

Dorset Police and Devon & Cornwall Police Outstanding Recommendations Priority 1 & 2 Due for Implementation Prior to 30 June 2019							
Ref.	Description	Priority	Status	Target Date	Revised End Date	Assigned To	Management Responses
DPDCP Overtime Arrangements							
40919	Going forward, the Alliance should consider such options as: Introducing a requirement for positive authorisation where the claim exceeds a predetermined limit; and Introducing a system of dip sampling for higher value claims whereby Finance/Payroll teams seek to verify the validity and accuracy of claims.	2	Ongoing	31 May 19	31 Mar 20	Head of Finance	Ongoing
DPDCP Management and Implementation of Significant Recommendations							
40876	We recommend that the current process within Dorset Police for managing recommendations coordinated by the Corporate Development Office should be extended to include recommendations from all sources. A supporting policy and procedural documentation should be then be developed, which should be all encompassing, giving a clear operational process / flow for managing recommendations actions.	2	Outstanding	18 Feb 19	n/a	Head of Corporate Dev't	Update not provided
40877	We recommend that the process within Dorset Police currently in operation by the Corporate Development Office to manage the identification, action and timely implementation of recommendations, should be documented and agreed formally at Joint Executive Board.	2	Outstanding	18 Feb 19	n/a	Head of Corporate Dev't	Update not provided

DPDCP Pension Fund							
40873	We recommend the Payroll and Pensions Manager should confirm with the Pension Payroll Administrator (Kier) what exception reporting they complete to understand whether adequate exception reporting and investigation is completed by Kier and if necessary develop adequate local processes in order to gain assurance that the Police Pension Payroll is correct each month.	2	Ongoing	30 Jun 19	31 Aug 19	Payroll & Pensions Manager	Ongoing - XPS failed to respond to our request for examples of exception reports so this will be chased.
40874	We recommend the Alliance Payroll and Pensions Team should check new starters and their pension values to ensure that it is as expected. This could take the form of sample testing.	2	Ongoing	30 Jun 19	31 Aug 19	Payroll & Pensions Manager	Ongoing - XPS to provide their checking procedures. Payroll are unable to check this as they don't have access to pension records.
DPDCP Firearms Licensing							
39583	We recommend that an update of annual costs and benefits for the Alliance structure is produced in accordance with the requirements of the Detailed Business Case and the Benefits Realisation Strategy.	2	Ongoing	30 Apr 19	30 Jun 19	Firearms & Explosives Licensing Manager	A PIR is currently taking place and its outcome is expected at the end of June 2019.
39592	We recommend that the Firearms & Explosives Licensing Manager should mandate that the Firearms Enquiry Officers clearly date, initial and annotate when completing the record check fields.	2	Ongoing	30 Apr 19	Not given	Firearms & Explosives Licensing Manager	The form 57 has been reviewed and all intelligence checks are on the front page. This form has been created as an electronic version and is awaiting final sign off prior to implementation.

DP Termination Payments							
39012	We recommend that the Head of Strategy & Policy/ HR Operations produces/ expands Termination Payments Guidance to ensure that it meets all statutory and best practice guidance.	2	Outstanding	31 Dec 18	31 Oct 19	Head of HR Ops	This work has regrettably been delayed given competing demands (and the retirement of Dorset’s Head of HR Operations without replacement) but will now be prioritised following the restructure of the People function Senior Management Team.
39033	We recommend that the Payroll Manager reviews all payment and deduction (PD) types and produces an agreed list that includes the related statutory deductions, account codes and any other fields defined by the PD.	2	Ongoing	31 Dec 18	31 Jul 19	Payroll Manager	The PD work is ongoing, Maxine Whyte (Finance Manager) and I (Payroll Manager) are meeting in Bridport next month to finalise.
39072	We recommend that the Payroll Manager reviews both the tax query outstanding with Legal Services and the termination payment deduction error identified in order to ensure that all employer HMRC obligations have been met.	2	Outstanding	31 Dec 18	31 May 19	Payroll Manager	We are also working to gather all facts on the remaining tax queries, however we have a solid process in place to prevent any future errors. I feel that Legal will now send over the details.
39073	We recommend that the Head of Legal Services informs Finance of termination payments agreed and paid via Legal Services in order that accurate year-end accounts may be produced.	2	Outstanding	1 Nov 18	2 Jul 19	Senior Force Legal - Advisor Litigation	I have drafted a new form to be completed by my team when dealing with termination payments, this will be sent down to finance and provide the additional information sought by them to ensure that the payment is dealt with correctly and afforded the correct tax treatment.

