Department for Transport

Management Assurance mid-year statement for:

BTPA	British Transport Police Authority

Chief Executive : Andrew Figgures

Type of organisation: NDPB

Sponsoring Group : Domestic

This survey comprises, to be completed:
> one Head of Unit (Chief Executive, Director, Branch or Unit head) statement,
> five standard sheets,
> and one feedback form.
In addition there are associated guidance sheets.

Workflow control:	target date	actual date
GFCD issue document to Chief Executive	01/03/2011	01/03/2011
CEO completes the HoU statement		
CEO returns completed statement to GFCD (email)	21/04/2011	
Agency/NDPB Audit Committee review the document		
CEO confirms to GFCD that Audit Committee have reviewed and endorsed the document	28/04/2011	

To:

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Department for Transport

NDPB Chief Executive's management assurance statement for the year ended 31st March 2011

Name of organisation	**British Transport Police Authority**

Part A. I confirm that my business environment is as follows:

Type of business (Policy or Delivery)	**Delivery**
Number of permanent & temporary staff	**4807**
Latest annual permanent staff turnover %	**7.3%**

Has this NDPB had within the past 12 months	
> Significant audit opinions?	**Yes**
> A new finance system?	**No**

The nature of the main risks to this NDPB are:	**Both**
Does this NDPB sponsor agencies or NDPBs?	**No**
Does this NDPB manage grant regimes?	**No**
Is this NDPB required to complete monthly DfT/HM Treasury cash management returns?	**No**

Part B. I confirm that:

1. I have undertaken a review of the specific controls identified within the following pages as operating within this NDPB and given them an accurate and evidenced rating of effectiveness.

2. I have provided details of those controls not considered fully or substantially effective. I have identified the actions I have put in place to address these weaknesses.

3. The following significant internal control weaknesses, which exist within this NDPB, are highlighted for the NDPB Audit Committee to review. Further details are contained within this statement.

   Details of significant control issues (and steps being taken to manage these):
   Please enter "None" if this does not apply.

Signed: . . . . . .

Name: **Andrew Figgures**

Date: . . . . . .

Governance

Delegated Authority

	Substantial — Commentary plus reference to supporting doc.	Insert hyperlinks to documentary evidence
► This NDPB has made all necessary written financial delegations, as set out in the corporate governance framework.	The BTPA Scheme of Delegation has been agreed and has been included in the updated BTPA Governance document. The Scheme of delegation will be subject to annual review.	BTP A scheme of Delegation
► This NDPB has made all necessary written contractual delegations, as set out in the DfT Procurement Manual or the NDPB's procurement manual.	The written contractual delegations have been updated and revised to reflect the change in Accounting Officer and the appointment of an Additional Accounting Officer which took place in 2010/11. The updated governance document will be available to BTPA members on the BTPA website.	Copy when available
► Delegated responsibilities are appropriate to business needs, kept up to date on changes of staff, and have been reviewed at least once in the year.	A review has taken place during 2010/11 and the updated governance document was approved formally by the BTPA in January 2011. It will be reveiwed as part of the business cycle in May each year.	BTPA and BTP to clarify for each part
► Access to SAP/Sun and all other corporate systems is properly authorised.	BTP and BTPA share arrangements for the granting of access to IT systems. Administrative systems (accounting, HR etc) are subject to strict access control. Those systems within the policing environment are subject to significant security arrangements. However, the arrangements by which starters have their system access rights issued is by custom and practice, rather than being automatic or governed by a policy or SOP.	
► Rights to access to SAP/Sun and all other corporate systems are reviewed and updated when staff move, and are removed when staff leave.	Access to all BTP and BTPA systems is via a Windows log-on which is set up when people join BTP and disabled when they leave. This prevents access of BTP systems by people that have left the organisation. BTP's Technology Department implements all requests for updated access rights to systems on receipt. A SOP to govern the initial granting and removal of access to BTP's principle Windows based system is planned and will be developed between HR and Technology during 2011-12.	

