

**Report to:** Audit & Risk Assurance Committee  
**Agenda item:** 4  
**Date:** 5 December 2013  
**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 Committee in September 2013.

## 2. Annual Accounts

- 2.1 The BTP six-monthly Consolidation Pack was submitted to DfT on the 8 November and was approved by the Authority Finance Director.
- 2.2 We are still waiting to receive the revised Management Assurance Return (MAR) for the nine months to December 2013. At present we have not received any indication as to when we can expect the revised template for submission.

## 3. PSAs

- 3.1 Since the last meeting there is still one core PSA holder who has not signed the core 2013 PSA. Payments are being received by BACs and we are liaising with DfT concerning this on-going issue.
- 3.2 Devon and Cornwall Railways Ltd, who are a small freight operating company, have recently signed a PSA. They will be invoiced their full charge for 2013/14 shortly.
- 3.3 The TfL PSA agreement is yet to be signed. Work is continuing with TfL, Weightmans, DfT and the Authority. Progress has been made on the insurance issue.

## 4. Budget 2013/14

- 4.1 The DAC approval process continues. The Authority are still experiencing delays between submission and receiving approvals.

- 4.2 The MTFP was presented and discussed at the Finance Committee on the 22 November along with the proposed Authority budget for 2014/15. Both of these will be presented to the December Authority meeting for approval prior to the detailed 2014/15 budget being scrutinised by the January 2014 Finance Committee.

## **5. Pension Issues**

- 5.1 The proposed new pension strategy for the police officer scheme is due to be presented to the December Authority meeting for discussion and agreement.

## **6. Internal Audit**

- 6.1 Two internal audits have taken place since the last Audit and Risk Assurance Committee meeting. These are presented at agenda item 9. Since the last meeting the new Senior Auditor has started, and an additional resource from DfT has submitted vetting forms to ensure resilience within the internal audit team.
- 6.2 BTP have requested, and it has been agreed, for DfT to carry out an additional internal audit on the Information Assurance Maturity Model (IAMM). DfT have accommodated this within the 2013/14 plan.
- 6.3 Work has commenced in preparation for the 2014/15 internal audit plan with a meeting arrange between DfT and the Authority on the 6 December.

## **7. Gifts and Hospitality Register**

- 7.1 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.
- 7.2 The Chief Executive has also reviewed the BTP Gifts and Hospitality Register with the Deputy Chief Constable which is attached at Appendix B.
- 7.3 Members are asked to note the Gifts and Hospitality Registers.

## **8. Recommendations**

- 8.1 Members are asked to note this report.

**BTPA Gifts and Hospitality Register**

<b>Date of Event</b>	<b>Offered To</b>	<b>Additional/Other Recipients</b>	<b>Offered By</b>	<b>Brief Description of offer</b>	<b>Purpose of Offer</b>	<b>Estimated/actual value of gift/hospitality</b>	<b>Accepted / Declined / Returned</b>
18/09/2013	Liz Pike	N/A	Punter Southall	Annual Drinks	Networking	£25	Declined
4 - 6.3.14	Millie Banerjee		British Transport Police Federation	2014 Annual Conference and Bravery Awards - York	Networking		Declined
4 - 6.3.14	Andrew Figgures		British Transport Police Federation	2014 Annual Conference and Bravery Awards - York	Networking		Accepted
08/10/2013	Millie Banerjee	N/A	Jeff J.K Hoogesteger	UK Excellence Awards	Networking		Declined
09/11/2013	Liz Pike	N/A	Neil Lalley, Punter Southall	Rugby @ Twickenham England v Argentina	Networking	Approx £200	Declined

