit programme for the attention of relevant systems owners. Recommended that:</p> <ul style="list-style-type: none"> <li>• <i>On Police Overtime:</i> <ul style="list-style-type: none"> <li>○ <i>The limitations of MetDuties in respect of overtime recording and authorising are highlighted and addressed.</i></li> <li>○ <i>An efficient, effective and consistent interim solution is identified and guidance issued to B/OCUs.</i></li> <li>○ <i>Corporate guidance in respect of Working Time Directive (WTD) rules is published to increase B/OCU awareness</i></li> </ul> </li> </ul> <hr/> <ul style="list-style-type: none"> <li>• <i>On Crime Property:</i> <ul style="list-style-type: none"> <li>○ <i>A strategic framework is established that includes the creation of an operational system owner and the development of KPIs and performance monitoring</i></li> <li>○ <i>The Crime Property System (TOAST) and accompanying records and activities are reviewed and revised, where appropriate, to ensure that they meet current MPS needs and address key system risks</i></li> <li>○ <i>The impact of NSPIS on the crime property system is assessed and the current weaknesses are addressed before the system is rolled out to other B/OCUs</i></li> <li>○ <i>Any system interdependencies are identified and that consideration is given to developing a corporate integrated property management system</i></li> </ul> </li> </ul>	<ul style="list-style-type: none"> <li>• CARM 3 will be rolled out Q1 2010 as a part of the METTime 2 Programme. It has electronic booking on and off system built in which will remove need for any duty state/overtime sheet/variations sheet or excel workbook. It will also be subject of rules engine in CARM which has been enhanced to cover all police overtime rules. That should remove issues around inconsistency in the application of the rules.</li> <li>• CARM 3 also contains an overtime approval process which starts when the officer books on and off, requiring them to chose pay or time etc, is submitted to the person who authorised the overtime to be worked for checking, before finally ending up with finance to add any additional information (codes etc) before submission for payment to Logica. Whilst there is no direct link between WTD and overtime worked HR is working on developing a relevant message on WTD to B/OCUs.</li> </ul> <p><b>January 2011 Update</b></p> <p>The progress being made towards implementation of this recommendation is consistent with DARA's findings on the separate work they are undertaking to review Police Officer Overtime Payments. A draft report is expected soon.</p> <hr/> <ul style="list-style-type: none"> <li>• The high risk recommendation relating to Crime Property is being progressed by Criminal Exhibit Services, HR Logistical Services. Original planned replacement for the Crime Property System (TOAST) was to be the development of METAFOR. MPS Management Board decided on 16 November 2009 to formally close METAFOR. HR Logistical Services submitted high level business case for a feasibility study to meet the Criminal Exhibit Services' needs for exhibit tracking. It is proposed that the system be scalable and be suitable for use by all MPS business units.</li> <li>• Recommendation re NSPIS is no longer relevant as NSPIS has now been rolled out.</li> </ul> <p>See update under <b>Crime Related Property audit</b></p>	<p>Target date for completion</p> <p>To be aligned to the agreed recommendations expected to be raised in the Police Overtime Payments review</p> <p>see Crime Related Property (ref No.2)</p>

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Ref No.	IS/IT Access & Usage - DoI Lead	Update on the one outstanding High Risk recommendation - raised April 2009	Target date for completion
5	<p>Recommended that:</p> <ul style="list-style-type: none"> <li>• <i>The DoI develop a strategy for delivering security awareness training to ensure all users are aware of their roles and responsibilities for accessing and using MPS assets, data and information.</i></li> <li>• <i>Delivering security awareness should be monitored to correlate against improvements in security.</i></li> </ul>	<ul style="list-style-type: none"> <li>• There are currently a number of initiatives in place e.g. 'Computers and You'.</li> <li>• Information compliance is undertaking a review of current training deliverables to establish whether a gap exists and to make recommendations to the METSEC Board. If necessary, a business case will be developed for consideration by the MPS Training Board.</li> <li>• The findings of the Information Security Training Review presented to METSEC Board 11 December 2009 who approved the recommendation to rationalise existing training with a view to providing consistent messages, reducing overlap and where possible introduce a 'pass' or 'fail' element.</li> <li>• Training will be complemented with an Information Security Awareness campaign to regularly reinforce the security message. Officers and staff identified who commit minor breaches of the Information Code of Conduct will be required to retake the security training package.</li> <li>• Draft Training Strategy to be presented to METSEC Board on 26 May 2010.</li> </ul> <p>January 2011 Update:</p> <p>The Training Strategy was presented to and approved by Enterprise Architecture Board on 20 December 2010. Arrangements to obtain formal closure of this recommendation from DARA are being progressed with meetings and discussions continuing between DARA and DoI SMT.</p> <p>April 2011 Update:</p> <p>The closure of this recommendation is subject to ongoing dialogue with DARA.</p> <p><b>June 2011 update</b></p> <p>This recommendation has been formally confirmed as closed by DARA.</p>	Complete