Sponsorship Framework

	Select assurance level... — Commentary box	Insert hyperlinks to documentary evidence
► Not applicable, according to the HoU declaration (Part A).		
► Not applicable, according to the HoU declaration (Part A).		

Fraud and Ethical Policies

	Reasonable — Commentary plus reference to supporting doc.	Insert hyperlinks to documentary evidence
► This NDPB has assessed the risk of fraud in all its business operations and has taken appropriate action to mitigate risks where necessary.	Work is in progress to evaluate the risk of fraud across the whole of BTPand BTPA and will be completed by March 2012. The provisions of the Bribery Act have been incorporated into an updated Fraud policy. In addition, controls have been identified in a number of business areas to ensure propriety and limit the extent of Fraud. .	
► Staff in this NDPB are aware of the Department's or NDPB's fraud policy and procedures for reporting suspicions of fraud.	BTPA's policy is being updated to reflect the Bribery Act and has been presented to the Audit Committee. BTP's policy on the reporting of fraud is available to all staff via the Intranet and is supported by a poster campaign at all locations.	Policy and example poster
► Staff are aware of the Department's or NDPB's ethical policies and guidance on personal conduct contained in the Staff Handbook.	BTPA members sign a code of conduct with BTPA, as agreed with the DfT. BTPA new staff are inducted on joining and updates are brought to the attention of individual staff. BTP runs regular publicity campaigns about the requirement to maintain professional standards inside and outside work available to all staff via the Intranet and posters at all locations. In addition, all BTP contracts of employment include specific reference to matters of personal conduct for which acceptance is required as a condition of	Policy and example poster

Regularity and Propriety

	Substantial — Commentary plus reference to supporting doc.	Insert hyperlinks to documentary evidence
► Arrangements are in place to ensure that there is appropriate legislative or Treasury authority for expenditure incurred and activities undertaken by this NDPB.	The activity of the Authority and the BTP is set out in a framework document between the DfT and the BTPA. This sets out the specific roles and responsibilities of the DfT , the BTPA and the BTP. In doing so the BTPA complies with the general guidance documents issued by the Government, including Managing Public Money. The purpose as defined by the RTSA 2003 is summarised in the framework document between the DfT and the BTPA. The scheme of delegation specifically refers to the levels of authorisation required from the DfT. Specific examples are that the budget is approved by BTPA and by DfT as part of the normal budget process; significant expenditure outside of the approved budget is approved explicitly by BTPA and where required the DfT and BTP submits monthly CASSY returns to DfT showing financial performance.	Link to RTSA 2003
► Business is conducted in accordance with the standards expected by Parliament.	The business cycle is the means by which the Statutory duties of the BTPA are conducted. The NAO performed an independent review of governance andf the outcome was incorporated into the annual review of the business cycle in May 2011.	

Equality Duties

	Reasonable — Commentary plus reference to supporting doc.	Insert hyperlinks to documentary evidence
► This NDPB's policies/functions, including new proposals, have been screened for their impact on equality and Equality Impact Assessments (EqIAs) completed where required.	All BTPA policies are developed alongside their BTP equivalents and the processrequires that all policies (new and existing) are subject to their Equality Impact Assessment (EIA) process. This is undertaken as part of both the policy development and policy review processes. BTP also has processes in place to ensure that EIAs are undertaken in relation to the delivery of BTP Projects and as part of strategic decision making. Furthermore, Community Impact Assessments are routinely completed as part of operational policing activity	Policy Assessment Form Blank force level paper template, Blank Community Assessment Form
► All EqIAs have been signed off by a member of the senior management team.	BTP is in the process of reviewing and amending its EIA processes. This work is looking at enhancing, refining and embedding the processes, whilst building in any changes required in the new Public Sector Equality Duties (under Equality Analysis). The project will also look at improving the monitoring and governance procedures around EIAs and the sharing of the results of engagement, consultation and lessons learned.	Examples of documentation
► [Not applicable to NDPBs]		

Further comments on Governance

	Insert hyperlinks to documentary evidence

Strategy and Policy

Policy Development

	Select assurance level…	Commentary box	Insert hyperlinks to documentary evidence
► Not applicable, according to the HoU declaration (Part A).			
► Not applicable, according to the HoU declaration (Part A).			

