



Report to: **Audit & Risk Assurance Committee**
Agenda item: **4**
Date: **31 May 2013**
Subject: **BTP Quarterly Update Report**
Sponsor: **Interim Director of Corporate Resources**
For: **Information**

1. PURPOSE OF PAPER

1.1 This report provides Audit & Risk Committee with an overview of significant developments across the Corporate Resources portfolio since the previous Audit Committee in March 2013.

2. YEAR END OUTTURN POSITION 2012/13

2.1 Outturn work has been completed and is close to budget and forecast. The Annual Report and Accounts have been completed and subject to NAO review and are presented at agenda item 7.1.

3. INTERNAL AUDIT

3.1 There are three outstanding recommendations from the 2011/12 audit year that are still being implemented. These relate to ICT asset controls, pension over/under payments, and TfL PSA.

3.1.1 ICT asset controls – a full laptop and mobile phone audit is now complete. New controls and processes are in place and working, but there are issues with the implementation of the new version of the ICCM Service Desk software. Further detail is provided in section 4 of this report.

3.1.2 Pension over/underpayments – significant progress has been made in resolving the pension over/under payments since the last Audit Committee. Further detail is provided in section 5 of this report.

3.1.3 TfL PSA – the TfL contract remains with the Department for Transport (DfT) Secretary of State for approval. Progress is being chased by the BTPA.

3.2 BTP's internal auditors completed the planned audit schedule for 2012/13, against which 78% of the recommendations have been implemented. Table 1 below shows a breakdown of the complete and outstanding recommendations from the 2012/13 audit schedule. BTP's full audit action plan for 2011/12 and 2012/13 is attached at Appendix A. Progress against the audit action plan is reviewed monthly at Integrity & Compliance Board (ICB) with the next review due on 10 June.

Table 1

Area of Review	Number of recommendations	Complete	Outstanding	Percentage Complete
Use of Consultants	4	4	0	100%
ICT Management Controls	9	4	5	44%
Area Compliance Checks – WW	8	8	0	100%
Area Compliance Checks – LS	2	2	0	100%
Promotions	4	3	1	75%
Capital Works Financial Monitoring	7	7	0	100%
Risk Management Controls Arrangements	4	4	0	100%
Half Year Management Assurance Return	5	5	0	100%
FHQ Compliance Checks – HR	2	2	0	100%
FHQ Compliance Checks – SDD	3	3	0	100%
Staff Recruitment	6	5	1	83%
Disaster Planning	2	0	2	0%
Creditor Payments	0	NA	NA	NA
Payroll	7	4	3	57%
Planned Maintenance	7	0	7	0%
Sourcing and Procurement	2	1	1	50%
Fleet - Repairs Monitoring	1	0	1	0%
Expenses	1	1	0	100%
Debtors Arrangements	1	0	1	0%
Management of Mobile Phones (Phase 1 and 2)	15	15	0	100%
eExpenses	10	10	0	100%
Total	100	78	22	78%

3.3 Discussions have taken place with the DfT lead auditor to ensure delivery against the outstanding recommendations is reviewed in 2013/14. The draft 2013/14 audit plan is due to be presented to Audit & Risk Committee by DfT under agenda item 11.

4. ASSET MANAGEMENT

- 4.1 Due to issues with service delivery and changes in project costs London Underground Area (L Area) has not yet commenced the trial of the new asset management system.
- 4.2 BTP's Head of Technology has met with ICCM's Managing Director to resolve the outstanding issues as well as additional issues resulting from other BTP/ICCM collaborative projects.
- 4.3 A one day workshop has been organised for 22 May between L Area and ICCM. The workshop will focus on an alternative approach to the One-Stop shop proposed. This includes starting the project on version 9.0 (removing the end of life issue in 2015) and including ways of using standard components from the e-Service Desk proposal to build the system faster instead of doing a fully bespoke build.
- 4.4 At present BTP are keen to develop the asset management system with ICCM as per the previously agreed specifications, but the performance and contractual issues with the supplier need to be resolved. The project team is currently building a system to utilise as an interim solution using an SQL server solution. The build time for this interim solution is around one month and should be complete by the end of June 2013.
- 4.5 Asset management is a standing item at ICB and progress will be assessed at the next meeting on 10 June.

5. PENSION OVER/UNDER PAYMENTS

- 5.1 Work continues on the recovery of pension under payments as part of the recovery plan. Most employees that have over or underpaid pension contributions have been advised and recovery has commenced. In summary, of the 866 employees originally affected, there are currently 92 outstanding awaiting a repayment plan. A summary can be seen in table 2 on the following page.



Table 2

	Total Due	Total Processed	Outstanding
Refunds	125	125	0
Under £42 owed to BTP	71	71	0
RPMI Adjustments	59	55	4
Under £500	519	443	69
Over £500	55	23	17
Leavers over £200	37	35	2
TOTAL	866	748	92

5.2 Employees owing £500 or more have been informed by HR advisors during personal meetings. Some employees (17) have requested the opportunity to consult with TSSA which has caused some delay in reaching agreement of their repayment plan but this work is ongoing.

5.3 Second letters to employees owing less than £500 who have not agreed a repayment plan are due to go out week commencing 27 May. The letters will inform employees who have not contacted payroll as requested in the first letter that, if they fail to contact payroll to agree a repayment plan, the organisation will automatically start deducting payments.

5.4 Whilst notification and individual meetings have been undertaken and the recovery of monies owed commenced, the timescales for recovery from each employee varies depending on the amount owed and individual financial circumstances.

6. FHQ ESTATE RATIONALISATION

6.1 The relocation of Corporate Resource departments to the third floor at Force Headquarters (FHQ) is complete, with HR, Corporate Services, Finance and Procurement, and the Interim Director of Corporate Resources now being located on the same floor.

6.2 The move of Corporate Resources to a single floor has freed up the second floor allowing for the occupation of Crime, Major Investigation Team and Professional



Standards Department. The refurbishment of this floor is currently underway and due for completion by 25 May.

- 6.3 The rationalisation of the FHQ building will result in the vacation of the premises in Camden Street. Discussions with the landlord of these premises continue in order to either release the estate back to the landlord for redevelopment or sublet the premises to realise savings of £350k in the MTFP for 2014/15 and £500k for 2015/16.

7. PENSIONS CONTRIBUTIONS DURING EMPLOYMENT BREAKS

- 7.1 A review of the Standard Operating Procedures that relate to pension contributions has been undertaken. A paper with recommendations was submitted to Force Executive Board on 8 May, who approved in principle the recommendation to cease making pension payments during an employment break. A paper seeking Audit & Risk Committee's agreement with this proposal on presented at agenda item 12.

