APPENDIX 1– TABLE OF OUTSTANDING HIGH RISK AUDIT RECOMMENDATIONS (as at 31 August 2011)

Ref	Title	Business Group	Published	No of High-Risk Recommendations outstanding to MPS			Proposed Implementation date	Status
				Jul 11	Sep 11	Change (additional and/or implemented)		
1	B/OCU - Corporate Issues	DoR	Apr 2009	2	1	Rec related to overtime downgraded to Medium by DARA	Q1 2012/13	In progress - not yet fully addressed within original agreed target date(s) - See Appendix 2
2	Partnerships Funding and Control	DoR	Apr 2011	1	0	Closed - awaits DARA confirmation		Closed subject to DARA confirmation
3	Security Vetting and Clearance	SCD	Apr 2008	2	2		End Feb 2012	In progress - not yet fully addressed within original agreed target date(s) - See Appendix 2
4	Palace Of Westminster	SO	Dec 2009	1	1		TBC subject to follow-up DARA audit	In progress - not yet fully addressed within original agreed target date(s) - See Appendix 2
5	Crime Related Property	TP	Aug 2008	1	1		Q1 2012/13	In progress - not yet fully addressed within original agreed target date(s) - See Appendix 2
6	Covert Airwave	SCD	Feb 2011	1	1		End Sept 2011	In progress - not yet fully addressed within original agreed target date(s) - See Appendix 2A (Exempt)
7	NPOIU	SO	May 2010	1	1		TBC subject to DARA follow-up.	Agreement to formal closure / implementation requested / awaited - See Appendix 2A (Exempt)
	Police and Police Staff Allowances and Expenses	DoR	Aug 2010	0	0			Closed subject to future of SPP/CRTP re-Winsor Review
	Resourcing and Management of Specials	TP	Jun 2010	0	0			Closed subject to DARA confirmation
			Total	9	7			

Ref	Title	Business Group	Published	No of High-Risk Recommendations outstanding to MPA			Proposed Implementation date	Status
				Jul 11	Sep 11	Change (additional and/or implemented)		
	Diplomatic Protection Group	SO	Feb 2009	1	1			Outstanding to MPA Treasurer
	Royalty and Specialist Protection	SO	Feb 2009	1	1			Outstanding to MPA Treasurer
			Total	2	2			

Audit Title: B/OCU - Corporate Issues		Published: Raised April 2009
Ref	**Recommendation**	**Current Progress & Milestones**	**Status**

1	This audit highlighted corporate issues identified as part of the B/OCU audit programme for the attention of relevant systems owners. Recommended that:
	• *On Police Overtime:*
	   o *The limitations of MetDuties in respect of overtime recording and authorising are highlighted and addressed.*
	   o *An efficient, effective and consistent interim solution is identified and guidance issued to B/OCUs.*
	   o *Corporate guidance in respect of Working Time Directive (WTD) rules is published to increase B/OCU awareness*
		Overtime
		
		 DARA have confirmed that this recommendation can be downgraded to a medium but it remains outstanding as the new CARMs 3 is not being used consistently by all BGs, e.g. SO and SCD are not using it for booking on and off and the WTD issues will not be fully addressed until there is a system to monitor the hours worked by non federated ranks.
			Agreement to formally down grade to a medium risk recommendation

	• *On Crime Property:*
	   o *A strategic framework is established that includes the creation of an operational system owner and the development of KPIs and performance monitoring*
	   o *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*
	   o *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*
	• *Any system interdependencies are identified and that consideration is given to developing a corporate integrated property management system*
		Crime Property
		 See entry under Crime Related Property audit.
			In progress - not yet fully addressed within original agreed target date(s)
			
			 Target Implementation Date: See entry for Crime Related Property

MPS Lead: Lead Toni Poltorak	MPS Business Group: DoR

APPENDIX 2 – DETAILED UPDATE ON ALL OUTSTANDING HIGH RISK AUDIT RECOMMENDATIONS (as at 31August 2011)

Audit Title: Partnerships Funding and Control			Published: Raised April 2011
Ref	**Recommendation**	**Current Progress & Milestones**	**Status**
2	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.	**Sept 2011 Update from Head of Partnerships - MPS** All arrangements for PCs, PCSOs and staff funded by local authorities are now managed consistently by individual business groups using a corporate process. They are coordinated centrally by the Head of Partnerships through their inclusion in the partnership database, which is updated on a quarterly basis.	**Implemented by MPS and DARA advised. Awaiting formal closure by DARA.**