Long Term Planning

	Full	Commentary plus reference to supporting doc.	Insert hyperlinks to documentary evidence
► This NDPB has in place effective mechanisms to support strategic and long term planning to meet long term departmental aims.		BTPA has long term objectives and works with BTP to produce the three year rolling Strategic Plan together with Annual Policing Plans, which is subject to detailed scrutiny by BTPA. There is a comprehensive planning framework, which is jointly owned by BTP and the BTPA and includes mechanisms for consulting with all Statutory consultees. The BTPA Strategy Group oversees the production of the Strategic Plan and also has responsibility for medium and long term planning. The BTPA also work closely with BTP in overseeing the production of the annual Policing Plan, in particular ensuring that any objectives and appropriate and reflect local and national policing priorities.	Strategic Plan process map, Strategic Plan, BTPA Strategy group minutes
► This NDPB has assessed the costs of its long term plans, and the associated risks.		A three year Medium Term Financial Plan is prepared and updated annually which includes detailed risk assessment . Because of links with the railway industry preliminary financial forecasts are prepared to link with its planning cycle (e.g. CP5).	MTFP to be updated Q4 2011.

Further comments on Strategy & Policy

	Insert hyperlinks to documentary evidence

Business Planning

Annual Budget

Substantial — *Commentary plus reference to supporting doc.* — Insert hyperlinks to documentary evidence

- This NDPB has in place adequate arrangements for identifying the resources, including headcount, necessary to achieve its business objectives.

The BTP's/BTPA's budget is based on incremental changes to the base budget to allow for budget pressures and changes in service levels or operational ways of working. In this way the budget requirement over each of the next four years of the Medium Term Financial Plan (MTFP) can be established. By comparing the budget requirement to the likely level of funding it is possible to identify the budget gap and this informs the savings target for the Force and Authority over the MTFP period. Savings proposals are developed by the Futures Team under the direction of the Deputy Chief Constable and once approved are applied to the budget to ensure that there is a balanced budget in year one of the MTFP and that the budget gap for futures years is known and can be managed effectively. Any new initiatives must be supported by a business case which will have undergone a number of stages of review and challenge and only once approved will be factored into the MTFP. Papers on the budget planning process are considered by the Force's Senior Command Team and the Authority throughout the year and the final revenue and capital budget is subject to formal approv

Risk Management Policies

Full — *Commentary plus reference to supporting doc.* — Insert hyperlinks to documentary evidence

- This NDPB's risk management arrangements are consistent with the Department's policy and procedures on risk management.

BTP and BTPA share a common risk management policy and terminology which is consistent with HM Treasury's Orange Book and other models of business risk management. The policy is supported by a set of Standard Operating Procedures which were widely consulted upon prior to publication. The BTPA risk register is shared with the DfT at bi-monthly sponsorship meetings.

Policy statement
SOP

- This NDPB's policies and procedures for managing risk have been reviewed for effectiveness. [Please state how the review was undertaken, by whom and whether a standard questionnaire was used.]

BTP and BTPA review the effectiveness of the published policy by peer review of BTP Departmental risks at Quarterly FMT meetings and by scrutiny of both BTP and BTPA Strategic Risk Registers at quarterly Audit Committee meetings. This allows best practice and options for improvement to be identified and communicated across the organisation.

Minutes of FMT
SOP
Audit Committee minutes

Risk Management

Full — *Commentary plus reference to supporting doc.* — Insert hyperlinks to documentary evidence

- Risks have been reported and escalated, where appropriate.