8. HEALTH & SAFETY

- 8.1 Since Audit Committee in March, a new Force Health and Safety meeting structure has been created. The first Central Health and Safety meeting under this new structure, chaired by T/ACC Newton, took place in April and will meet on a quarterly basis going forward (the next meeting is scheduled for 4 June). A discussion on which BTPA committee would assume responsibility for reviewing health and safety matters on a quarterly basis took place at People & Standards Committee on 16 May. It was agreed the Annual Health & Safety Report should be considered by Audit & Risk Committee and the BTPA secretariat would confirm whether quarterly reporting on health and safety matters was provided to Audit & Risk or People & Standards going forward. Lew Adams was invited to attend future Central Health & Safety meetings.

9. INFORMATION TECHNOLOGY

- 9.1 Disaster Recovery
- 9.1.1 The second phase of the Disaster Recovery (DR) project commenced at the end of February 2013, after options 1 – 7 were approved by the BTPA in January. Progress of

delivery and spend of the DR project will now be reviewed by Finance Group as part of the quarterly project report. An update on the failover testing of the DR is presented at agenda item 6.5.

9.2 Local server back up arrangements

9.2.1 ICB continue to review local server backup arrangements across the BTP estate. The servers, spread across thirty one sites provide storage for all G and H drives, of which the business and staff store all personal and business documentation.

9.2.2 Current backup arrangements outside of FHQ and Birmingham are manual requiring the insertion of a media device every 24 hours to replicate data processed on the server. Previous inspections revealed poor consistency of backup arrangements across all sites, identifying a potential risk to business continuity.

9.2.3 Performance of local server backup across the Force has improved significantly, with BTP achieving 80% weekday backup compliance compared to 20% previously. Weekend backup compliance was significantly lower; this was supported with feedback from Areas regarding resource challenges at weekends to perform the process. In response to this the process for weekend backup has now been revised to improve performance across the Force. This will continue to be reviewed monthly at ICB.

9.2.4 The Deputy Chief Constable emailed Area Commanders reminding them of their responsibility regarding local server backup compliance and requested written assurance from by 6 June regarding their plan to achieve this. A monthly programme of audit inspections has now also been established. These plans and audit inspections will be reviewed by ICB on 10 June.

10. GOVERNANCE

10.1 Since its introduction in June 2012 ICB has made some significant changes to the governance culture and practice across BTP. These achievements include:

- Procurement Card Rationalisation – Following a robust review of cardholders, the number of procurement cards across the Force has reduced by 75% (364 cards in



July 2012 to 91 cards in April 2013). Additionally the process for authorising new procurement cards will now be managed centrally relinquishing the responsibility from Areas.

- Business Travel and Accommodation – better controls are now in place, including a reduction in the number of authorised approvers and bookers, and guidance that all bookings must be made through Capita. This guidance has seen travel and accommodation bookings made on procurement cards reduce by £170k. A new process, which includes a significantly reduced list of hotel accommodation, is currently being trialled within Corporate Resources, prior to force wide roll-out in June 2013.
- Retrospective Orders – a significant reduction (94%) in the number and amount of retrospective purchase orders (see table 3). Individuals are asked to provide a written account as to why processes were not followed and an escalation process has been implemented to combat non-compliance.

Table 3 (Retrospective purchase orders 2013 vs 2012).

Date	Amount (£)	Date	Amount (£)
January 2012	542,981	January 2013	15,132
February 2012	339,368	February 2013	4,008
March 2012	189,128	March 2013	41,393
Total	1,071,477	Total	60,533

- Mobile Phones – a rationalisation of mobile phones has taken place throughout BTP which led to a reduction in the number of devices BTP holds from 2,300 to 1,800. As a result a new contract has been signed which is projected to deliver savings of £250k over the life of the contract (two years). A new more robust mobile phone process is also being introduced.

- Covert Expenditure Controls – The Deputy Chief Constable has commissioned an external review of the internal controls for managing covert expenditure. The review, which will take place in June, will provide an assurance statement on the adequacy of controls and if appropriate any actions required to strengthen control. The results of the review will be presented to ICB.

11. STANDARD OPERATING POLICY (SOP) REVIEW PROJECT

- 11.1 Policy reviews are currently underway in Corporate Resources, Operations, Territorial Policing & Crime and the Deputy Chief Constable's portfolio. Each policy has been assigned an appropriate reviewer as well as a deadline for ensuring that it is: (1) still needed; (2) up to date; and (3) fit for purpose.
- 11.2 Although there are a few exceptions policy leads are confident that the majority of SOPs will have been reviewed and if necessary amended by the 31 July deadline. A full review of HR policy will not be completed by 31 July due to the impact of the HR restructure. That said, due to external drivers such as the Winsor Review, 12 high priority HR policies are currently being reviewed and will be updated by the end of July.
- 11.3 Other exceptions to the 31 July deadline include Information Management (which has committed to a September deadline) and those business areas (i.e. CCTV) where anticipated national developments will affect policy content.
- 11.4 Although the review is still ongoing there has already been significant progress. More than 40 policies have been identified as no longer needed and withdrawn from circulation. Similarly, several policies have been consolidated into single documents, thereby bringing all relevant information on a particular topic together in one place.
- 11.5 There has also been a redesign of the policy template – a response to feedback from policy authors that the previous template was too rigid and bureaucratic. The new template has been designed to make key information more prominent as well as give authors the choice of whether to present information as guidance or procedure
-



- 11.6 Progress has also been made on the development of a new “policy portal” (the portal is an online system for making the presentation of policy more interactive and user-friendly). A “mock up” of the portal has been tested in a series of workshops and will now be handed over to IT for implementation in time for the 31 July deadline.
- 11.7 A new policy has been drafted which outlines BTP’s policy framework, introduces a policy commissioning process and brings a corporate and consistent approach to the policy development process. The framework has been designed to limit the amount of policy that BTP produces as well as provide better support and guidance to those involved in its development.

12. RECOMMENDATION

- 12.1 Members are invited to note the update provided in this report.