## BTP Gifts and Hospitality Register August - October 2013

Area	Recipient	Police Number	Date	Description Of Gift/ Hospitality	Formatted Description	Company/ Organisation/ Individual Offering Gift/ Hospitality	Explanation Of Gift/ Hospitality (Why Is It Being Offered)	Value Of Gift/ Hospitality	Accepted /Declined	Approved By (Must Be Completed)	Comments
SCOT	Jacqueline O'Shea	129	20/10/2013	Variety Performance	Event (Attendance Only)	Prince & Princess of Wales Hospice, Glasgow	Variety Performance - 30th year anniversary of the Hospice - given to staff who have helped raise funds for the Hospice. Jackie's partner also attended.	£65.00	Accepted	ACC David McCall	N/A
LS	Ch Supt Steve Morgan	616	29/08/2013	Invitation to reception at the Bank of England	Conference/Awards/Social Function/Reception	Don Randall, Head of Security, Bank of England	Chair of City of London Crime Prevention Association, Head of Security at the bank of England Project GUARDIAN	£100.00	Accepted	ACC Stephen Thomas	N/A
SCOT	Ch Supt Ellie Bird	702	02/08/2013	Parliamentary Reception	Conference/Awards/Social Function/Reception	Mandy Haeburn-Little Director of Scottish Business Resilience Centre	Scottish Business Resilience Centre Parliamentary Reception which will take place on 26 September in Edinburgh. Opportunity for SBRC to thank members for their support and to give an overview of workstreams being progressed by the centre over the coming year	£0.00	Declined	ACC David McCall	Sponsored by Graeme Pearson MSP
SCOT	Ch Supt Ellie Bird	702	10/10/2013	Annual Dinner	Conference/Awards/Social Function/Reception	Steve Montgomery, Managing Director, First ScotRail	Scottish Chamber of Commerce Annual Dinner which will take place on 13 November 2013 in Glasgow. Excellent networking opportunity and an opportunity to show support to partners	£50.00	Accepted	ACC David McCall	N/A
WW	PC Kirk Smith	0876	15/10/2013	Box of chocolates	Food and Drink	Elizabeth Slater (MOP)	Ms Slater lost her bag containing a laptop. PC Smith recovered and returned the bag	£5.00	Accepted	Dai Davies	The officer didn't want to offend the lady by refusing the chocolates
LS	Insp Gary Ancell	0920	16/10/2013	One bottle of Hardys Australian wine	Food and Drink	Mid Sussex Branch of Cruse Bereavement Care	As a thank you for attending to give a talk on the BTP and our response to fatalities and the support to families etc	£7.00	Accepted	T/Ch Insp Michael Pastor	N/A
NW	Ch Insp Neil Moffatt	1042	18/09/2013	Drinks Reception at Merseytravel	Conference/Awards/Social Function/Reception	HS2 Board	Drinks reception for stakeholders to gain a better understanding of the HS2 project	£20.00 approx	Accepted	T/Ch Supt Peter Mason	N/A
WW	Insp David Davies	1332	28/09/2013	Invitation to join Special Train	Travel	Larry Davies, Arriva Trains Wales	none offered	£0.00	Declined	Ch Insp Sandra England	Officer declined due to a family commitment
FHQ	ACC Stephen Thomas	1463	04/08/2013	Invite to DSEI and drinks reception on 12th September 2013 followed by and evening social event on Board 'MV Edwardian'	Conference/Awards/Social Function/Reception	Optima Group Defence Security	Not Stated	Unknown	Declined	Not Stated	N/A
FHQ	ACC Stephen Thomas	1463	11/09/2013 & 12/09/2013	Whilst on leave and not part of BTP role or duties, attendance at a half day European Football Stadium Safety and Security Seminar (20 other attendees) and a full day Conference (450 other attendees) in Warsaw. All travel, accommodation and food costs paid for by the event organisers	Accommodation/Meal /Conference	Event Organisers: European Union Think Tank of Football Safety and Security Experts and UEFA	The European Union Think Tank of Football Safety and Security Experts and UEFA wish me to participate in their Seminar and Conference so that they can use my expertise in European football stadium safety and security arrangements.	Unknown	Accepted	CC Andrew Trotter	N/A
FHQ	ACC Stephen Thomas	1463	19/09/2013	National Rail Awards 2013 (dinner and awards ceremony)	Conference/Awards/Social Function/Reception	Network Rail	ACC Thomas invited to attend this event by Network Rail. The Fusion Team and W&W Area Centro NPT have been shortlisted for an award.	Unknown	Accepted	CC Andrew Trotter	N/A
SCOT	Supt John McBride	1717	17/09/2013	National Rail Awards Ceremony	Conference/Awards/Social Function/Reception	Neil Henry, Head of Operations & Performance, NetworkRail	National Rail Awards which will take place on 18 September in London. Good networking opportunity and a chance to share in potential success	£50.00	Accepted	ACC David McCall	N/A