Risk is a standing item at management team meetings at several levels throughout BTP and BTPA which allow emergent risks to be identified and where appropriate, proposed for escalation to BTP level risk registers. The structure allows for escalation to work in both directions. The BTPA risk register is shared with the DfT at bi-monthly sponsorship meetings.

Risk register
Meeting minutes

- Progress in implementing agreed mitigating actions is regularly reviewed and updated accordingly.

Progress against actions identified to mitigate risk is included on risk registers and variation against estimated action completion dates questioned at risk review meetings

Risk register
Meeting minutes

Risk Identification

Substantial — *Commentary plus reference to supporting doc.* — Insert hyperlinks to documentary evidence

- This NDPB has identified and assessed risks to all its business objectives, in accordance with the Department's guidance.

BTP and BTPA assess the risks to their organisation as a whole rather than by individual business objective. Progress toward achieving business objectives is the subject of a detailed performance management culture.

SRR

- Risks are appropriately documented in risk registers and regularly reviewed.

BTPA holds a strategic and operational risk register, and this is reflected with BTP holding Operational risk registers from which a Startegic Risk Register is drawn. All registers are reviewed at least quarterly.

BTPA SRR
BTP SRR
BTP CRR
Operational RR

- Where appropriate, corporate risks have been identified and escalated.

Several risks have been initially identified as an operational risk within BTP and subsequently reported to BTPA as part of the Strategic Risk Register, although risks have been escalated from BTP to BTPA so far during 2011-12 the mechanisms are there to do so, Similarly, BTPA have the ability to escalate risks to DfT.

Minutes from LN review of register which identified risks for escalation

Risk Action Plan

Full — *Commentary plus reference to supporting doc.* — Insert hyperlinks to documentary evidence

- This NDPB has identified actions to mitigate key risks to business objectives, allocated them to owners and set implementation dates.

All risk register entries are required to have clearly identified risk owners with all actions required to include clear indication of who has responsibility for their completion including likely dates.

Risk registers

Business Continuity

Reasonable — *Commentary plus reference to supporting doc.* — Insert hyperlinks to documentary evidence

- This NDPB has in place an up-to-date Business Continuity Plan which follows the Department's guidance.

BTPA has a business continuity plan which includes provision for loss of premises and/or people. Plans are in place for BTPA to refresh their plan during the remainder of 2011-12 and align their Business Impact Analysis using the same format as BTP.
BTP have completed a process of validating their business continuity planning arrangements whilst seeking to align those arrangements with the Business Continuity Lifecycle and BS25999. A Business Continuity Management Programme is now in place to carry out a complete review of business continuity arrangements by April 2012.

BTP Policy and SOP for Business Continuity Management.
Report to BTPA on current BC state of readiness

- Where appropriate, emergency plans are in place, up to date and have valid contacts.

BTPA have emergency plans and all contact details are kept up to date.
The BTP Business Continuity Manager maintains an up to date, comprehensive database of plan owner details for all BTP Business Continuity plans, and which is verified on a regular basis and is a part of the Business Continuity Management Programme.

BTP Business Continuity Programme

IT Policy and Strategy

Substantial — *Commentary plus reference to supporting doc.* — Insert hyperlinks to documentary evidence

- This NDPB has identified its local IT needs, and its solutions are consistent with the Department's IT policies and IT strategy.

BTP and BTPA share a common IT Strategy which was created in 2010 to cover the period to 2013. In doing this, the local needs of the organisation were determined by consulting at the Area level, and the new strategy was created to meet both local and corporate needs. Where necessary, working practices (expressed as SOPs: Standard Operational Procedures) have been updated, to align with IT policies and strategy.