							<p>This has been checked and approved by Michaela (Payroll Manager).</p> <p>I now need to roll this out to my team in addition to some updated training.</p>
DPDCP File & Property Tracking System							
39084	<p>I recommend that the Force Property Manager looks to employ technical support to:</p> <ul style="list-style-type: none"> i) address the weaknesses identified with FPTs, in particular where records of items of higher risk move on the system without instruction; ii) review historic records/data within the system and undertake a data cleanse to ensure that the data in the system is an accurate representation of property and records held; and iii) develop a mechanism to address the issues with access levels and security so that users can only view/edit what they are required to do so by their job role, including a mechanism for allowing Property Staff to view limited data for files entered by those with higher credentials to allow them to carry out their role. 	2	Ongoing	31 Dec 18	1 Apr 21	Alliance Evidential Property Manager	<p>A provider has now been agreed for replacement RMS system which will include all identified property functionality requirements. Evidential Property is confirmed as being delivered as part of the initial implementation and a business lead has been identified and is now working with the implementation team to plan configuration.</p>

Outstanding Priority 1 & 2 Recommendations – July 2019

APPENDIX C

39085	I recommend that the Force Property Manager ensures that when the decision is taken to implement a new system to replace FPTS, that the weaknesses identified within this report are fully considered so that any new system includes the required functionality to manage risk, ensure efficiencies and data integrity.	2	Ongoing	31 Dec 19	1 Apr 21	Alliance Evidential Property Manager	As above
DP Commissioning Arrangements							
38785	The Head of Alliance Audit, Insurance and Strategic Risk Management has agreed to ensure that the Corporate Governance Framework is updated to reflect current procurement legislation thresholds.	2	Ongoing	31 Mar 19	30 Sep 19	Head of Alliance Audit, Insurance & Strategic Risk Mgt	Following the decision not to merge Forces it has been necessary to re draft the Scheme of Governance to create two separate schemes for the respective Forces, this includes procurement arrangements. This work is continuing now with a meeting with the four CFO's planned for July 2019, to agree the final documents and changes and subsequent approval.
38770	The Chief Finance Officer has agreed to draft a Commissioning Strategy that is aligned to the Police & Crime Plan 2017-21 and subsequently published via the OPCC website.	2	Ongoing	30 Sep 18	Not given	DP OPCC CFO/ Comm'g Manager	The Commissioning Strategy is currently with the Senior Mgt Team for scrutiny. Once this has been scrutinised and approved it will be published on our website.
New EU Data Protection Regulations (GDPR)							
38261	<ul style="list-style-type: none"> The Head of Alliance Info Management should plan for activity to provide a framework of GDPR compliant policies which set the benchmark for the Force's commitment of GDPR principles to the public, the staff and all other stakeholders. 	2	Ongoing	31 Oct 18*	29 Jul 19	Head of Info Mgt	The DP Policy is now in the final stages of review (initially delayed due to higher priority ISAs). It now has a completion/ publication date of 29 Jul 19.

	<ul style="list-style-type: none"> • The Head of Alliance Information Management should consider any reviews already undertaken, to assess whether policies and guidance already drafted to enable data sharing with other stakeholders are compliant and if so, could be applied wider across the Force. • The Head of Alliance Information Management should identify all policies within the framework that require further endorsement by relevant boards within the governance arrangements. 						
--	---	--	--	--	--	--	--

**denotes target dates that have been amended previously and were 'revised' dates in the previous update.*