

Schedule of “live” recommendations as at 1st February 2018

Audit	Recommendation Detail	Assurance Rating	Management Response	Agreed Implementation Date
CoLP Budget Monitoring 2016-17	The CoLP Finance staff should be given appropriate access to enable them to upload budget profiles into Oracle R12.	Amber	To be able to progress the profiles requires information from the Corporation, and this was delayed due to the year-end process. Giving CoLP the functionality to upload their own budgets and profiles would greatly speed up the process.	31 st March 2018
CoLP Budget Monitoring 2016-17	<p>The CoLP's Director of Finance should;</p> <p>(i) request that budget holders set profiles that reflect the timing with which income is expected to be received, or expenditure is expected to be incurred, for significant areas of income and spend.</p> <p>(ii) review proposed budget profiles at the start of each financial year to ensure that this has been adhered to.</p>	Green	This recommendation is agreed, a training plan is being established for Budget Holders to understand their responsibilities in profiling and forecasting. The procurement of Budget Holders training has been curtailed by the Corporation as part of a wider training initiative.	31 st March 2018
Audit	Recommendation Detail	Assurance Rating	Management Response	Agreed Implementation

				Date
CoLP Budget Monitoring 2016-17	The Director of Finance should ensure that all budget holders receive budget monitoring reports on a monthly basis and put monitoring arrangements in place to ensure that this is adhered to.	Amber	Budget monitoring reports are provided on a monthly basis accompanied by monthly budget clinics, detailed quarterly reports are also provided.	Implemented on receiving the Final Report
CoLP Budget Monitoring 2016-17	The Director of Finance should set a financial limit above which a budget estimate should be set, for example, £5,000.	Amber	The funded units allocate their expenditure accordingly to agreed subjective with the funder. The majority is allocated to pay, so where there are costs incurred on no pay budgets that have no budget the FBP are unable to transfer sufficient funding between pay and non-pay. Finance Business Partners to monitor and take action.	31 st March 2018
CoLP Budget Monitoring 2016-17	The Head of CoLP Human Resources should ensure that details of all internal staff transfers are provided to the Finance Team in a timely manner.	Amber	The Head of CoLP Human Resources should ensure that details of all internal staff transfers are provided to the Finance Team in a timely manner.	Implemented on receiving the Final Report
CoLP Budget Monitoring 2016-17	The Director of Finance should establish a programme of budget monitoring training for budget holders.	Green	A programme of training was established for Budget Holders and a user request and specification issued to City Proc. City Proc and Finance have stopped the tender on the basis that a Corporation wide finance programme will be rolled out.	31 st March 2018
Audit	Recommendation Detail	Assurance	Management Response	Agreed

		Rating		Implementation Date
Leavers' Salary Overpayments 2016-17	Where a leaver needs to be processed as a matter of urgency, the Head of Payroll should be contacted by telephone and the request subsequently requested by email.	Amber	The Force now has an agreement in place where HR SMT will call head of payroll if there is an immediate top that needs to take place. This action is considered as being complete	Implemented on receiving the Final Report
Leavers' Salary Overpayments 2016-17	CoLP should determine who is best placed to receive and monitor reports provided by Payroll and Chamberlain's, ensure that reports are then appropriately distributed and a regular, evidenced check should be implemented. In addition, consideration should be given to reintroducing the Establishment report which is currently not being received.	Amber	This recommendation has been action with reports sent to a number of staff for oversight. It is therefore considered already complete.	Implemented on receiving the Final Report
Audit	Recommendation Detail	Assurance	Management Response	Agreed

		Rating		Implementation Date
Programme Management 2017-18	For all future programmes/projects, a comprehensive plan should be produced, in consultation with all relevant stakeholders, which reflects the vision and full scope of the programme/project as well as the underlying objectives, which will confirm how that vision will be achieved. The plan should also outline how the programme will be delivered including governance arrangements, roles and responsibilities, resource implications and risk management arrangements.	Amber	This recommendation is accepted and is now being implemented for all new projects. Projects already in train are also being reviewed and where there are gaps in the documentation these are being addressed.	Implemented on receiving the Final Report
Programme Management 2017-18	The roles and responsibilities of organisations and key individuals in the delivery of the programme/project should be clearly defined and communicated. These should be reviewed on a regular basis to confirm that the roles and responsibilities remain relevant and up to date.	Amber	The Ring of Steel is now the new Secure City Programme and all roles within this programme will be clearly defined.	31 st March 2018
Audit	Recommendation Detail	Assurance	Management Response	Agreed