TRIBAL ACTION PLAN 2011-12

Area of Review	Recommendation	Owner	Implementation Date	Management Responses / Progress Update	Latest Management Response	Date of Update	Implemented Yes/No	RAG Status
ICT	ICT Department to maintain a database of attractive and/or high value items and to carry out annual stock checks.	IS&BS - Head of IS&BS	25 November 2012	Work continues to cleanse the Laptops database but both laptop and mobile phones processes are now in and working. The next, and final step, is to implement a single asset database linked to the ICCM Service Desk system to record all high value IT assets and make it easier to manage them when incidents are raised against them. This work had been started last year but was suspended as key resources were pulled off to do more urgent projects. The work needs to be re-started once the new version of ICCM has been implemented towards the end of this month (February). Completion of this step will close this action but it will take a few months to achieve that given the size of the Force's project programme. However, I am happy that the controls are heading in the right direction now and have re-classified the action to AMBER.	Alan Shrimpton: An audit of both laptops and mobile phones has been completed. New controls and processes are in place and working but we are awaiting implementation of the new version of the ICCM Service Desk software in order to fully automate them. That is in the hands of our supplier at the moment, who have some performance difficulties (and process errors) with the new version of their software. Once the software is up and running we need to automate the new processes that have been agreed with Poonam Sharma. Revised completion date: 30/8/13	20/05/2013 Alan Shrimpton Head of IS&BS Transformation	NO	AMBER
Finance	A policy for effecting resolution of the over and under payments be agreed and implemented as soon as possible.	HR - Head of HR	01 February 2012	It is noted that the reconciliations have been completed, and a write off policy of the first £200 of all arrears has been agreed. All refunds to employees were paid in the March payroll. It is further noted that the project has now been handed over to Payroll to collect arrears. Currently letters to affected employees (and former employees) are being drafted and agreed. These will be dispatched after the Paralympics pay period. Update: Kerry McCafferty (02/11/12) There will be no action to recover under payments until January at the earliest. This is in light of the delay in BTPA agreeing the write off levels and the clash with the Pension plus 2 work. I will lead on this at a strategic level. T/ACC Newton and DCC Crother are aware. I have a meeting with Liz Pike on 13th Nov and a meeting to plan the recovery on 20th Nov with Finance, HRBC and Payroll. Communication with those affected will start to go out in January. The first set of recovery will start thereafter when recover plans are agreed with staff. Update (04/12/12): There will be no action to recover under payments until January at the earliest. This is in light of the delay in BTPA agreeing the write off levels and the clash with the Pension plus 2 work. I will lead on this at a strategic level. T/ACC Newton and DCC Crowther are aware. I met with Liz Pike and the BTPA will reconsider the write off levels if I submit a business case to her. In the meeting on 20th November with Payroll, HRBC and Finance we agreed they would refresh the affected cases and report back to me with a proposal to submit to the BTPA. This is due on 7 December.	Work continues on the recovery of pension under payments as part of the recovery plan. Most employees that have over and underpaid have been advised and recovery has commenced. In summary, of the 866 employees originally affected, there are currently 92 outstanding awaiting a repayment plan. Employees owing £500 or more have been informed by HR advisors during personal meetings. Many of these employees have requested the opportunity to speak to TSSA first which has caused some delay but this work is ongoing. Second letters to employees owing less than £500 who have not agreed a repayment plan are due to go out week commencing 27 May. The letters will inform employees who have not contacted payroll as requested in the first letter, that if they fail to contact payroll to agree a repayment plan, the organisation will automatically start deducting payments.	20/05/2013 Nichola Beech (Temporay Payroll Manager)	NO	AMBER
BTPA	The 'Mayor's 50' agreement be signed as soon as possible and no later than the date of the Mayoral elections.	BTPA - Finance Director	30 June 2012	The draft agreement was presented to the Police Authority in June 2012 and it currently sits with the BTPA for completion. Update (05/12/12): The latest position on this is that the contract is due to go to the TfL board in December for approval, once this is received DfT approval will be required. The delay has been in relation to insurance indemnity. (Vicky Tanner) Update: Approved by the TfL board and BTPA in December 2012. A paper is being prepared for agreement by the Secretary of State.	TfL contract remains with the DfT for Secretary of State for approval and is being chased on a regular basis.	29/04/13 Vicky Tanner BTPA	NO	RED

