

APPENDIX 1– TABLE OF OUTSTANDING HIGH RISK AUDIT RECOMMENDATIONS (as at 11 November 2011)

Ref	Title	Business Group	Published	No of High-Risk Recommendations outstanding to MPS			Proposed Implementation date	Status
				Oct 11	Dec 11	Change (additional and/or implemented)		
1	B/OCU - Corporate Issues	DoR	Apr 2009	1	1		Q1 2012/13	In progress - not yet fully addressed within original agreed target date(s) - See Appendix 2. Awaits DARA confirmation to combine with number 4 below
2	Security Vetting and Clearance	SCD	Apr 2009	2	2		Mar 2012	In progress - not yet fully addressed within original agreed target date(s) - See Appendix 2
3	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
4	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
5	Police and Police Staff Allowances and Expenses	DoR	Aug 2010	0	1	Reinstated - see status		Reinstated due to decision regarding SPP payments re Winsor review

EXEMPT

6	Covert Airwave	SCD	Feb 2011	1	0	Closed subject to DARA confirmation	End Sept 2011	Closed subject to DARA follow-up and confirmation
7	NPOIU	SO	May 2010	1	1		TBC subject to DARA follow-up.	Agreement to formal closure / implementation requested / awaited - See Appendix 2A (Exempt)
Total				7	7			

Ref	Title	Business Group	Published	No of High-Risk Recommendations outstanding to MPA			Proposed Implementation date	Status
				Oct 11	Dec 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
	Olympics and Paralympics - Budgetary Control Framework	CO	Sep 2011	0	1	Issued Sept 2011		Outstanding to MPA Treasurer
Total				2	3			

APPENDIX 1 – DETAILED UPDATE ON ALL OUTSTANDING HIGH RISK AUDIT RECOMMENDATIONS (as at 11 November 2011)

Audit Title: B/OCU - Corporate Issues		Published: Raised April 2009	
Ref	Recommendation	Current Progress & Milestones	Status
1	<ul style="list-style-type: none"> • <i>On Crime Property:</i> <ul style="list-style-type: none"> ○ <i>A strategic framework is established that includes the creation of an operational system owner and the development of KPIs and performance monitoring</i> ○ <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> ○ <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> • <i>Any system interdependencies are identified and that consideration is given to developing a corporate integrated property management system</i> 	<p style="text-align: center;"><u>Crime Property</u></p> <p>See entry under Crime Related Property audit.</p>	<p>In progress - not yet fully addressed within original agreed target date(s)</p> <p>Target Implementation Date: See entry for Crime Related Property</p>

MPS Lead: Lead Toni Poltorak	MPS Business Group: DoR
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APPENDIX 1 – DETAILED UPDATE ON ALL OUTSTANDING HIGH RISK AUDIT RECOMMENDATIONS (as at 11 November 2011)

Audit Title: Security vetting and clearance		Published: Raised April 2009	
Ref	Recommendation	Current Progress & Milestones	Status
2	<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"> • <i>Supports National and Corporate Policy.</i> • <i>Includes clearly defined roles and responsibilities;</i> • <i>Sets out governance arrangements including the remit of the Departmental Vetting Officer;</i> • <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> • <i>Sets out monitoring and review activities;</i> • <i>Is supported by appropriate, documented and approved corporate and local procedures;</i> • <i>Includes a requirement for KPIs to be set and monitored.</i> 	<p>Update from Head of Vetting October 2011. The Draft MPS Vetting Policy was submitted for corporate quality assurance process in Aug having the support of both MetSec and Vetting Board in July - it is awaiting input from DCFD and currently addressing feed back i.e. clarifying details in plain English for non-vetting staff and is fully supported by other stakeholders i.e. DPS . Therefore, once this has been received publication is expected by end of November.</p> <p>Update from Head of Vetting 21 November 2011 Vetting Branch is experiencing exceptionally high workloads with various challenges that have to be overcome. This is impacting on the ability to finish the Policy and SOPs as quickly as would be preferred. Consequently, whilst it is still possible the Policy will be ready for publication before the end of November, there may be some slight slippage with publication delayed until December.</p>	<p>In progress - not yet fully addressed within original agreed target date(s)</p> <p>Target Implementation Date: Vetting Policy is due to be published by the end of December 2011.</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"> • <i>Each BG Vetting Officer maintains details of non MPS staff clearance requests submitted to the central vetting unit</i> • <i>An independent central list of all non-MPS personnel is established by a designated individual in liaison with each Business Group</i> • <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> <p><i>A central database is maintained showing the security clearance status of all MPS staff and contractors.</i></p>	<p>Update from Head of Vetting October 2011. The contractor now has business requirements to develop record management functionality for WARRANTOR -the software release is due at end of March 2012 for testing - Vetting Branch is planning an automated back record conversion of vetting clearances early in Q1of FY 2012/2013 In the meantime, Vetting Branch are continuing to ensure that every staff member who has a vetting record on WARRANTOR will have that information also entered onto their MethHR record. This is due to be completed by end of Dec 2011.</p> <p>Update from Head of Vetting 21 November 2011 A significant amount of management time is being spent on project management to ensure the long anticipated IT upgrades are delivered on time. This specifically includes the records management upgrade that will address this second high risk recommendation. A single tender action has been approved for this work and the contract is expected to be in place in December.</p> <p>The work being undertaken around information on Vetting clearances is on MethHR, is progressing well and it is hoped that this project will be completed by January. Changes are being made to MethHR to allow individuals to view details of their clearances (levels and expiry dates</p>	<p>Target Implementation Date: 31st March 2012</p>