		Rating		Implementation Date
Programme Management 2017-18	A decision should be made on the proposed governance structure for the Police Accommodation Programme and the newly agreed structure should be clearly defined. All boards/groups within the governance structure should have a terms of reference document in place, which clearly defines its purpose, roles/responsibilities, membership and meeting frequency.	Red	A 'TOR' is available for the CoLP Accommodation Board.	Implemented on receiving the Final Report
Programme Management 2017-18	The full expected outcomes and benefits as a result of the successful delivery of programme/project should be defined for on-going projects and key measures of success against these benefits should be determined and measured on a regular basis.	Red	The Programme has a functional benefits lists addressing known required service improvements i.e. service allows victims to "Track My Crime", already built into the service at Go Live. In fact as part of requirements building included all NFIB/AF staff, all forces, victims groups, banking and commerce and others to address their concerns and to be deliverable from Go Live. This has been reported to the Programme Board on a number of occasions (see: an example of likely functional benefits communicated includes KF Functionality Outline above).	Implemented on receiving the Final Report
Audit	Recommendation Detail	Assurance	Management Response	Agreed

		Rating		Implementation Date
Programme Management 2017-18	All new programmes/projects should have to prepare a paper on the outcomes and benefits of programmes/projects.	Red	The Force cannot report on benefits in the Highlight report until the Programme Board and Members have approved the detailed Monetisation Project through the relevant Gateway reports starting in December 2017 other than in high level process terms. Members have provided £500k to start this work which is also included in the Issues report.	31 st March 2018
Programme Management 2017-18	Expenditure against the approved budget should be monitored on a regular basis by the project board to identify any potential variances at the earliest opportunity.	Amber	This is agreed and the Force has implemented for all projects	Implemented on receiving the Final Report
Programme Management 2017-18	Each individual project within a programme should have its own risk register with individual risks being appropriately scored and assigned an appropriate 'Risk Owner' who has the responsibility of managing and monitoring that risk.	Amber	This is agreed and is in place for all projects overseen by CPO.	Implemented on receiving the Final Report
Audit	Recommendation Detail	Assurance	Management Response	Agreed

		Rating		Implementation Date
Programme Management 2017-18	A standard change control process should be introduced for all CoLP projects including the production of a template change control request form. The change control request should be discussed with all relevant stakeholders with their comments noted and the form being signed by all relevant parties prior to the change being implemented.	Amber	This is agreed and the Force is currently working to implement the content of this recommendation.	31 st March 2018
Programme Management 2017-18	A closure report should be produced and reported to the Project Sub Committee in a timely manner upon completion of the project in order for this to be formally closed with the City and to confirm benefits realised and lesson learned from the project.	Amber	The Force accepts this recommendation and highlights that of the project highlighted the majority have now been formally closed. Only Mobile Working Services remains to be formally signed off and the report for this is within the Committee cycle.	31 st March 2018
Audit	Recommendation Detail	Assurance	Management Response	Agreed

		Rating		Implementation Date
Programme Management 2017-18	Consideration should be given to the City of London City and City of London Police discussing and reviewing the effectiveness and efficiency of the gateway process for all police projects. An approach should be agreed between the parties on the most effective and efficient process to be followed by the Police for all types of projects in the City gateway process and this approach should be formally documented.	Amber	This recommendation is accepted. The CoLP will discuss the matter further with the Town Clerk.	31 st March 2018
Police Seized Goods 2017-18	The Property Procedure Manual should be amended to include the processes to follow in terms of the packaging of item types (such as cash) and the transportation of seized property between locations.	Amber	This recommendation has been completed with the manual updated for the implementation of Niche	Implemented on receiving the Final Report

Audit	Recommendation Detail	Assurance Rating	Management Response	Agreed Implementation Date
Police Seized Goods 2017-18	<p>Where property is to be managed by individual departments (such as Economic Crime and Special Branch) rather than the Property Department, specific policies and procedures should be produced to outline the processes which are required to be followed in recording and managing property.</p> <p>Consideration should also be given to passing the responsibility of managing all property to the Property Department upon implementation of NICHE to ensure consistency across the Force and help to prevent administration errors from occurring.</p>	Amber	This recommendation has been considered with the implementation of Niche, there has been a rationalisation of responsibility however unless increased resources are allocated to the property office the Force will not be able to amalgamate all responsibility to this central unit, at this time AoJ, ECD and Roads Collisions remain responsible for their property.	CoLP Accept Risk
Police Seized Goods 2017-18	All Officers, including student officers and transferees, should be provided with training regarding seized goods as part of an induction programme upon joining the City of London Police. Including the record system.	Amber	This recommendation is accepted and IMS will liaise with L&D to ascertain if there is scope for property management training to be added to the induction programme or if there is a better outlet for this training.	31 st March 2018