TRIBAL ACTION PLAN 2012-13

Ref	Priority	Area of Review	Findings	Recommendation	Owner	Implementation Date	Original Management Response	Past Updates	Latest Update	Date of Update	Implemented Yes/No	RAG Status	Date Signed off by I&C
CS/12-13/Fleet Repairs/1	3	Fleet - Repairs Monitoring Arrangements	The Fleet Team have practice notes to cover all requirements but these need converting into a policy and procedure document. This is currently being developed by the Fleet Manager and is going through the various approval processes. Once approved, the policy and SOP will be available via the Intranet to all officers and staff in BTP. The expectation is that these documents should be available from 1 April 2013.	The Fleet Manager should progress the Policy and Standard Operating Procedure for all BTP Fleet vehicles to be finalised and approved for general use by 1 April 2013.	CS - Vehicle Fleet Manager	01-Apr-13	The Fleet SOP is a work in progress. Once being agreed by the SDD Research and Policy Team it will be presented to Vehicle Board in March for agreement.	Management responses submitted on 12/02/13	The timescales for completion of the SOP have been amended and the delivery date has changed until mid July 2013. This is currently discussed with fleet manager who advised the revised timescales are to work within the SOP review project and not internal issues.	20/05/2013 Graham Tillet Vehicle Fleet Manager	NO	AMBER	
CS/12-13/Planned Maintenance/1	2	Planned Maintenance	The current SOP specifically deals with Maintenance Management Procedures in section 3.1. This procedure details the steps to be carried out in order to consistently maintain the BTP Estate to the standards set across the Department. It is clear that since 2008, when this SOP was adopted, that due mainly to restructures and reductions in staffing that the requirements of section 3.1 have not been achieved.	The Estates and Facilities Standard Operating Procedure be updated and developed to take account of the new specification and contract for the planned maintenance work. The procedures should also reflect current resourcing levels and be developed to reflect best practice in Estate Management. The revised SOP should be planned to be issued from 1 April 2013.	CS - Operations Manager	01-Oct-13	Agreed Currently making progress with Quick Guides to make current procedures more accessible to staff and as a temporary measure the existing SOP will be updated to reflect current practises & resource levels by April 2013. A full SOP review will be initiated once the new maintenance contract is implemented.	Management responses submitted on 30/01/13	All Quick Guides were initially reviewed and amended by Corporate Service in June 2012. A project group has been formed to produce a consistent format for templates for Quick Guides, SOPs etc. on 27.02.2013 a deadline was given for Corporate Services to review and reformat of all relevant documents for all Priority One SOPs and Quick Guides by 31.07.2013. The SOP referenced in the audit will be updated to reflect current practices and resource levels by 30.04.2013, with all other documentation updated to new working practices by 31.07.2013. A full SOP and Quick Guide review will be completed following the implementation of the new maintenance contract.	20/05/2013 Steve Langston CS Operations Manager	NO	GREEN	
CS/12-13/Planned Maintenance/2	3	Planned Maintenance	BTP properties are managed through the software system known as "Concept". This is a database of all the BTP properties and is at the heart of managing the current state of all property. However, no comprehensive stock condition survey has been undertaken of the BTP property portfolio. This should be addressed once the new contract and specification is drawn up for the planned maintenance contract. The new contractor appointed from 1 April 2013 will be expected to undertake stock condition surveys as part of the regular visits to properties as a necessary part of undertaking planned maintenance.	The new contract and specification, for the tender of the planned maintenance contract, to include the requirement for the contractor appointed to undertake stock condition surveys as an integral part of undertaking the planned maintenance work.	CS - Operations Manager	31-May-13	Agreed A full asset survey will commence in February with data transfer being completed to the Concept system by 31 May 2013. This survey is being carried out prior to the new Maintenance contract being introduced in order to give a full as possible picture of BTP's requirements & responsibilities in order to maximise the value of the new contract arrangements. Future surveys will be carried out by the successful contractor following award of the new Maintenance contract	Management responses submitted on 30/01/13	All 124 no asset surveys were have been completed The data is currently being checked by BTP's Statutory Compliance Manager and validated against known sites. Following the sense checks data will be amalgamated into one file, in preparation for a data load into Concept. This information will then be used to eliminate data gaps in Concept, following this the information will then be utilised to rebuild the list of legal and maintenance requirements, and the work is on track to be complete by the end of May as planned.	20/05/2013 Steve Langston CS Operations Manager	NO	GREEN	
CS/12-13/Planned Maintenance/3	3	Planned Maintenance	When new plant and/or equipment is installed into a property the manufacture of this plant and/or equipment will normally give at least a twelve-month guarantee or warranty. From a discussion with staff in the Estates team it would seem that warranties and guarantees for either work done on plant, machinery or equipment fitted do not seem to be centrally managed. This could give rise to works being requested and paid which might have been covered by an existing warranty or guarantee. It is suggested that warranties and guarantees are centrally managed and are identified and controlled within the Concept database	All Estate related warranties and guarantees are centrally managed and identified and controlled within the Concept database.	CS - Operations Manager	31-Oct-13	Agreed The concept system is not at the present time developed to accept data of this type, to this level of detail. Currently if a property has a major or minor refurbishment carried out, then a note is put against the premise in Concept to notify any staff raising a work order that there is a contractor warranty in place for a 12 month period. This is a manual process and not automated in any way. As a temporary measure a spreadsheet will be used to maintain the detailed asset warranties & this spreadsheet will be made available to other interested BTP parties in addition to following the above Concept process. Investigations into how the Concept system will be able to manage this data for the future will form part of the development work required following the award of the new maintenance contract and will form part of the implementation phase.	Management responses submitted on 30/01/13	As an interim measure, until the Concept system can be configured, a register will be designed to record information required by the Corporate Services Operations Department on warranties and guarantees. The register design and collection of existing data is due for completion on 31.05.2013 with a Go-Live date of 03.06.2013 for logging all new warranty and guarantee information. Annual reviews will be carried out to ensure information is correct and up to date, this will continue until Concept can be used to record this data.	20/05/2013 Steve Langston CS Operations Manager	NO	GREEN	
CS/12-13/Planned Maintenance/4	3	Planned Maintenance	The Estates Department have not determined the expected lifespan for each element of the property within the BTP asset register. For many items of equipment they will have a finite life and for some there lifespan may be affected by improved technology such as a boiler where a more efficient one could have a quick pay back based on using less energy to perform. The Department may therefore wish to consider obtaining lifespan data for equipment which has a limited life and may be affected by improvements in design and functionality such as a boiler. This data would then be recorded within "Concept" and would assist in determining whether to repair or replace a faulty item of equipment.	For those items of equipment with a limited life the Department should identify its lifespan and record this within the Concept database. Due regard should be had to the life of the equipment when determining whether to repair or replace.	CS - Operations Manager	31-Jun-2013	Agreed The proposed asset survey will provide existing & remaining life expectancy of assets & will enable data to be collated & analysis to provide an informed picture of BTP assets and life cycle values. However, due to the diverse nature of BTP premises & various internal & external repairing lease obligations; each asset set needs to be examined against the individual premise lease before a true & accurate picture can be produced of repairing responsibilities. To be completed by 31/05/13. Although the Concept system can manage & store the asset data collected it is not designed to provide & monitor life cycle costs. Therefore modelling of this information would need to be carried out via a separate software package. This software would need to be purchased following a needs assessment & allocation of, resources & funding. To be completed by 31/06/13.	Management responses submitted on 30/01/13	Following the data upload of the Asset Survey (scheduled for the end of May); it will be possible to report on the required information from the Concept system which can be used to track the repair obligations of the relevant lease as well as license obligations. Basic reporting can also then be utilised to provide maintenance regimes for repair and replacement programmes. However additional software will have to be purchased/developed or the Concept system updated in order to fully utilise this data and maximise life expectancy, this will also ensure efficient replacement programmes are developed on a full life cycle cost basis.	20/05/2013 Steve Langston CS Operations Manager	NO	GREEN	
CS/12-13/Planned Maintenance/5	3	Planned Maintenance	When BTP lets a contract it is a requirement of the contract that all contractors/suppliers have: o Adequate insurances o Are CRB security checked o Are compliant with Health and Safety, Environmental and Equality legislation. These checks are carried out when letting a contract however, it is important that at least annually the items are rechecked. The Department, which ultimately manages/administers the contract, should undertake these annual reviews and obtain evidence that the contractor/supplier is still compliant.	For all Estate managed contracts which have a term greater than one-year should have the ongoing contractual obligations of the contractor checked and evidence retained on file. The contractual obligations refer to insurances, CRB checks, health and safety, environment and equality legislation issues.	CS - Operations Manager	31-Oct-13	Agreed Currently if a contract expires all of the required information is requested & checked. However, there is no automation with in Concept to flag expiry of this information and notes are added manually to Concept to record this data. As a temporary measure a spreadsheet will be used to maintain the required information set as well as following the above Concept process. To be completed by 31/05/13. Investigations in to how the Concept system will be able to manage this data for the future will form part of the development work required following the award of the new maintenance contract and will form part of the implementation phase. To be completed by 31/06/13.	Management responses submitted on 30/01/13	Design and implementation work of the a Contractor Register is scheduled to start, this will hold all required information on contractors engaged by the Corporate Services Operations Department. The design and information gathering of existing data is due to be completed 31.05.2013 with a Go-Live date of 03.06.2013 for logging new contractor information using the register; annual reviews will be scheduled to ensure information is correct and up to date, this will continue until Concept can store this data.	20/05/2013 Steve Langston CS Operations Manager	NO	GREEN	