## BTP Gifts and Hospitality Register August - October 2013

SCOT	DI David Gray	1775	20/10/2013	Variety Performance	Event (Attendance Only)	Prince & Princess of Wales Hospice, Glasgow	Variety Performance - 30th year anniversary of the Hospice - given to staff who have helped raise funds for the Hospice. David's partner also attended.	£65.00	Accepted	ACC David McCall	N/A
FHQ	Ch Supt David Wildbore	2041	29/09/2013	Pen	Misc Item	Mr Oshima Masahiro, Japanese Embassy	Presentation on CCTV to to senior policing persons from Japans National Force were pens were presented as Gifts	Unknown	Accepted	ACC Stephen Thomas	Gift was accepted and felt discouteous to refuse
LU	Ch Supt Paul Brogden	2070	10/10/2013	Covent Garden Dinner & Auction	Conference/Awards/Social Function/Reception	Telefonica UK (O2)	Networking opportunity with key Rail Industry Stakeholders, together with the London Mayor Boris Johnson & Transport Commissioner Sir Peter Hendy	Nominal	Accepted	ACC Stephen Thomas	N/A
FHQ	Ch Supt Christopher Webb	2081	12/09/2013	Invitation to reception at City Hall	Conference/Awards/Social Function/Reception	Mayor of London	Event to mark the success and say thak you following 2013 Ride London event.	Unknown	Accepted	ACC Stephen Thomas	N/A
LN	PC Matthew Mildinhall	2089	09/08/2013	Coins marking the 125th year of the New South Wales Police service (Australia)	Misc Item	Retired NSW police officer	Retired New South Wales Police officer. After discussing the retired officer's career and the differences between serving in the UK and Australia he offered us a coin marking 150 years of the New South Wales Police. He was informed that we could not accept the gift but was determined that we take them. He was an older gentleman who had been retired for over 10 years. In order to avoid offence or embarrassment of the BTP and the fact they are low value we accepted the coins.	£5.00	Accepted	Dave Maycock (PSD Intel)	Approved by Area Commander (27/08)
FHQ	ACC Alan Pacey	2274	29/08/2013	Reception at the Bank of England	Conference/Awards/Social Function/Reception	Don Randall MBE on behalf of the Governor of the Bank of England	Stakeholder Engagement	Unknown	Accepted	CC Andrew Trotter	N/A
FHQ	ACC Alan Pacey	2274	19/09/2013	National Rail Awards Dinner	Conference/Awards/Social Function/Reception	Network Rail	ACC Pacey invited to attend this event by Neil Henry & Mark Enright of Network Rail. The BTP Fusion Team have been shortlisted for an award.	Unknown	Accepted	CC Andrew Trotter	N/A
FHQ	DCC Paul Crowther	2307	29/08/2013	Reception at the Bank of England	Conference/Awards/Social Function/Reception	Don Randall MBE on behalf of the Governor of the Bank of England	Stakeholder Engagement	Unknown	Accepted	CC Andrew Trotter	N/A
LS	T/DI Daren Bates	2329	29/10/2013	Invitation to presentation on facial recognition followed by complimentary drinks and snacks	Conference/Awards/Social Function/Reception	Integrated security systems PO Box 758 Godalming Surrey GU7 9EJ	To promote the use of facial recognition software by law enforcement agencies - officer attendinghave experience of the use of CCV evidentially and for intelligence purposes	£15.00	Accepted	Ch Supt Stephen Morgan	N/A
NW	Ch Supt Holden	2649	03/10/2013	Dinner Invitation	Meal	NW Retired Officers Association	Standing Invite	£15.00	Accepted	DCC Paul Crowther	N/A
LS	DI Ashley Cooper	3601	29/10/2013	Invitation to presentation on facial recognition followed by complimentary drinks and snacks	Conference/Awards/Social Function/Reception	Integrated security systems PO Box 758 Godalming Surrey GU7 9EJ	To promote the use of facial recognition software by law enforcement agencies - officer attendinghave experience of the use of CCV evidentially and for intelligence purposes	£15.00	Accepted	Ch Supt Stephen Morgan	N/A