IT Strategy

Record Management

Substantial — *Commentary plus reference to supporting doc.* — Insert hyperlinks to documentary evidence

► Approved File Plans have been reviewed and necessary changes/ restructuring have been made to meet business needs and DfT's Records Management Policy.	BTPA stores its records in a file structure which meets BTPA's requirements in line with BTPA Records Management Policy. The DfT Records Management piolicy is not considered applicable to BTP as the majority of BTP records are of police information, the requirements for the management of which are significantly different.	
► Records added to your approved file plans are a complete account of decisions and actions over the past year; only Confidential and above records are held outside the electronic file plans (for those not on GSi this could also include restricted records).	BTPA maintains a comprehensive set of records including decision made and actions agreed at BTPA meetings.	

Information Assurance

	Substantial	***Commentary plus reference to supporting doc.***	Insert hyperlinks to documentary evidence
► The latest self assessment statements prepared by information asset owners for DfT SIRO have been reviewed and I agree with assessments provided.	BTPA report to the DfT on information management assurance and risk on a quarterly and annual basis, and have done since January 2009. BTP Information Risk Returns are not returned to the DfT SIRO but are instead reported to ACPO/NPIA. This requirement has been in place since June 2011.		

Security

Security risks are managed effectively, collectively and proportionately, to achieve a secure and confident working environment.	Memorandum - question very likely to be included in the next survey (mid-year 2011-12)	

Further comments on Business Planning

Insert hyperlinks to documentary evidence

Continuation from Annual Budgfet Planning truncated by cell limits: Following the Authority's approval a formal delegation letter is issued by the Chief Constable to all budget holders setting out the amount of budget which has been delegated and the rules by which the budget must be managed in year	

Delivery

Succession Planning

	Substantial	Commentary plus reference to supporting doc.	Insert hyperlinks to documentary evidence
► This NDPB has in place arrangements for succession planning.		BTPA has succession plans in place for Members of the Authority and arrangements for the work of the Executive to be continued in the case of the loss of personnel are in place. Within BTP, the rank structure for police officers acts as a succession planning tool in its own right as the skill levels for police officers are generic and transferable between roles. Operational skills are always maintained to enable effective operational deployment and resilience. Promotion boards are held on a regular basis to ensure that leadership skills are refreshed. These arrangements offer more flexibility than a formal succession plan. The Police Officer rank structure provides for a development pathway. This is supported by qualification exams at specific ranks and by clear guidance on Higher Grade Duties.	
► These arrangements are reviewed and kept up to date.		BTPA regularly reviews the adequacy of its Succession Plans, this includes review of the level of Remuneration for members of BTPA and BTP's SCT at remuneration panels.	Remuneration Panel Terms of Reference

Procurement and Contract Management

	Substantial	Commentary plus reference to supporting doc.	Insert hyperlinks to documentary evidence
► This NDPB's procurements have been made in accordance with departmental policies and procedures.		The BTP Procurement Policy is the BTPA Procurement Framework and Regulations Annex 2 which is reviewed annually through the Audit Committee with the current version being issue 3. The Policy also supports the BTPA Corporate Governance Code (Reviewed May 2011). There are a number of Procurement Procedures which are reviewed annually ranging from EU legislative compliance requirements to the issue, receipt, evaluation of tenders and award, aligning with the principals of Dft. e.g. use of Government Procurement Card to purchase low value requirements. A monthly list of instances where BTP or BTPA staff do not comply with Procurement procedures is sent to the Director of Finance and Corporate Services (BTP) or the Finance Director to the BTPA for monthly Budget Review meetings with Budget Holders.	Relevant Annex
► Contracts are managed in accordance with the guidance issued by DfT Procurement Directorate or this NDPB's procurement division.		Contract Management is covered in the BTPA Procurement Framework and Regulations Annex 2, the Contract Management Procurement Procedure (Issue 8 - 1 January 2011 which is reviewed annually) and the Chief Constable's 2011/12 Budget Delegation and Responsibilities.	Annex and Procedural Note