CS/12-13/Planned Maintenance/6	3	Planned Maintenance	When appointing contractors to undertake work on behalf of BTP the contractor should identify any potential conflicts of interest and these should be recorded in a "Register of Interests". It was confirmed through a discussion with staff in the Estates team that they were not aware that BTP contractors would be required to make declaration of interest. It is suggested that a register of interests is maintained for all contractors who undertake work for BTP.	A register of interests be maintained for all contractors who undertake work for the BTP. The requirement to declare any interests should be updated annually.	CS - Operations Manager	31-May-13	Agreed BTP through the tender process would require the contractor to identify any conflicts of interest, which may well result in the contractor being disqualified from tendering. BTP's terms and conditions contain a conflict of interest clause where it is the contractor's responsibility to ensure that no conflict of interest arises in connection with the contract and that BTP should be consulted if there is any uncertainty about whether any such conflict of interest may exist or arise. A register will be maintained for all contractors who undertake work for BTP & updated annually.	Management responses submitted on 30/01/13	A Contractor Register is to be designed and implementation to record information required for contractors engaged by the Corporate Services Operations Department, the purpose of the register is to protect BTP from Conflicts of Interest. The deadline for the design and collection of existing data is 31.05.2013 with a Go-Live date of 03.06.2013 for logging new contractors information using the register. Annual reviews will be carried out to ensure information remains accurate & up to date. This remains on track for a go live date of 03/06/2013	20/05/2013 Steve Langston CS Operations Manager	NO	GREEN	
CS/12-13/Planned Maintenance/7	3	Planned Maintenance	To verify that the contractor is undertaking works in accordance with best practice and laid down criteria for statutory or regulatory compliance a sample of work done should be examined. Whilst accepting that on-site staff/officers will be aware that the contractor is on site and working, they are unlikely to be appropriately qualified to confirm that any work has been done to approved standards. It is therefore suggested that a sample (say 5 - 10%) of work completed is examined and checked to confirm that it has been done correctly. This is particularly important as the items worked on by the contractor are all statutory/regulatory controlled items relating to gas, electricity, water, asbestos or similar.	BTP should examine work done on a sample basis (5-10%) to verify it is in accordance with best practice and conforms to any statutory/regulatory requirements.	CS - Operations Manager	31-Oct-13	Agreed It is the intention for the Corporate Service Operations team to develop permanent arrangements to ensure verification checks take place across all works carried out. Options are to be developed that allow suitable qualified personnel; either trained members of staff for general non-specialist jobs or where specialist knowledge and/or qualifications are required external arrangements will be introduced. To be completed by 31/06/13. Investigations in to how the Concept system will be able to manage this data for the future will form part of the development work required following the award of the new maintenance contract and will form part of the implementation phase. To be completed by 31/10/13.	Management responses submitted on 30/01/13	Collection & collation commenced 19.04.2013 concluding on 24.04.2013 for existing requirements; this also included requirements currently managed outside of the Corporate Services Operations Department i.e. by Areas or Health & Safety Advisors. There may also be additional requirements generated by Corporate departments such as Custody, CCTV or other specialist areas that may have with potential requirements that without further investigation are not fully visible or understood. Following this a desktop study (to be completed 28.06.2013) will take place that will aim to analyse the data received and form the basis of a gap analysis for potential allocation of internal resources. It will also look at the availability of providing external resources or alternative arrangements to conduct the required verification checks. The information gathered from the desktop study will also inform on base operating costs. The objective of these works is to produce a report with Operating models that offer solutions to the above requirements with Resource levels & base costs included market tendering.) Once the implications of the current (and potential) restrictions are known further analysis will be required.	20/05/2013 Steve Langston CS Operations Manager	NO	GREEN	
F&P/12-13/Debtors/1	3	Debtors Arrangements	Following the last review of the Debtors arrangements, which was carried out in March 2012, a recommendation was made to establish a formal credit control system within e-fins, which would include the development of an automated debtor's statement system to assist the Transaction Centre in credit control. Due to the problems with the upgrade of the e-fins system, this has not yet been completed, but is still planned.	The credit control system be finalised once the problems with E-Fins are resolved and fully operational, with documented processes for Transaction Centre staff to follow.	F&P - Financial Controller	01-May-13	The new PSA agreements will require periodic payments to be made by Direct Debit which will improve BTP's cash management and reduce the time spent on credit control. The vast majority of other debtors are collected within 30 days. Outstanding debtors are monitored using the aged debtor report, the few that are outstanding are contacted by telephone. A record of the conversation is recorded on powerpad and attached to the debtor record on efin including name of person contacted and telephone number. This has a more positive effect on payment than an automated letter. The automatic notifications for eFins are currently being developed and the letters are being created. This is due for completion by the end of April 2013.	Management responses submitted on 26/02/13	There are delays in securing a contractor working within F&P to finalise the live environment to allow the reminder letter programme within eFins which will generate reminder letters at pre-determined intervals for all outstanding invoices. To be launched in test environment first for testing, once contractor is in place	20/05/2013 John Gibson Transactions Team Leader	NO	AMBER	
