

Report to: Audit & Risk Assurance Committee
Agenda item: 5
Date: 30 May 2014
Subject: Authority Finance Issues - Quarterly Update
Sponsor: Authority Finance Director
For: Information

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1. Purpose of Paper

- 1.1 The purpose of this report is to inform the Audit and Risk Assurance Committee of significant developments within the Executive since the last Audit and Risk Committee meeting on 30 March 2014.

2. BTPA Statement of Accounts

- 2.1 The NAO have virtually completed their onsite audit procedures for the 2013/14 audit and are in the process of auditing the Statement of Accounts. We are expecting that the NOA will be offering an unqualified audit opinion.
- 2.2 The unaudited draft BTPA Statement of Accounts have been prepared and are presented as agenda item 7.

3. PSAs

- 3.1 All PSAs have now been signed and have paid the first instalment of the PSA charges.
- 3.2 Six PSAs holders have queried their PSA charges and there are on-going discussions with the PSA holders to explain their charges.
- 3.3 The draft EPSA with HS1 Limited has now been reviewed by the DfT legal team and sent to HS1 Limited. We are now waiting for the response from the HS1 legal team.
- 3.4 The Authority finance team has started the process of calculating the actual PSA charges for 2013/14.

4. Pension Issues

- 4.1 Discussions regarding the new pension strategy are ongoing. The Authority has been meeting with pensions advisors to research the potential terms for the new pension strategy.

5. Internal Audit

- 5.1 Five internal audits have taken place since the last Audit and Risk Assurance Committee meeting. The draft 2013/14 annual audit report and draft 2014/15 annual audit plan have been issued to the Authority. These are presented as agenda item 12.
- 5.2 The Management Assurance Return (MAR) for the three months to 31 March 2014 has been submitted to the DfT. This is presented as agenda item 14.

6. Gifts and Hospitality Register

- 6.1 In line with good governance in public bodies, a copy of the gifts and hospitality which have been received accepted or declined by Authority Members and Authority Executive staff has been prepared for oversight. Appendix A lists the full details for the Authority.
- 6.2 The Chief Executive has also reviewed the BTP Gifts and Hospitality Register with the Deputy Chief Constable which is attached at Appendix B. The train passes supplied by ATOC to the Chief Constable and Deputy Chief Constable will be declared annually in the BTP Gifts and Hospitality Register.
- 6.3 Members are asked to note the Gifts and Hospitality Registers.

7. Recommendations

- 7.1 Members are asked to note this report.

BTPA Gifts and Hospitality Register

Date of Event	Offered To	Additional/Other Recipients	Offered By	Brief Description of offer	Purpose of Offer	Estimated/actual value of gift/hospitality	Accepted / Declined / Returned
08/01/2014	Iggi Falcon	N/A	City of London Corporation	Community & Children's Services Committee Dinner	Networking	£50	Declined
12/02/2014	Millie Banerjee	N/A	Deloitte LLP	Deloitte Foundation Trust Dinner	Networking		Declined
13/02/2014	Millie Banerjee	Husband	Makbool Javaid - Simons Muirhead & Burton	Drinks and canapes followed by Performance of Twelve Angry Men	Networking		Accepted
01/04/2014	Millie Banerjee	N/A	Colonel Simon Browne OBE - The Army Engagement Team	Evening Reception and Briefing - Major General EA Smyth-Osbourne CBE late LG	Networking		Declined
08/04/2014	Stella Thomas	N/A	Arriva Train Wales	Buffet	Film Safety on Railways Competition Awards, Penarth Pier, Cardiff	£15	Accepted
13/06/2014	Dominic Booth	N/A	Angel Trains	Invite Aegon Tennis	Hospitality	£200 - £300	Accepted

