

Report to: Police Authority
Agenda: 7
Date: 25 September 2014
Subject: Audit & Risk Assurance Committee
Sponsor: Committee Chairman
Author: Iggi Falcon
For: Information

The Forum
5th Floor North
74-80 Camden Street
London NW1 0EG

T: 020 7383 0259
F: 020 7383 2655
E: general.enquiries
@btpa.police.uk

www.btpa.police.uk

1. Purpose of paper

- 1.1. The purpose of this paper is to update the British Transport Police Authority (“the Authority”) on the issues discussed at the Audit and Risk Assurance Committee (“the Committee”) meeting held on 18 September 2014.
- 1.2. The Committee also reviewed the strategic risks of the Authority and British Transport Police (“BTP”) which are both presented elsewhere on the agenda.

2. Agenda Items

2.1. BTP Quarterly Updates

- 2.1.1. The Committee noted the ongoing work to address the risks relating to the Safety and Wellbeing function. There had been unforeseen staffing and resilience issues arising from the resignation of the newly-appointed Head of Safety and Wellbeing and a London-based Senior H&S Advisor, although the recruitment of replacements was now underway. The improvements to this area of business were being monitored by a Gold Group which will remain in place until at least the recruitment to the existing vacancies has been completed.
- 2.1.2. An update was also received on issues relating to Information Management. These included compliance with data protection (including training) and historic backlog/management of archives. The Committee requested that a report be submitted to its next meeting in December to outline the programme’s roadmap, including timescales and milestones, and thus provide assurances to Members that the issues were being addressed appropriately.
- 2.1.3. An update was provided to the Committee on the current dispute with the Case and Custody contractor.

2.2. **Authority Quarterly Update**

2.2.1. The Authority Chief Executive had written to Police Service Agreement (“PSA”) holders to inform them of two amendments to the PSA contracts, which would allow the Authority to inform of PSA provisional charges earlier in the year and to calculate the actual charges using the best available and most recent information. The responses from PSA holders received so far had been positive.

2.3. **Gift and Hospitality Register**

2.3.1. An updated version of the Force’s and the Authority’s Gift and Hospitality registers were reviewed, with no significant issues being raised (copies are available to Authority Members on request).

2.4. **Authority Risk Report**

2.4.1. The Committee considered two potential new risks as follows:-

2.4.1.1. **Challenge to 2013/14 Charges** - there was a potential risk that PSA holders could legally challenge the Authority upon receipt of the actual PSA charges.

2.4.1.2. **Emergency Services Mobile Communication Programme (ESMCP)** - A charge associated with the use of the replacement Airwave system could potentially result in a serious financial risk to the Authority. The matter was for the DfT to raise with the HO, so it was to an extent outside the Authority’s control.

2.4.2. The Committee agreed that it would be sensible to include these two entries in the Authority’s Risk Register.

2.5. **BTP Risk Report**

2.5.1. Attention was drawn to **SR70 - Failure to Deliver Public Service Network Programme (PSNP) Accreditation**, where an analysis was currently underway to establish the required level of work to achieve the Force’s readiness for PSN. The simultaneous work of the IT programme may delay or come into conflict with the accreditation process. The proposed mitigating action was that all changes to IT systems consider potential impact on PSNP at business case stage, to ensure no adverse changes.

2.6. **HMIC Inspection**

2.6.1. The Committee noted good progress in implementing Stop & Search recommendations, a task which was being overseen by Operation Jupiter. It was also reported that

the BTP had, alongside all other police forces in the country, adopted the voluntary scheme for best use of stop and search powers recently published by the College of Policing.

2.6.2. The report following the March inspection on Police Custody had been recently received for factual checking.

2.6.3. Initial feedback had been largely positive on the Integrity and Corruption Inspection conducted in August, with a few areas of improvement being highlighted: communication/organisational learning, the robustness of the system to conduct random drug testing, and the time it took to complete misconduct cases.

2.6.4. On Crime Data Integrity, HMIC reported that there was no evidence of unethical behavior in the way officers recorded crime. There were some areas for improvement highlighted, in particular concerning the BTP's duty to ensure that options for out-of-court disposals were suitable to the individual offences and circumstances.

2.7. **Internal Audit Progress Report**

2.7.1. The Committee received a report outlining the progress with the delivery of the 2014/15 Internal Audit programme. One audit from the running programme had been completed since the last meeting:

2.7.1.1. **BTPA 13/04 Core Financial Controls (Phase Three)**

- Levels of assurance were found to be substantial. The auditors commented that the overall controls over the Purchase to Pay system were effective. There were some minor compliance issues found in relation to delegated authorities and purchase orders.

2.7.2. On a separate note, the Committee discussed the creation of the Government's Cross Departmental Internal Audit Unit (XDIAS), and the opportunities which this move might create for the Authority, particularly in connection with resilience.

3. **Recommendations**

3.1. Members to note the report.