F&P/12-13/Sourcing&Procurement/2	3	Sourcing and Procurement	BTP uses the Danwood Group Ltd to supply the multi functional devices (MFD) (printers/photocopiers) across the Force. This contract was initially set up to run from 1 September 2005 and has an expiry date of 28 February 2013. Each MFD has its own agreement and BTP now have several hundred MFDs scattered throughout its network. Work has started with regard to the retender of this service, although due to the short timeframe before the contract expires it is likely that an extension to the current arrangements will be required.	The retender of the MFD contract be progressed as soon as possible and any extension to the existing contract formally approved.	F&P - Strategic Procurement Manager	31-Aug-13	Agreed. The existing contract with Danwood Group Ltd based on agreed service and rental rates continues until 31 August 2013. A Procurement Strategy was signed on 12 November 2012 which agreed that the re-tender will be by a mini competition via the CPC Framework Agreement. It is planned that the new contract will be in place prior to the existing contract ending.	06/03/13 - Tony Foster - Implementation on programme, details as follows: - Print Audit presentations 29/30 Jan from interested CPC suppliers - Outcome: Konica Minolta to do Print Audit - Vetting Process (Feb) and finalising Print Audit details. - Print Audit starting (~ w/c 11 Mar, 6-8 wks) - Further competition process (incl. evaluation) (3-5 wks) - SIB approval - full business case, print management strategy and Contract Award - BTPA approval - full business case and Contract Award - Rollout of new MFDs, training and print management strategy (up to 6 months)	Implementation on programme, details as follows: - Konica Minolta conducting initial print audit to support tender specification (8 weeks) - Further competition process (incl. evaluation) to take place in June (3-5 wks) - SIB approval - full business case, print management strategy and Contract Award - estimated date contract to be in place is 28/06/13. - BTPA approval - full business case and Contract Award - Rollout of new MFDs, training and print management strategy (up to 6 months).	20/05/2013 Heath Waller CS Business Manager	NO	GREEN	
HR/12-13/Payroll/1	2	Payroll	The compliance review of payroll arrangements undertaken at the end of the 2011/12 audit plan year identified that the Force had developed a Payroll Procedure Manual, which was in draft format. A recommendation was made to finalise this document so as to minimise the risk of stated policies not being complied with. Management agreed to implement this recommendation by 31 May 2012.	A deadline be set for finalising the draft Payroll Procedures Manual.	HR - Payroll Manager	31-Mar-13	Agree. Deadline for Payroll procedure manuals has been set for 31/03/2013, although, working to complete this sooner if possible, subject to project commitments.	On target, now 70% complete. 7/3/2013 - Kerry McCafferty - Now about 85% complete.	The payroll Manual is 70% complete and was temporarily put it on hold until the pension reconciliations are finalised. Work is on track and will be fully completed by the end of May 2013.	20/05/2013 Richard Scragg	NO	AMBER	
HR/12-13/Payroll/5	2	Payroll	It was noted that for pension deductions there is a legacy issue with regard to their reconciliation. At the time of the audit some 600 discrepancies existed. It is suggested that the Force treat the reconciliation of the pension data as both urgent and important. All staff and officers should have their pension details examined and reconciled with the pension administrator and any discrepancies satisfactorily resolved.	The pension data for both staff and officers be verified and reconciled with the data held by the pension administrator and any discrepancies resolved in a timely manner.	HR - Payroll Manager	31-Mar-13	Agreed. A timetable has been compiled as follows Dec 2012 – records checking Jan – Mar 13 – Contacts to employees affected and adjustments made By 31/03/13 fully operational reconciliation and trained out process of RPS, BTP 2007 & 1970 schemes, in advance of payday	Work underway. On target for completion 31 March 2013. 7/3/2013 - Kerry McCafferty - Work is still on target.	The pension reconciliation work has now been completed, a live interface with RPMI is in place to change pensions data and discrepancies identified and a plan has been agreed by the BTPA to recover over and underpayments. This recommendation will be submitted to Integrity and Compliance Board on 10th June for sign off.	20/05/2013 Kerry McCafferty	NO	AMBER	
HR/12-13/Payroll/6	3	Payroll	At present there are three members of the payroll team who have administrator rights to the payroll system to provide day to day administration such as re setting passwords etc. One of these members of the team is due to leave at the end of November 2012. It is important that three people have administrator access to enable adequate coverage during times of annual leave and any sickness or other unexpected absence. In addition, the payroll team may wish to consider having an emergency password locked in a safe and accessible to either the HR Service Delivery Manager of the HR Business Manager.	The Payroll Team should as far as possible have three members of the team who have administrator rights to the iTrent system to facilitate adequate maintenance of the system. In addition, the team may wish to consider locking a password in a safe which can be accessed by the HR Service Delivery Manager of the HR Business Manager in case of an emergency.	HR - Payroll Manager	01-Dec-12	Agree. Upon Donna Grenfell's departure, a new Sys Admin logon will be created, and kept with the HR Business Centre Manager	Login has been created. Two staff have access. A third will be given access in February 2013 (when the staff member is recruited - the Payroll Manager, Team Leader and one Team Member will be the posts that will have access going forward). 7/3/2013 - Kerry McCafferty - Still awaiting team leader role for the third access, will add once in the role.	The payroll Team Leader is now in place from 06/05/2013 and this action will be submitted to Integrity and Compliance Board on 10th June for sign off.	20/05/2013 Kerry McCafferty	NO	RED	