CENTRAL GIFTS AND HOSPITALITY LOG
March & April 2014

AREA	RECIPIENT	POLICE NUMBER	DATE	DESCRIPTION OF GIFT/ HOSPITALITY	COMPANY/ ORGANISATION / INDIVIDUAL OFFERING GIFT/	EXPLANATION OF GIFT/ HOSPITALITY (WHY IS IT BEING OFFERED)	Estimated VALUE OF GIFT/ HOSPITALITY	ACCEPTED /DECLINED	APPROVED BY (MUST BE COMPLETED)	COMMENTS
SCT	Stephen Thomas	1463	21/01/2014	First Great Western Duty Travel Pass, expiry date 31 March 2014	Mark Hopwood, MD First Great Western	To support collaborative partnership working across First Great Western routes and C Division's Western and Wales Sub-Divisions by facilitating staff duty travel on First Great Western trains.	Unknown	ACCEPTED	Chief Constable	
SCT	Stephen Thomas	1463	28/01/2014	Whilst on leave and not part of BTP role or duties, a two day voluntary input to a follow up workshop held by the Portuguese Football Association in Lisbon to discuss their plans for the 2014 Champions League Final. All travel, accommodation and food cos	Portuguese Football Association	The event organisers invited Steve Thomas to participate in the workshop so they could access his expertise in organising European football finals	Unknown	ACCEPTED	Chief Constable	
SCT	Stephen Thomas	1463	29/01/2014	Police event	Capita Conference	Complimentary pass to attend the National Police Leaders Forum at the Park Plaza River Bank Hotel, London.	Unknown	DECLINED	Chief Constable	
SCT	Stephen Thomas	1463	31/03/2014	First Great Western Duty Travel Pass, expiry date 31 st March 2015.	Mark Hopwood, MD First Great Western	To support collaborative partnership working across First Great Western routes and C Division's Western and Wales Sub-Divisions by facilitating staff duty travel on First Great Western trains.	Unknown	ACCEPTED	Chief Constable	
SCT	Stephen Thomas	1463	02/04/2014	Drinks Reception at the Residence of the Ambassador of the USA.	USA Ambassador	To thank BTP for the facilitation of secure rail travel for the USA Ambassador and to establish future relationships.	Unknown	DECLINED	Chief Constable	
SCT	Stephen Thomas	1463	14/04/2014	Whilst on leave and not part of BTP role or duties, a two day voluntary input to a workshop (Part 1) held by the Portuguese Football Association in Lisbon to discuss their plans for the 2014 Champions League Final. All travel and accommodation paid for.	Portuguese Football Association.	The event organisers wish me to participate in their workshop so that they can access my expertise in organising European football finals	Unknown	ACCEPTED	Chief Constable	
SCT	Stephen Thomas	1463	24/04/2014	Whilst on leave and not part of my BTP role or duties, a one day voluntary match observation for the Portuguese Football Association to support discussions at the two part Workshop held on 14 th April and 1 st May 2014. All travel and accommodation paid for	Portuguese Football Association.	The event organiser have asked ACC Thomas to participate in their match observation so that they can access his expertise in organising European football finals.	Unknown	ACCEPTED	Chief Constable	
Force HQ	Theresa Ferguson	0277		Trek 7.2 Hybrid Bike	Landsheriff	Donated as part of the BTP JOGLE Fundraising event. For the BTP Joggle Raffle	£423.00	ACCEPTED	ACC Mark Newton	This bike is currently being raffled off and forms part of the overall fundraising bid for JOGLE.
Force HQ	Supt Simon Jones	1730	31/03/2014	Award Event Evening	O2 - Telefonica UK Ltd	Presentation of Operation Magnum award (£10k) and its donation to the Railway Children charity	Nominal	ACCEPTED	C/Supt Paul Brogden	
Force HQ	DCI Taylor	2012		Police Mug	Latvian Police	Conference	£0.00	ACCEPTED	Paul Shrubsole	
Force HQ	Julian Dixon	2639	07/03/2014	Gift of Tokyo Metro maps/brochures/pens and notebooks/Small Japanese ornament	Tokyo Metro	Visit arranged via Home Office of Tokyo 2020 Metro planners	£0.00	ACCEPTED	Mike Furness	
Force HQ	Julian Dixon	2639	07/03/2014	One small glass paperweight, set of Japanese chopsticks, one Tokyo 2020 tie pin	Tokyo 2020 government and police	Visit arranged via Home Office of Tokyo 2020 Metro planners	£0.00	ACCEPTED	Mike Furness	
B East	Insp Nicky MORGAN	0293	26/11/2013	Light Refreshments	Network Rail (Stratford)	Management Meeting	£8.00	ACCEPTED	DCI Dave Smith	