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		etc) - this should be completed early in 2012.
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MPS Lead: Ruth Child	MPS Business Group: SCD
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Audit Title: Palace of Westminster		Published: Raised Dec 2009	
Ref	Recommendation	Current Progress & Milestones	Status
3	<p>Fire and Security Officers at PoW perform a variety of rostered shifts and claim significant and regular overtime and premium payments.</p> <p>Recommended that:</p> <ul style="list-style-type: none"> • <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> • <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> • <i>The degree to which payments comply with MPS rules and regulations.</i> • <i>The systems for processing and monitoring hours worked and amounts claimed to ensure best value.</i> 	<p>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.</p> <p>Update from SO SPOC November 2011 OCU Commander is still awaiting sight of the DARA report.</p>	<p>In progress - not yet fully addressed within original agreed target date(s)</p> <p>Target Implementation Date: To be advised subject to DARA / SO / HR agreement following revisit.</p>

MPS Lead: Commander Wood	MPS Business Group: SO
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APPENDIX 1 – DETAILED UPDATE ON ALL OUTSTANDING HIGH RISK AUDIT RECOMMENDATIONS (as at 11 November 2011)

Audit Title: Crime Related Property		Published: Raised August 2008	
Ref	Recommendation	Current Progress & Milestones	Status
4	<p>Strategic Framework & Culture</p> <p>Recommended that:</p> <ul style="list-style-type: none"> • <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"> ○ <i>Includes a performance management framework at corporate and operational level</i> ○ <i>Identifies and documents the specific arrangements required for central departments and the overlap between BOCUs and central departments.</i> • <i>Documents cash handling requirements</i> <ul style="list-style-type: none"> ○ <i>Includes monitoring arrangements to ensure compliance with policies and procedures</i> • <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> • <i>Is supported by documented and approved corporate and local procedures</i> 	<ul style="list-style-type: none"> • 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 identified a number of key issues. As a result of these, CE Stores across TP have been tasked with undertaking an immediate self-inspection review to be analysed by Central Exhibit Services, with findings to be delivered to TP COG. A number of returns have already been received, with a reviewed deadline of 5th December imposed to support other BOCUs undertake the assessments. BOCUs will be required to undertake structured quarterly formal reviews following this process, which will be scrutinised in the same way • Work ongoing through Customer & Commercial Services regarding introduction of Asset Tracking system. This is currently due to be introduced into the Central Exhibit Service in April 2012. The timetable for rollout of the package to TP Crime Exhibit Stores and across the rest of the MPS will be announced at a later date. 	<p>In progress - not yet fully addressed within original agreed target date(s)</p> <p>Target Implementation Date: Q1 2012/13</p>
MPS Lead: AC McPherson		MPS Business Group: TP (with assistance from DoR Customer & Commercial Services)	

APPENDIX 1 – DETAILED UPDATE ON ALL OUTSTANDING HIGH RISK AUDIT RECOMMENDATIONS (as at 11 November 2011)

Audit Title: Police and Police staff Allowances and expenses			Published: Raised August 2010
Ref	Recommendation	Current Progress & Milestones	Status
5	<p>To improve decision making, transparency and consistency we recommend that the main elements of the scheme in relation to SPP are further reviewed by HR to consider whether its application within the MPS is appropriate to meet its aims and objectives. This should include:</p> <ul style="list-style-type: none"> • <i>Further guidance/ definitions for each of the key criteria.</i> • <i>A requirement to retain documentation that supports decision making processes at all levels, including the rationale.</i> • <i>A, full HR Pay and Benefits review of all posts within the MPS including those that do not currently receive SPP.</i> • <i>An appropriate methodology for selecting designated B/OCUs and posts and for determining the amounts to be paid.</i> • <i>A requirement for post event documented reviews of payments made and an annual, documented review process to ensure the system is working effectively.</i> 	<p>This recommendation had been 'closed subject to DARA approval' in light of recommendations proposed in the 'Winsor Report'. However, due to the following statement which appeared on the MPS Corporate News on 13th October 2011, this has been reinstated pending further decision:</p> <p>"As many officers will be aware, the Independent Review of Police Officers' and Staff Remuneration and Conditions (the 'Winsor Review') made a recommendation concerning Special Priority Payments as below:</p> <p><i>Recommendation 33</i></p> <p><i>Special Priority Payments should be abolished from 31 August 2011 and all outstanding SPPs up to that date should be paid on a pro-rated basis.</i></p> <p>At the July meeting of the Police Negotiating Board there was a failure to agree the Official Side Proposals in relation to the Winsor recommendations and the issues have been referred to the Police Arbitration Tribunal, which is due to consider the issues in November.</p> <p>Management Board has therefore decided to defer any actions in respect of SPPs this year until the outcome of the Arbitration is known.</p> <p>It is likely that any scheme will be based on that adopted last year, but with the payments to officers limited to £500 per officer per complete year, paid on a pro-rata basis if the above Winsor recommendation is adopted in full"</p>	<p>In progress - not yet fully addressed within original agreed target date(s) - Pending Police Arbitration Tribunal</p> <p>Target Implementation Date: TBC</p>
MPS Lead: Director, DoR		MPS Business Group: DoR	