Human Resources

	Substantial	Commentary plus reference to supporting doc.	Insert hyperlinks to documentary evidence
► Staff performance management and objective setting is undertaken in line with the guidance issued by HR.		BTPA and BTP both use Performance Development Review (PDR) processes to manage the performance of staff in line with respective HR policies although the requirements differ. This is because the Member and Executive roles within BTPA have no direct corollary within BTP. All 100% of BTPA PDRs have been completed. Within BTP, PDR completion for the 2010-11 performance year was 88% of PDRs returned to HR.	Policy
► Adequate arrangements are in place to ensure that development needs are identified and that the NDPB has the relevant skills to deliver its objectives and targets.		Both BTP and BTPA use PDR processes to identify training needs and review options for delivering the skill set required for both organisations to achieve objectives and targets. Within BTP, this includes consideration of mandatory training for poice officers at the Force Training Board.	

Programme and Project Management

	Substantial	Commentary plus reference to supporting doc.	Insert hyperlinks to documentary evidence
► Programmes and projects are managed in accordance with the Department's procedures.		BTPA Projects are managed via BTPA and Strategy Group meetings, with most lower level projects being managed on a daily basis by BTP. The Performance Review Group also reviews the progress ona quarterly basis and escalates any issues to the full BTPA meeting. BTP has a Project methodology by which Force-level projects within BTP are managed through monthly Programme Boards chaired by the Deputy Chief Constable and attended by the Finance Director to BTPA. The Programme Board has the authority to move funds, within an authorisation limit set by BTPA, to support projects as and when required and to commission project audits, end of project reviews and post implementation reviews. In addition, Programme Board has the authority to commission projects.	Programme Board Minutes
► Adequate arrangements are in place to monitor progress and manage risks to successful delivery.		Although BTPA level and BTP level projects are managed via two independent processes. There is scope to escalate risks to significant BTP projects to BTPA via the Chief Constable's update to BTPA meetings. The methodology sets out reporting requirements for progress and risk reporting. For force-level meetings, updates are provided by the Project Manager and verified by the single point of contact within Portfolio Support for each project. The single points of contact provide governance and assurance to Programme Board in relation to the Project Manager updates. Each force level project is reviewed at Programme Board and project managers are invited to attend if further information is required.	Example Risk Log
► Post implementation reviews have been carried out on all programmes or projects completed during the year.		Any project outcomes by the BTPA would require an end of Project report. Within BTP, post implementation reviews are undertaken on projects at the request of Programme Board or other members of the Senior Command Team.	

Investment Appraisal

	Full	Commentary plus reference to supporting doc.	Insert hyperlinks to documentary evidence
► As part of the approval process, proposed investments are subject to formal scrutiny in accordance with the Department's or NDPB's investment appraisal framework.		BTPA agrees the Departmental Expenditure Limit cover for Capital Expenditure each year. The BTP Capital Programme is approved by a full meeting of the BTPA each year, and is subject to quarterly review at BTPA Finance Group meetings. The scheme of delegation sets out the authority required for all projects and actions required if a project is overspent. According to the DfT Investment Appraisal Framework, all BTP/A projects are tier 3.	BTPA Finance Group meetings

Financial Controls

	Substantial	Commentary plus reference to supporting doc.	Insert hyperlinks to documentary evidence
► Procedures to record expenditure accurately, forecast future spending, update profiles and manage budgets are in place and complied with.		Financial control procedures, including period by period detailed monitoring, are in place and compliance is routinely checked. A full programme of internal audit supports this.	Process to pay flow charts
► This NDPB follows departmental standards for purchase to pay processes.		BTP's purchase to pay processes are currently being reviewed to ensure processes are accurate, easy to use and cost effective.	Action plan when available