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B East	Insp Nicky MORGAN	0293	11/12/2013	One bottle of Red Wine	Greater Anglia (TOC)	Management Meeting	£0.00	ACCEPTED	DCI Dave Smith	
B East	PC Perrin	0500	12/03/2014	Box of Chocolates	From member of rail staff Ryan KENT First Great Western (Staff number 9568)	During train patrols officers had been talking to this member of rail staff on board the 2330 Swindon to Paddington Service and he insisted on giving us a box of chocolates. The offer was initially refused but it got to the point where it could have caused offence if refused.	Mr KENT said he had purchased them on special offer and paid £1.50	ACCEPTED	DCI Dave Smith	
B East	PC Paul GRAY	0620	10/01/2014	One small tin of cookies	Nicola TOOKE victim of crime ref: B03/000620/2014	Victim was appreciative of officers actions responding to her bike being stolen. Officers traced it to a legitimate seller who had brought the bike legally - protracted enquiries resulted in her getting it back.	£0.00	ACCEPTED	DCI Dave Smith	
B East	PC McDermott	1250	12/03/2014	Box of Chocolates	From member of rail staff Ryan KENT First Great Western (Staff number 9568)	During train patrols officers had been talking to this member of rail staff on board the 2330 Swindon to Paddington Service and he insisted on giving us a box of chocolates. The offer was initially refused but it got to the point where it could have caused offence if refused.	Mr KENT said he had purchased them on special offer and paid £1.50	ACCEPTED	DCI Dave Smith	
B East	PC Davies	1758	15/03/2014	Cheque	Mr C PARKER, 6 Cherry Tree Lane, NG12 4AL	On 28/2/14 Mr Parker, aged 88yrs, appeared to be lost and confused as his daughter had not arrived to collect him. The officers showed concern and compassion for Mr Parker and were able to locate his daughter after extensive enquiries over 2 hours.	£10.00	DECLINED	Declined by Insp Archer	
B East	PC EDWARDS	1897	15/03/2014	Cheque	Mr C PARKER, 6 Cherry Tree Lane, NG12 4AL	On 28/2/14 Mr Parker, aged 88yrs, appeared to be lost and confused as his daughter had not arrived to collect him. The officers showed concern and compassion for Mr Parker and were able to locate his daughter after extensive enquiries over 2 hours.	£10.00	DECLINED	Declined by Insp Archer	
B East	PC Kat ROSS	2273	19/02/2014	One bottle of Red Wine	Barnaby GALE	Mr GALE lost his suitcase on way to France. The officer instead of placing the suitcase in the LPO at Liverpool Street station made enquiries to trace Mr GALES relatives traced to the Ipswich area.	£8.00	ACCEPTED	DCI Dave Smith	
B East	PC McCutcheon	4748	23/03/2014	Box of Chocolates	Mr K Ratliff, 139 Rue Edith Cavell, 1180, Brussels.	Mr Ratliff believed that his bag had been stolen from a train between London and Reading. PC McCutcheon made extensive enquiries and located the bag at Bristol Lost Property Office. Mr Ratliff gave the chocolates as a thank you.	£5.00	ACCEPTED	Insp Archer	
B East	PCSO Bunker	5771	01/04/2012	Box of chocolates	Ms Christine ODADA	On 6/3/14 a supervisor of a charity collection team gave a box of chocolates by way of apology for the behaviour of a colleague who had behaved inappropriately towards PCSO BUNKER at Reading.	£3.50	ACCEPTED	Insp Archer	
B East	PS Bibby	7229	12/03/2014	Box of Chocolates	From member of rail staff Ryan KENT First Great Western (Staff number 9568)	During train patrols officers had been talking to this member of rail staff on board the 2330 Swindon to Paddington Service and he insisted on giving us a box of chocolates. The offer was initially refused but it got to the point where it could have caused offence if refused.	Mr KENT said he had purchased them on special offer and paid £1.50	ACCEPTED	DCI Dave Smith	
B - TFL	CI Jim Natrass	1546	31/03/2014	Award Event Evening	O2 - Telefonica UK Ltd	Presentation of Operation Magnum award (£10k) and its donation to the Railway Children charity	Nominal	ACCEPTED	C/Supt Paul Brogden	£10k award donated to the railway Children.
B - TFL	C/Supt Paul Brogden	2070	31/03/2014	Award Event Evening	O2 - Telefonica UK Ltd	Presentation of Operation Magnum award (£10k) and its donation to the Railway Children charity	Nominal	ACCEPTED	ACC Mark Newton	