HR/12-13/Recruitment/1	2	Staff Recruitment	There is a Recruitment and Retention Standard Operating Procedure (SOP) which was issued in May 2008. A new Resourcing SOP (to replace the Recruitment and Retention SOP) has been prepared in draft form dated July 2010 but has not yet been finalised. It should be noted that all SOPs at BTP are currently being reviewed so this revised Recruitment SOP will not be issued until this process has been completed.	The draft Recruitment and Retention Standard Operating Procedure should be finalised at the earliest opportunity.	HR - HRBC Resourcing Manager	31-Jan-13	Agreed The Recruitment SOP's will be redrafted to reflect the new SOP style when it is agreed by SDD. A revised SOP will also be needed to support the E recruitment process. E-recruitment is planned for implementation Jan 2013	Recruitment and Retention SOP currently being reviewed and amended. Update for Kerry McCafferty by 16th Jan/ Completion date 31st Jan. 08/02/13 and 07/03/13 - Kerry McCafferty - Draft SOP with the T/Head of HR for review before consultation.	Due to volume of work the T/Head of HR was delayed in reviewing the draft SOP. It has now been reviewed but more work is required. It needs substantial streamlining, with separate guidance documents replacing much of the SOP. This has been referred back to the Resourcing Manager in HRBC. They are currently on annual leave. A refined draft will be submitted to the Head of People and Development for the end of May 2013.	20/05/2013 Kerry McCafferty	NO	RED
IS&BS/12-13/DR/1	1	Disaster Planning	Following the implementation of the Birmingham DR centre testing was undertaken to ensure that systems could failover to the new centre. A documented test plan was used and tested the recovery arrangements as detailed within the recovery guidelines. The documented testing indicated that all tests were successful. This testing did not put the systems into a production environment and therefore was not a complete "live" DR test. It is anticipated that this type of test will be undertaken early 2013 and the Force will use the DR centre systems and services for a number of weeks before switching back to the Camden HQ centre. This will provide a "real world" test of the facilities. The process for the testing the Disaster Recovery arrangements needs to be fully planned and must include a back-out plan should the "live" test fail or incur unexpected issues.	Ensure a full documented Disaster Recovery test is performed to ensure data and systems can be restored as expected.	IS&BS - Head of IT	11-Feb-13	BTP are currently working towards a plan to implement a fully tested disaster recovery centre. There is currently an outline plan in place which is subject to third party suppliers. Engagement with the suppliers in this regard will take place between now and January 2013. Implementation of activities agreed with third parties will then commence. This implementation is subject to financial agreements. To achieve compliance we need to undertake works as set out in Appendix A. Sign off is required from internal stakeholders for the implementation of the plan and externally from third parties for time scales (BT/ NPIA/ Cable and Wireless/ Capita/Unisys/ MTI).	Following consultation with colleagues in Business Continuity and Ops Planning, and an explanation of the impact of running the Force on the DR system for the proposed period of 3 weeks (as this is, by definition, a DR capability for core systems only with limited service to some areas), it has been decided to defer this exercise until later in the year. This will allow time for completion of the Phase 2 DR activities (see below) and time to plan a proper DR rehearsal with full support from Ops Planning to ensure that the Force is not placed at risk whilst running the rehearsal. Precise dates t.b.a. depending on completion date for IS&BS/12-13/DR/2 below.	A paper has been submitted to the Audit and Risk committee on 31st May for a feedback on whether a full DR failover request is required. The recommendation is that a full Forcewide failover test is not completed and recommendations in the paper outline a proposed test of BTP Disaster Recovery capability.	20/05/2013 Alan Shrimpton Head of IS&BS Transformation	NO	RED
IS&BS/12-13/DR/2	2	Disaster Planning	The IT function has indicated that there are still outstanding issues to be resolved with the DR centre. There are a small number of servers that are not yet replicated at the Birmingham site and there is also an issue with the Birmingham CJX internet connection to provide an internet break-out point at the DR centre. Currently the DR centre uses the break-out point at the Camden HQ site but this may not be available during a DR scenario.	Ensure that all actions required to complete the DR centre are undertaken at the earliest opportunity.	IS&BS - Head of IT	11-Feb-13	As stated above the tasks for completion are as indicated in Appendix A. To achieve compliance we need to undertake works as set out in Appendix A. Sign off is required from internal stakeholders for the implementation of the plan and externally from third parties for time scales (BT/ NPIA/ Cable and Wireless/ Capita/Unisys/ MTI). The next milestone is a Project Validation Workshop on 28th November, aiming to put governance around the planned work streams. A reviewed plan will be published by Technology December 10th 2012.	Having reviewed the work to date on the DR project and the o/s work still to be done (because of needing external permissions to connect to CJX and systems that were being upgraded and therefore excluded from the initial DR set-up), it has been agreed to present the remaining work as a new Business Case to ensure visibility of the work streams. This revised business case will be presented to Finance Group and BTPA in January with a view to starting the work in February. 04/02/13 - Alan Shrimpton- The revised Business Case was presented to the BTPA Finance Group and the full BTPA meeting in January and approved by both. Work can now proceed to complete this project. Final completion is expected in April 2013. 05/03/13 - Alan Shrimpton - Project Manager has been appointed and work has commenced. Start date was delayed by three weeks because of urgent BAU support work (which required the same resources) but is no planned and on track.	The project is in progress. There have been issues with particular bits of software and equipment, which have been raised and dealt with, and the work continues. There are current issues with the creation of a DR capability for Exchange (due to the age of the current software) and a potential delay to PNC (because the current PNC system that we are trying to provide DR for needs updating urgently) but these are being managed. The critical second CJX link, ORIGIN DR and HOLMES DR are all on track. A detailed update on DR has been submitted to the Audit and Risk committee on 31/05/2013. Revised completion date: 31/5/13	20/05/2013 Alan Shrimpton Head of IS&BS Transformation	NO	RED
IS&BS/12-13/Management Controls/1	2	ICT Management Controls	The Head of Information Services and Business Support has documented an interim Information Services Strategy for the period 2010/11 to 2012/13. The Strategy makes assumptions on the business aims for this period in lieu of BTP's strategic plan (for 2011/12 to 2013/14). Given this, the Strategy should be reviewed to ensure actual business aims are being met. The review should also incorporate the requirements of the Government ICT Strategy and any DFT restrictions.	The Interim Information Services Strategy be reviewed to ensure any assumptions made in the existing document meet with actual business aims and the requirements of the Government ICT Strategy and DFT restrictions.	IS&BS - Head of IT	20-Mar-13	The existing strategy has been reviewed and still meets business aims and the requirements of the Government ICT Strategy and DFT restrictions. The IS Strategy refresh process has now commenced to create a new 3-year strategy to run from April 2013. Draft ICT strategy to be prepared by Feb 22 2013, with signoff by SCT to be achieved by 20 March 2013.	Drafting a new ICT Strategy is part of the brief for the Interim ICT Transformation Manager role as part of a full scale review of the ICT function working to a Terms of reference agreed with ACC Mark Newton. Progress on this item is not now expected until later in 2013 because of the pressure to sort out some of the immediate problems following the departure of the Head of IT and Chief Technology Officer, and because the Transformation Manager is now acting Head of Department as well. A revised date for this strategy will be published at the start of the new financial year. 4/2/13 - Alan Shrimpton - an initial strategy scoping workshop has been held and it has been agreed that a high level strategy document will be presented to FEB and other groups at the end of February. 5/3/13 - Alan Shrimpton - an outline ICT Strategy Timeline has been prepared and presented to a Strategic Away-day with senior officers. The main ICT Strategy Document has been started and has highlighted a very busy programme for the early part of the 5-year plan. Prioritisation will be required.	The strategy was presented to SCT Meeting on 8th May and approved. The head of ISBS Transformation will be presenting the plan to the BTPA Strategy Group in June for approval.	20/05/2013 Alan Shrimpton Head of IS&BS Transformation	NO	RED
IS&BS/12-13/Management Controls/2	1	ICT Management Controls	A new Disaster Recovery (DR) centre has been put in place in Birmingham but no full DR testing has yet taken place. It is understood that significant testing on the recovery of individual servers has taken place as part of the implementation of the DR centre. Full DR testing has been postponed owing to the 2012 Olympics and is expected to be undertaken at a later date. This should be undertaken as soon as reasonably possible.	Ensure a full documented Disaster Recovery test is performed to ensure data and systems can be restored as expected.	IS&BS - Head of IT	31-Oct-12	Fully documented failover and fallback to take place post-Olympics. Date of failover provisionally set for Oct 7, and fallback for Oct 21.	06/03/13 - Alan Shrimpton - See update for IS&BS/12-13/DR/1.	See update for IS&BS/12-13/DR/1.	20/05/2013 Alan Shrimpton Head of IS&BS Transformation	NO	RED