Audit	Recommendation Detail	Assurance Rating	Management Response	Agreed Implementation Date
Police Seized Goods 2017-18	A corporate communication should be distributed to all officers and staff who use the property management system to remind them of the need to record all accurate and complete information on the system. The communication should also outline the reasons why it is important to record accurate information.	Amber	This recommendation is accepted and will be actioned in line with others linked to communications.	31 st March 2018
Police Seized Goods 2017-18	There should be a complete central record of all property held across COLP departments. The Collision Investigation department should identify the items within the property bins and update the property management system with an accurate record of property retained.	Red	There is a legacy issue here with the system used within roads policing which needs to be resolved. With the introduction of Niche the Force needs to ascertain if records can be added retrospectively or if we will continue to have legacy issues until crimes are closed and associated property is returned.	31 st March 2018
Police Seized Goods 2017-18	The Economic Crime Unit should finalise the property locations and inform the Property Department of the new locations. A review of storage locations on PMS for retaining seized property should be conducted.	Red	This recommendation is accepted, IMS will work with ECD to ensure property locations are recorded within PMS. This will be the responsibility of ECD to own and inform PMS.	31st March 2018

Audit	Recommendation Detail	Assurance Rating	Management Response	Agreed Implementation Date
Police Seized Goods 2017-18	A corporate communication should be sent to all officers reminding them of the requirement to double bag seized cash and ensure that a witness is present when packaging and counting cash. The witness should countersign the outer bag to confirm that they have witnessed and agree to the packaging. The communication should also reference the update to the Property Procedure Manual regarding the packaging of cash items.	Amber	This recommendation is accepted and will be actioned in line with others linked to communications	31 st March 2018
Police Seized Goods 2017-18	All officers and staff should be reminded through corporate communication of the requirement to accurately update the status of property items booked on to the property management system.	Amber	This recommendation is accepted and will be actioned in line with others linked to communications.	31 st March 2018

Audit	Recommendation Detail	Assurance Rating	Management Response	Agreed Implementation Date
Police Seized Goods 2017-18	A regular review of property items assigned the status of 'awaiting entry' should be conducted by the Property Department and these should be amended with the correct status.	Amber	There has been a change in process with the introduction of Niche, the relevance of this recommendation needs to be evaluated to ascertain if the issue identified is still relevant for action.	Implemented on receiving the Final Report
Police Seized Goods 2017-18	All users of the property management system should be reminded via corporate communication of the requirement to update property items in line with the review dates on the system. The communication should outline the steps to take in reviewing the items on the system.	Amber	This recommendation is accepted and will be actioned in line with others linked to communications.	31 st March 2018
Police Seized Goods 2017-18	Responsible Officers for safes used across the COLP for the retention of seized goods should be informed via email of the insurance value which covers the safes. This information should be disseminated to staff/officers that manage and/or have regular use of the safes.	Amber	This recommendation will be actioned by IMS via the master lists of safes available from the Corporation Insurance return. Strategic Development will supply the information to assist its implementation.	31 st March 2018

Audit	Recommendation Detail	Assurance Rating	Management Response	Agreed Implementation Date
Police Seized Goods 2017-18	All officers and staff using the Property Management System should be reminded via corporate communication of the requirement to ensure that property items are checked in and out accurately on the system and the current location of the property is recorded correctly.	Red	This recommendation is accepted and will be actioned in line with others linked to communications.	31 st March 2018
Police Seized Goods 2017-18	An audit of all property storage locations should be conducted to confirm the location of property items and the system should be updated with the correct property item locations as appropriate.	Red	This can only be completed if the resourcing within property is evaluated and the resources reviewed to increase capacity and allow an audit programme to be developed.	30 th June 2018
Police Seized Goods 2017-18	A policy should be implemented for the requirement to make a decision within a given time frame (e.g. 28 days) regarding the counting and banking of cash. All POCA cash that is to be banked must be deposited into an interest bearing account in line with legislation.	Amber	This is related to ECD POCA policy, the recommendation will be forwarded to ECD to review and update their document accordingly.	31 st March 2018

Audit	Recommendation Detail	Assurance Rating	Management Response	Agreed Implementation Date
Police Seized Goods 2017-18	Where cash is not to be counted and/or banked, an appropriate note should be added to the property management system to evidence the validity of not counting/banking.	Amber	This is related to ECD POCA policy, the recommendation will be forwarded to ECD to review and update their document accordingly.	31 st March 2018
Police Seized Goods 2017-18	There should be a secondary witness to all disposals and this should be clearly evidenced either through a signed receipt or recorded note on PMS.	Amber	This process exists, the Force will monitor compliance to ensure the correct steps are undertaken	Implemented on receiving the Final Report
Police Seized Goods 2017-18	A spot check of processed disposals should be conducted on a regular basis to confirm compliance with procedures and to identify any inappropriate disposals.	Amber	Implementing spot checks will ensure the process detailed in the above recommendation is completed.	31 st March 2018
Police Seized Goods 2017-18	All safes across the force retaining high value/risk property items should be audited on a monthly basis to reconcile the PMS records against the actual items retained.	Amber	There is a capacity issue within property to undertake this recommendation and currently there are not sufficient resources for this activity to take place	Risk accepted