► Assets and liabilities have been identified, assigned to asset or risk managers, valued, assessed for risk, and reported to Central Finance, as appropriate.	Assets and Liabilities are identified according to the Accounting Standard, IFRS and are subject to audit. The asset register is maintained in detail and is verified on an annual basis. Inventory arrangements have been the subject of an internal audit report the recommendations of which are being implemented. Liabilities are assigned to risk owners, including the Legal Services and Corporate Risk Teams. How liabilities are reported to Central Finance is under review following a restructure.	Asset Register and Interim Audit Report.
► All appropriate steps have been taken to manage down current and contingent liabilities.	The disputes arising from the Judicial Review have now been settled. The resultant funding gap is being managed in a controlled way and is the subject of a formal agreement with the DfT. Other liabilities, such as the police officer pensions deficit, employment tribunals and claims against the Force are managed to ensure the financial impact is minimised.	Aged debtor listing Police Officer Pension Valuation Statement
► Staff with financial responsibilities have the necessary knowledge and skills.	BTPA and BTP have fully qualified CCAB accountants in key posts and a number of part qualified accountants and accounting technicians in appropriate roles within the Finance Department. This includes Area Finance Managers embedded within Area Management Teams. In addition, part of the responsibilities of Management Accountants and Area Finance Managers is to help budget holders manage their budget through the year. BTP complies with HM Treasury requirements to submit an annual return detailing numbers of Finance staff and their qualifications.	Annual return to HM Treasury re Finance staff qualifications
► Not applicable, according to the HoU declaration (Part A).		
► Procedures to avoid over commitment and entering into contingent liabilities without proper authority are in place and complied with.	Where approriate, all such matters are subject to review by BTPA's Senior Management Team or BTP's Strategic Command Team.	

Grant Management

	Select assurance level…	Commentary box	Insert hyperlinks to documentary evidence
► Not applicable, according to the HoU declaration (Part A).			
► Not applicable, according to the HoU declaration (Part A).			

Use of IT

	Substantial	Commentary plus reference to supporting doc.	Insert hyperlinks to documentary evidence
► My staff are aware of, and comply with, the Department's or NDPB's policies on the appropriate use of IT.		BTP and BTPA share a common policy on the use of IT with staff generally aware of, and comply with, the organisation's policies on the appropriate use of IT. There are clear SOPs (Standards Operational Procedures) in place, all staff confirm their understanding and compliance each time they log on, and the Professional Standards Department monitor compliance.	SOP and screen log on
► Necessary plans to mitigate technical obsolescence are in place/under preparation.		A new IT Strategy was created in Summer 2010. This maps out the future plans for the development of ICT in the organisation over the period to 2013. A costed, annual delivery plan to support this strategy was also created at this time, and approved by the business, and this ensures that technological obsolescence is fully covered.	Strategy

Health & Safety

	Substantial	Commentary plus reference to supporting doc.	Insert hyperlinks to documentary evidence
► This NDPB has met its responsibilities for Health and Safety risk assessments and other key actions.		BTPA has a Health and Safety Policy and an action plan that it monitors through the year. BTP continues to meet the need for assessing and recording specific risks within the legal requirements of the relevant Acts and legislation. The BTP H&S intranet site includes access (including for BTPA personnel) to all generic assessments. Local intranet sites include generic and specific risk assessments for their own working areas. These include football, COSHH and other operational requirements.	Health and Safety Intranet screenshot Blank H&S Assessmeent
► Adequate processes to identify, report and investigate Health and Safety incidents are in place and complied with.		BTP and BTPA have identified processes for the recording and investigating of all accidents and incidents. All accidents and incidents are reported to a central location and allocated on an area basis to local H&S Advisors. The advisors ensure that managers comply with the SOP in investigating and reporting on all RIDDOR reportable accidents. Documentation is held centrally in electronic format and information on compliance is advised to the Central Health and Safety Committee.	CHSC Minutes
► Relevant staff, as identified in the H&S risk assessment, have received the required Health and Safety training.		BTPA include Health and Safety training for all staff on appointment and have access to E-learning. BTPA has nominated staff with responsibility for Health and Safety, Fire Marshall and First Aid duties in line with statutory requirements. Within BTP, Health and safety training can be identified within 3 categories; Police Officers, receive mandatory training in first aid, track safety and officer protection.Additionally they are required to complete the e-learning package on specific H&S courses. Police Staff, required to complete the e-learning package on specific H&S courses. Fire Warden training and first aid at work are completed by those nominated within the workplace. H&S specialist receive additional training to maintain knowledge and expertise when required as identified through PDR and training needs analysis. To ensure compliance with the e-learning packages much more robust interventions by senior managers has been adopted. This has resulted in increases in completion pushing BTP to over 80% overall. Best practice has been identified and those areas with better success rates are being encouraged to share their experiences and methodologies with oth	