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B - TFL	DC Martin Wilson	3906	31/03/2014	Award Event Evening	O2 - Telefonica UK Ltd	Presentation of Operation Magnum award (£10k) and its donation to the Railway Children charity	Nominal	ACCEPTED	C/Supt Paul Brogden	
B - TFL	Supt Matt Wratten	3923	31/03/2014	Award Event Evening	O2 - Telefonica UK Ltd	Presentation of Operation Magnum award (£10k) and its donation to the Railway Children charity	Nominal	ACCEPTED	C/Supt Paul Brogden	
B - TFL	Kelly Smale	8720	31/03/2014	Award Event Evening	O2 - Telefonica UK Ltd	Presentation of Operation Magnum award (£10k) and its donation to the Railway Children charity	Nominal	ACCEPTED	C/Supt Paul Brogden	
B - TFL	Ashley Auger	8754	31/03/2014	Award Event Evening	O2 - Telefonica UK Ltd	Presentation of Operation Magnum award (£10k) and its donation to the Railway Children charity	Nominal	ACCEPTED	C/Supt Paul Brogden	
B South	PC Emma Robinson	0324	08/05/2014	Bottle wine	Family Taylor	Family of deceased	£5.00	ACCEPTED	Andrew Rose	
C Pennines	Officers at Leeds Police Station		20/02/2014	2 x boxes of After Eights Mints	Disabled gentleman (no personal details left)	The gentleman is disabled and uses the station on a daily basis. The mints are for no officer in particular and he just wanted to say thank you for our presence and the job we do in general	£3.50	ACCEPTED	PS 1882 Jackson	
C Pennines	PC Gary Reader	0187	11/04/2014	1 x bottle of Kumala Cabernet wine	DS Tim Langley - South Yorkshire Police	PC 0187 recovered a sensitive item relating to a covert surveillance operation, which had been lost on board a train	£4.99	ACCEPTED	PS 3840 Roberts	
C Western	Shawn Taylor	4292	25/03/2014	second hand book	Mr Nigel Lydon	Thanks to officer for dealing with a complaint	£1.00	ACCEPTED	Paul Richards	
D Scotland	Ellie Bird	0702	27/03/2014	BestBar None (BBN) Awards	Mandy Haeburn-Little, Chief Executive of Scottish Business Resilience Centre	Awards held on 27.03.14 in the Radisson Blu Hotel in Glasgow. BTP involved with BBN in initiatives with licensed premises in reducing crime and ASB - ScotRail alcohol restrictions and Edinburgh Waverley Station	£50.00	ACCEPTED	A/DCC McCall	
D Scotland	Ellie Bird	0702	18/03/2014	Young Scot Awards	Organiser, Young Scot Awards	Awards held on 10.04.14 in Glasgow. BTP have worked with Young Scot as Rail Ambassadors and have recently been involved in a project, along with Network Rail, focussing on suicide prevention	£50.00	ACCEPTED	A/DCC McCall	
D Scotland	Sarah Forster	2543	09/03/2014	Box of chocolates	Mr & Mrs Gorrie	As a thank you for recovering items which had been left on a station platform	£7.00	ACCEPTED	T/Ch Supt McBride	
D Scotland	Stuart Livingstone	4098	09/03/2014	Box of chocolates	Mr & Mrs Gorrie	As a thank you for recovering items which had been left on a station platform	£7.00	ACCEPTED	T/Ch Supt McBride	