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FHQ	CC Andrew Trotter	4560	18/09/2013	National Rail Awards Dinner	Conference/Awards/Social Function/Reception	RAIL Magazine	CC invited a a judge of the National Rail Awards	unknown	Accepted	BTPA	N/A
LS	PC Gary Warner	4589	07/09/2013	Two bottles of wine	Food and Drink	DC SARAH KEMBLE WARRANT NUMBER: 194420	FOR RETURN OF DC KEMBLE WARRANT CARD	£10.00	Accepted	AWAITS APPROVAL	THE BOTTLES WERE PLACED IN THE INSPECTORS OFFICE AT BTP ASHFORD AS THE OFFICERS RECEIVING THEM DID NOT WANT THEM HOWEVER THE DONOR WOULD NOT TAKE THEM BACK. T/PI BRADLEY INTENDS TO DISPOSE OF THESE ITEMS BY DESTRUCTION.
SCOT	ACC David McCall	4637	03/09/2013	Two day Police Strategy Forum including meals and accommodation	Accommodation/Meal /Conference	Chief Executive ahmedia ltd	Opportunity to network	£995.00	Accepted	CC Andrew Trotter	N/A
LN	PS Joseph McClenaghan	4774	08/08/2013	Coins marking the 125th year of the New South Wales Police service (Australia)	Misc Item	Retired NSW police officer	Retired New South Wales Police officer. After discussing the retired officer's career and the differences between serving in the UK and Australia he offered us a coin marking 150 years of the New South Wales Police. He was informed that we could not accept the gift but was determined that we take them. He was an older gentleman who had been retired for over 10 years. In order to avoid offence or embarrassment of the BTP and the fact they are low value we accepted the coins.	£5.00	Accepted	Dave Maycock (PSD Intel)	Approved by Area Commander (27/08)
FHQ	Caroline Sparks	5186	10/10/2013	Diplomatic reception at the Indonesian Embassy	Conference/Awards/Social Function/Reception	Indonedian Embassy	For work done on Op Spiderweb	£0.00	Declined	Supt Paul Brodgen	N/A
LS	Cindy Rahaman	5281	16/10/2013	One bunch of flowers	Misc Item	Mid Sussex Branch of Cruse Bereavement Care	As a thank you for attending to give a talk on the BTP and our response to fatalities and the support to families etc	£5.00	Accepted	Insp Gary Ancell	N/A
SCOT	Anne Cochrane	5392	20/10/2013	Variety Performance	Event (Attendance Only)	Prince & Princess of Wales Hospice, Glasgow	Variety Performance - 30th year anniversary of the Hospice - given to staff who have helped raise funds for the Hospice. Anne's partner also attended.	£65.00	Accepted	ACC David McCall	N/A
NE	PCSO Sue Driffield	6918	20/10/2013	1 box of Affer Eights Chocolates	Food and Drink	Member of Public	"A young girl attended the front office at Leeds in a distressed state. She was on her way to work and had left her Bank card at home. Rather than take her back to Northern to do an unpaid fares notice, I gave her £5 from my wallet to help her out. She provided her details which I noted in my PNB at the time".	£4.50 (estimated)	Accepted	PS Michael Jackson / PS Rudy Tanghe	"The girl later returned with her friend to pay back my £5, giving me a box of After Eight Chocolates, which I refused explaining 'We can't accept gifts', She was disappointed and insistent, so I accepted the gift and made an entry in my PNB on return to duty the following day. I also informed the duty sergeant and my own sergeant".

## BTP Gifts and Hospitality Register August - October 2013

LU	Donna Augustus	8545	30/10/2013	3 coffee mugs and a Norwegian Police Shield	Misc Item	Norwegian Police	Token of gratitude for arranging and hosting their visit to L Area BTP	Nominal	Accepted	Ch Supt Paul Brogden	N/A
FHQ	Mark Smith	8653	19/09/2013	Ticket to National Rail Awards	Conference/Awards/Social Function/Reception	Network Rail	NR, BTP, Samaritans, EMT and ASLEF were nominees for the national safety award – which we won	£50.00 (estimated)	Accepted	Ch Supt Miles Flood	N/A
FHQ	Mark Smith	8653	05/10/2013	Ticket to Railway Life Saver Awards	Conference/Awards/Social Function/Reception	Samaritans	BTP had entries in a number of the categories	£50.00 (estimated)	Accepted	Ch Supt Miles Flood	N/A
FHQ	Matthew Hyde	8886	20/08/2013	Annual Golf Tournament Day	Sporting Event	CAE UK	Invitation	Unknown	Declined	Tony Foster	N/A