MPS Lead: Lizzie Peters	MPS Business Group: DoR

Audit Title: Security vetting and clearance		Published: Raised April 2009
Ref	**Recommendation**	**Current Progress & Milestones**	**Status**
3	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; *Supports National and Corporate Policy.* *Includes clearly defined roles and responsibilities;* *Sets out governance arrangements including the remit of the Departmental Vetting Officer;* *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;* *Sets out monitoring and review activities;* *Is supported by appropriate, documented and approved corporate and local procedures;* *Includes a requirement for KPIs to be set and monitored.*	**Update from Head of Vetting 9th Aug 2011.** The Draft MPS Vetting Policy has the support of both Vetting Board and MetSec Board and will be submitted into the formal quality assurance process this week with a view of it being published in September. It is anticipated that once the Policy and SOP are published and the supporting processes can be shown to be in place, several more medium risk recommendations can be signed off at that point.	**In progress - not yet fully addressed within original agreed target date(s)** **Target Implementation Date: A revised target date - 09/2011. Vetting Policy is due to be published at the end September / October 2011.**
	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; *Each BG Vetting Officer maintains details of non MPS staff clearance requests submitted to the central vetting unit* *An independent central list of all non-MPS personnel is established by a designated individual in liaison with each Business Group* *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;* *A central database is maintained showing the security clearance status of all MPS staff and contractors.*	**Update from Head of Vetting Aug 2011.** The MPS Vetting Unit has started working with the vetting software supplier to map out how the upgrades required this FY will be delivered. This work is on track and we anticipate an upgrade will be available this FY (Feb 2012) that will provide full record management capability - including creation of a vetting database - which will also ensure a skeleton record is created when files are deleted to comply with audit requirements. Work has started to check with companies who are contracted to work for the MPS and who have staff still deployed on MPS contracts. This is with a view to reconciling this information with data held on the vetting case management system so that records can be updated accordingly. This will become business as usual and this requirement is written into the revised policy. In relation to the implementation date of February 2012 - this relates to changes in the software in WARRANTOR (the vetting database) which will enable Vetting Branch to reconcile old and current vetting cases. It will also enable Vetting Branch to delete expired vetting cases leaving a skeleton record for audit purposes.	**Target Implementation Date: 28th February 2012**

MPS Lead: Ruth Child	MPS Business Group: SCD

APPENDIX 2 – DETAILED UPDATE ON ALL OUTSTANDING HIGH RISK AUDIT RECOMMENDATIONS (as at 31August 2011)

Audit Title: Palace of Westminster			Published: Raised January 2008
Ref	**Recommendation**	**Current Progress & Milestones**	**Status**
4	Fire and Security Officers at PoW perform a variety of rostered shifts and claim significant and regular overtime and premium payments. Recommended that: • *SO17 SMT undertake, in consultation with HR and the PoW, a further documented review of the current procedures in particular to look at:* • *The contracts and rosters to ensure that they are appropriate achieve best value and protect the interests of the MPS and the individuals concerned.* • *The degree to which payments comply with MPS rules and regulations.* • *The systems for processing and monitoring hours worked and amounts claimed to ensure best value.*	**Update from SO SPOC 22nd August 2011.** The SO17 OCU commander has requested that DARA review the progress of these recommendations - this has now been completed and the OCU await the findings from DARA.	**In progress - not yet fully addressed within original agreed target date(s)** **Target Implementation Date: To be advised subject to DARA / SO / HR agreement following revisit.**

MPS Lead: Commander Wood	MPS Business Group: SO

APPENDIX 2 – DETAILED UPDATE ON ALL OUTSTANDING HIGH RISK AUDIT RECOMMENDATIONS (as at 31August 2011)

Audit Title: Crime Related Property		Published: Raised August 2008
Ref	**Recommendation**	**Current Progress & Milestones**	**Status**

5	Strategic Framework & Culture
	
	Recommended that:
	
	• *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:*
	
	   o *Includes a performance management framework at corporate and operational level*
	
	   o *Identifies and documents the specific arrangements required for central departments and the overlap between BOCUs and central departments.*
	
	• *Documents cash handling requirements*
	
	   o *Includes monitoring arrangements to ensure compliance with policies and procedures*
	
	• *Clarifies roles and responsibilities for processing and managing property, inc the roles of operational officers, property staff, the Crime Property Manager and SMT Lead*
	
	• *Is supported by documented and approved corporate and local procedures*
		• A review of the existing policy is underway and the revised standard operating procedure has been drafted. Currently awaiting formal decision on ACPO lead who will have overarching responsibility across all Business Groups, and agreement on the disposal policy for exhibits retained in unresolved and undetected cases
		
		• Records Management Branch considering alignment of exhibit retention with retention periods for case papers.
		
		• The processes for cash handling requirements were reviewed, amended and published in 2009. The process is currently subject to a further review as part of the Finance Service Improvement Plan. The revised arrangements are planned to be introduced in early 2012.
		
		• Working party has been established to review exhibit levels at BOCU level under Commander Zinzan, TP, An inspection of Lambeth stores has been undertaken by CAAT, with the draft report delivered on 1 September 2011. Next working party meeting scheduled for 21st September 2011.
		
		• Work ongoing through Customer & Commercial Services regarding introduction of Asset Tracking system.
			In progress - not yet fully addressed within original agreed target date(s)
			
			Target Implementation Date: Q1 2012/13

MPS Lead: AC McPherson	MPS Business Group: TP (with assistance from DoR Customer & Commercial Services)