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Ref No.	Partnerships Funding and Control - (DoR)	Update on the one outstanding High Risk recommendations - raised April 2011	Target date for completion
6	The Head of Partnerships ensures that the arrangements for PCSO/Police Officer resources funded by local authorities are reviewed, collated, co-ordinated and treated on a consistent basis and entered in the database addressing the risks relating to future partnership funding.	<p>From the start of 2010/11, the TP cost sharing agreements have been detailed in the Partnership Database. The Head of Partnerships is working with HR and the PCSG to progress this as quickly as possible, and this activity is now included in the Partnership Programme Plan, and is due to be delivered by April 30th 2011.</p> <p>April 2011 Update:</p> <p>The partnership database quarterly return for quarter 4 of 2010/11 has requested all of the necessary information to deliver this recommendation. This database was sent out on 14.4.11 with a deadline of 27.4.11.</p> <p><b>June 2011 Update:</b></p> <p>The MPS Head of Partnerships has confirmed that this recommendation has been fully implemented.</p> <p>Revised 14 June 2011 Update following response received from Lead Auditor:</p> <p>The MPS Head of Partnerships advised that the recommendation has been partially implemented, with all of the arrangements for PCSOs and PCs as well as staff being entered in the Q4 database. The data has been passed onto HR to ensure up to date information is used. Further work is now being undertaken, using the data to review all funded posts arrangements, to understand the risk to income and operationally, and to ensure that they are coordinated and treated consistently.</p>	31/07/2011

Ref No.	Procurement and Contract Management - (DoR)	Update on the one outstanding High Risk recommendations - raised April 2011	Target date for completion
7	SOPs are clear on the use of Form 1049, but there is an issue with compliance and a process needs to be put in place to ensure contract action can only commence once the Form 1049 has been completed, checked and approved by both the client department, PS and the MPA as applicable.	<p>The Quality Assurance process will monitor compliance to the Procurement Standard Operating Procedures to ensure contract actions and contracts awards have been approved in line with the Scheme of Delegation. This process will also monitor that the right information has been uploaded to the Bluelight system in line with the aforementioned SOPs.</p> <p><b>June 2011 Update</b></p> <p>DARA have confirmed that this recommendation has been implemented.</p>	Complete

Ref No.	Diplomatic Protection Group - SO Lead	Update on the one outstanding High Risk recommendation - raised February 2009	Target date for completion
12	<p>The Home Office is reviewing the Dedicated Security Post (DSP) funding arrangements aiming to change them for the 2009/10 bidding process and the MPA Treasurer is involved in the process.</p> <p>Recommended that :</p> <ul style="list-style-type: none"> <li>The MPA Treasurer continues to monitor progress on DSP under funding and reports the latest position to the MPA Counter-Terrorism and Protection Services Sub-</li> </ul>	<ul style="list-style-type: none"> <li>MPA Members (as appropriate) and the Home Office up to ministerial level are aware of the situation and are continuing to consider the under funding of DSP and the risks to which the MPS is exposed. A report submitted to September 2009 Counter-Terrorism and Protective Services Sub-Committee to update progress to date. The MPA Treasurer continues to monitor progress with all appropriate bodies and report as appropriate.</li> <li>Response from the Home Secretary received on 26 June 2009, and following internal MPS discussions ACSO and the MPA Chief Executive met with Home Office officials on 18 August 2009. It was agreed at the meeting that the Home Office would write to MPS/MPA regarding proposals for reform.</li> <li>Home Office OSCT (Office for Security and Counter Terrorism) prioritised funding 2009/10 DSP inflation shortfall out of under spends in other budgets. Home Office view is that DSP Grant is a contribution to costs but it will look at setting a 'floor' to the level of contribution.</li> </ul>	<p>Complete from MPS perspective</p> <p>Recommendation is for MPA Treasurer to progress</p>

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	<p><i>Committee</i></p>	<ul style="list-style-type: none"> <li>Response received early November 2009 from the Home Secretary indicating that the Home Office need to do some further work on the options for reform of the DSP grant mechanism itself and that both the MPS and MPA have made constructive suggestions about this. The Home Secretary is sympathetic to the MPS request to have additional funds in this financial year to cover the shortfall in inflation provision on the existing grant. The Home Office will continue its dialogue with the MPS and MPA to come up with proposals to improve the present MPS mechanism.</li> </ul> <p>January 2011 Update</p> <p>Work has continued on the revised DSP grant mechanism. The Treasurer and Chair of the MPA met with the Chair of the working group in January to set out clearly the MPA/MPS concerns about the continuing underfunding.</p> <p><b>June 2011 Update</b></p> <p>Following completion of the Home Office review the levels of protection funded have now been set down. The Treasurer and the Chair of the MPA will continue to raise the level of funding allocated to the MPA for DSPs in the wider discussion on police funding.</p>	
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Ref No.	<b>Royalty &amp; Specialist Protection - SO Lead</b>	Update on the one outstanding High Risk recommendation - raised March 2009	Target date for completion
13	<p>The Home Office is reviewing the Dedicated Security Post (DSP) funding arrangements aiming to change them for the 2009/10 bidding process and the MPA Treasurer is involved in the process. Recommended that :</p> <ul style="list-style-type: none"> <li><i>The MPA Treasurer continues to monitor progress on DSP under funding and reports the latest position to the MPA Counter-Terrorism and Protection Services Sub-Committee.</i></li> </ul>	<p>Please see wording of Diplomatic Protection Group above - high risk recommendations are identical.</p> <p>January 2011 Update This is an on going issue and remains with the MPA Treasurer. IN light of the CSR, the funding will not be increased. See response for high risk recommendation on Diplomatic Protection Group audit.</p> <p><b>June 2011 Update</b></p> <p>Following completion of the Home Office review the levels of protection funded have now been set down. The Treasurer and the Chair of the MPA will continue to raise the level of funding allocated to the MPA for DSPs in the wider discussion on police funding.</p>	<p>Complete from MPS perspective</p> <p>Recommendation is for MPA Treasurer to progress</p>