Communications

	Substantial	Commentary plus reference to supporting doc.	Insert hyperlinks to documentary evidence
► All external communications are made in line with the Department's or NDPB's standards and processes.		**Both BTPA and BTP have produced guidance on Corporate Identity and Communications guidelines which provide document templates and corporate stationery for all BTPA and BTP employees via the Intranet.** **Description to be widened.**	Copy of guidelines

Further comments on Delivery

	Insert hyperlinks to documentary evidence

Performance Monitoring

Fraud Monitoring

Full	*Commentary plus reference to supporting doc.*	Insert hyperlinks to documentary evidence
► All instances of identified or suspected fraud are reported in accordance with the Department's or NDPB's fraud management policy.	BTPA have a policy which sets out how suspicions of fraud or wrongdoing can be reported to the DfT. Any fraud that is identifeid and investigated will be scrutinised through the Audit Committee. As a police force, BTP is required to have arrangements that allow the identification, investigation and reporting of fraud, including by its employees. These are brought together within the Professional Standards Department and BTP has a code of Professional Standards and misconduct Policies for both police officers and staff. In addition, BTPA holds a quarterly Professional Standards board which reviews the progress of current investigations.	Professional Standards policy and Professional standards Board agenda

Achievement of Business Objectives

Full	*Commentary plus reference to supporting doc.*	Insert hyperlinks to documentary evidence
► Performance in achieving business objectives, targets and milestones has been assessed and remedial action taken, where appropriate.	BTPA reviews progress against business objectives via its SMT meeting and shares with BTP, a rigorous and robust approach to managing performance. BTPA uses a strategic dashboard to inform Members of key issues and significant themes. Within BTP, this is spearheaded by the monthly Force Management Team meeting, at which a comprehensive performance review is undertaken. This review includes not only performance against Policing Plan targets, but also a variety of other key areas of performance, both operational and organisational. The BTPA also scrutinises BTP's performance, primarily through its Performance Review Group meeting, but also through the full BTPA meeting.	FMT Part 1 minutes, BTPA Performance Review Group agendas and minutes.

Financial Performance Management

Full	*Commentary plus reference to supporting doc.*	Insert hyperlinks to documentary evidence
► Performance in achieving financial targets has been assessed and remedial action taken where appropriate.	BTPA and BTP use 4 week accounting periods. For each accounting period detailed (separate) reviews take place with all senior budget holders with a summary of BTP and BTPA accounts reported for scrutiny by BTPA's Finance Group with findings reported in turn tro the full BTPA meeting each quarter. Remedial action where under or over spends are forecast is taken at Strategic Command level.	Programme Board and Finance Group Papers

Implementation of Audit Recommendations

Substantial	*Commentary plus reference to supporting doc.*	Insert hyperlinks to documentary evidence
► Appropriate and prompt action has been taken on all agreed recommendations resulting from either internal (Audit and Risk Assurance Division) or external (National Audit Office) audits.	Audit recommendations are responded to promptly and monitored at Audit Committee. Any significant recommendations are the subject to scrutiny at Strategic Command level.	Audit Committee Papers

Agency Performance Management

Select assurance level…	*Commentary box*	Insert hyperlinks to documentary evidence
► Not applicable, according to the HoU declaration (Part A).		

Further comments on Performance Monitoring

	Insert hyperlinks to documentary evidence