IS&BS/12-13/Management Controls/3	2	ICT Management Controls	The backup regime is currently not documented but a member of staff has been tasked with this.	The backup arrangements be documented to ensure the arrangements in place are adequate for recovery purposes.	IS&BS - Head of IT	30-Sep-12	The backup arrangements are fully operational and meet best practice. Documentation is being updated to reflect current practice.	05/12/12 - Stuart Cook - The draft arrangements are complete. A meeting is planned with the Force Contingency Planners WC 10/12/12 to review the plans. Once an agreement is reached, the plans will be signed off by the Head of IS&BS. This will be completed by end of December 2012, for reporting to Integrity and Compliance in January 2013.(Stuart Cook). 20/12/12 - Stuart Cook - Backup Policy & Procedure guide written, however DCC Crowther has requested a paper describing current risk factors and areas of exposure, with plans on how to address them in the interim until Data Centralisation is in place. (Stuart Cook) 04/02/13 - Stuart Cook- Risk paper has been written and presented to the DCC. Action plans follow. 05/03/13 - Alan Shrimpton - Risk paper accepted. ICB has asked for further manual controls to be developed for those sites that still do manual tape backups (AHCs) and these have now been put in place. IS have been charged with monitoring the controls until the Data Centralisation project has been completed. Monitoring is in place. Recommend we close this action.	The risk paper has been accepted. ICB has asked for further manual controls to be developed for those sites that still do manual tape backups (AHCs) and these have now been put in place. IS have been charged with monitoring the controls until the Data Centralisation project has been completed and all backups are centralised. Monitoring is in place. The Data Centralisation Project is now dependent on expanding the Force Backup Capacity and the Network Optimisation project (both included in the new ICT Strategy). Manual controls are currently being reviewed by ICB but sufficient control has not been achieved to date. The action will be reviewed monthly at ICB and when sufficient performance has been achieved this recommendation will be signed off as complete. The Data Centralisation project is not now expected to complete until the end of February 2014.	20/05/2013 Alan Shrimpton Head of IS&BS Transformation	NO	RED
IS&BS/12-13/Management Controls/6	2	ICT Management Controls	Laptops are configured for the use by two persons maximum and would have to be reconfigured to use by other staff. Laptops are signed out on "Syops" forms and a record is maintained. It is noted that on previous audits that some equipment proved difficult to locate such as mobile phones (which are also on the Syops forms) and therefore it is suggested that a sample check of mobile equipment be undertaken periodically.	Regular sample checks be undertaken to ensure equipment registers are accurately maintained.	IS&BS - Head of IT	31-Oct-12	Sample checks will be undertaken, commencing after the Olympic period. All Areas to produce lists of mobile phone and laptop assets, by named user, by 31 Oct 2012. All instances of mobile phones needing international dialling to be verified against business need, and removed where not specifically approved.	04/02/13 - Alan Shrimpton - Work continues to cleanse the Laptops database but both laptop and mobile phones processes are now in and working. The next, and final step, is to implement a single asset database linked to the ICCM Service Desk system to record all high value IT assets and make it easier to manage them when incidents are raised against them. This work had been started last year but was suspended as key resources were pulled off to do more urgent projects. The work needs to be re-started once the new version of ICCM has been implemented towards the end of this month (February). Completion of this step will close this action but it will take a few months to achieve that given the size of the Force's project programme. However, I am happy that the controls are heading in the right direction now and have re-classified the action to AMBER. 06/03/13 - Alan Shrimpton - Same as last update above.	New controls and processes are in place and working but we are awaiting implementation of the new version of the ICCM Service Desk software in order to fully automate them. That is in the hands of our supplier at the moment, who have some performance difficulties (and process errors) with the new version of their software. Once the software is up and running we need to automate the new processes that have been agreed with Poonam Sharma. Revised completion date: 30/8/13	20/05/2013 Alan Shrimpton Head of IS&BS Transformation	NO	RED
IS&BS/12-13/Management Controls/9	2	ICT Management Controls	In response to the Microsoft License audit, the IT function is currently preparing a report of all software installations across the corporate network using Microsoft's SCCM (System Centre Configuration Manager) to extrapolate the information electronically for all software vendors from connected machines. Once the report is complete it will be compared to the licenses recorded in the CMDB to ensure compliance has been maintained.	Ensure that a full license reconciliation is undertaken once the SCCM report has been completed.	IS&BS - Head of IT	30-Nov-12	The SCCM system has been configured to work across the new WAN and detect all machines on the network. An initial SCCM report was completed on 25 July, giving details of all desktops across the network, by Area, with operating system status (including Service Pack update status), make, model and serial number. This will allow us to begin the process of reconciling software licensing across the estate. To be completed by Ross Powell (IS&BS), by 30 Nov 2012.	This audit recommendation needs review and re-starting as the Config Management database is still being built at the moment and is not available to compare against any output from SCCM. All Microsoft licences were externally audited by a company called Phoenix earlier this year and that audit was successful. But a more detailed audit of all software licences will require more careful planning and completion of a CMDB. It is not achievable with the current resourcing levels and project demands. I would suggest re-scoping this work. 06/03/13 - Alan Shrimpton - Unchanged since last month due to lack of resources.	Still awaiting completion/implementation of the latest version of the ICCM Service Desk application (as noted above) in order to be able to develop a new Configuration Management Database but we have assigned the process design work to one of our Lean 6 Sigma trained PMs so work is underway. Once the software is up and running we need to implement the CMDB module and upload the data from the audit spread sheets. It should be noted, however, that full MS Enterprise Agreement licence true-up was conducted during March and an Established Licence Position is being developed for BTP by an independent company. Revised completion date: 30/8/13	20/05/2013 Alan Shrimpton Head of IS&BS Transformation	NO	RED
L&D/12-13/Promotions/OE10.2	OE	Promotions	Operational effectiveness matter	The use of IT (both hardware and software) to manage the promotions process should be assessed and a SOP produced which gives a clear understanding of how the system will be managed to allow for a structured expansion of the data held.	L&D - Head of L&D	31-Dec-12	A separate project is looking at better use of IT for recruitment processes this work-stream will include the promotion process. This work is part of the e-Recruitment project being led by the North East Business Partner. By 31/12/2012	It is acknowledged that a quick fix is unlikely as this action will require technical changes and investment. Once e-recruitment is delivered for volume recruitment campaigns a meeting will take place to assess the feasibility of using this system to manage promotion boards. 27/02/13 - Peter Ward - This is not a short term fix and will need to be reviewed once the e-recruitment project is bedded down.	Discussion is taking place between the supplier of our current eRecruitment system (WCN) to explore feasibility of developing a promotions system that integrates with the current recruitment system and what an estimated development cost would be.	20/05/2013 Dawn Buddell Leadership and Talent Manager	NO	RED