BRITISH TRANSPORT POLICE

Report to:	**Audit & Risk Assurance Committee**
Agenda item:	**6**
Date:	**3 June 2015**
Subject:	**BTP Quarterly Update Report**
Sponsor:	**Director of Capability and Resources**
For:	**Information**

1. PURPOSE OF PAPER

1.1 This report provides the Audit & Risk Assurance Committee with an overview of developments across Capability & Resources since the previous Audit Committee on 5 March 2015.

2. 2014/15 Audit

2.1 Progress against the 2014/15 Audit is shown below.

Portfolio	Area of Review	Number of recommendations	Complete		Not yet complete	
			Number	Percentage	Number	Percentage of Total
BTPA / SDD	Key Performance Indicators	6	3	50	3	50
F&P	Core Financial Controls (Employee Expenses)	12	5	42	7	58
IS&BS	Information Portfolio	8	7	87.5	1	12.5
BTPA	Not yet received					
P&D	Not yet received					
Ops/IS&BS	Cyber Security	7	2	29	5	71
BTPA	Not yet received					
MAR	MAR	-	-	-	-	-
Total		**33**	**17**	**52**	**16**	**48**

2.2   Appendix A provides updates against all Audit recommendations however key areas to note include:

- **Key Performance Indicators** - The report identifies six actions to progress; five for the BTPA and one for BTP. The BTP action relates to an identified need for process notes which cover key tasks or actions required of the Analysis and Performance team as part of the overall arrangements for managing BTP's operational and organisational performance. A process map has been completed which details the flow of performance information through Divisions on a daily basis to Force and BTPA on a quarterly basis. Documentation is complete and being utilised accordingly. This action is now awaiting closure.

- **Core Financial Controls Audit, Employee Expenses.**   There are 7 outstanding actions for BTP. Many of these relate to policy. The Pay & Benefits Manager has worked through the SOPs to ensure that more robust guidance is issued. Some aspects require elevation to FEB for consideration and endorsement as there are areas where the recommendations of the Audit contradict Police Regulations. The revised target date for completion is 30 June 15.

- **Information Portfolio.**   All actions in relation to the Information Portfolio are complete. The Force has formalized the processes by which interdependencies between programmes are considered and risks managed.   A separate review of the Force-wide meeting structure for projects/programmes is ongoing led by PMO; findings will be submitted to SIB in late June.

- **Cyber Security.**   There are 5 outstanding recommendations for BTP.   These relate to incorporating cyber incident exercises into the business continuity arrangements and implementing a strategic approach for the provision of information security leads to the organisation. This work is ongoing and under consideration by the Information Management Governance Board.   A new Information Risk Management Strategy has been drafted and will be published

once the attendant Information Governance Policies & Procedures have been written and approved. The target date is 30 June 15.

- **MAR:** This engagement was conducted during March 2015. The overall finding was that the operation of controls within the Authority and Force over the Management Assurance return to the Department was found to be operating effectively. There were no recommendations as a result of this audit.

3. NAO INTERIM AUDIT

3.1 The NAO completed the 2014-15 interim Audit of BTP's accounts on 20 February. Work included sample testing of BTP's payroll, invoice payments, raising invoices to our customers and checking that recorded assets are still in use. The work has gone well and there are no significant errors to report. The end of year audit will be published by the 18 June 2015.

4. INFORMATION MANAGEMENT

4.1 Information Management is critical to Compliance, Operations and Transformation. There are a number of complex areas of business as usual work, transformation and legacy which are being managed as follows:
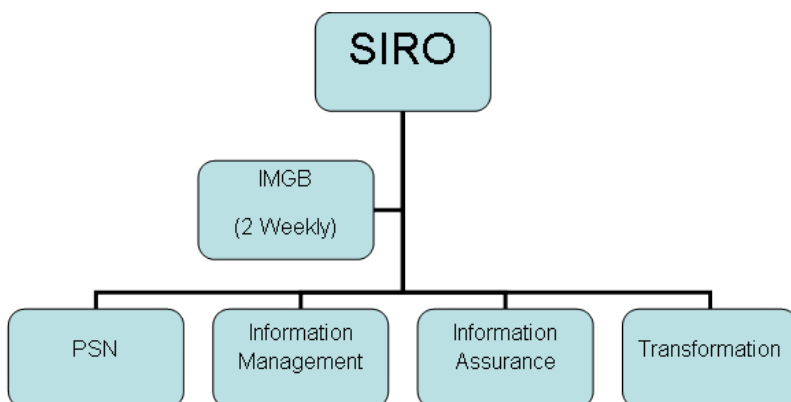
4.2   **Information Management governance** is overseen through the Information Management Governance Board. The main strands of this are:

- **IM Strategy**.   The IM Strategy and supporting procedures are in the process of being revised to ensure that they are fit for purpose going forward. This work will be completed by 30 June 2015

- **IM Guide and Processes.** An IM Guide and Processes is being drafted and will be distributed across the Force. These documents will provide direction on issues ranging from records management to retention policy and will be published by 30 June 2015.

- **Assurance.**   The IM Assurance Regime is in the process of being stood up. This will benefit from additional staff in an assurance function who will provide the capacity to advise and inspect IM standards across the Force**.**

- **Data Management**. There are a number of initiatives ongoing to ensure that the Force is well positioned to exploit ISP and data centralisation:

- **Unstructured Data**.   Guidance on storage of data on C:/G:/H: drive was issued to all officers and staff on 21 May. This will support the Force migration to Virtual Desktop Infrastructure (VDI).

- **Data Migration.** BTP is looking at the data migration requirements of ISP to understand what data should be cleansed and migrated and what data should be retained in legacy archives and how best those archives should be accessed. This will be taken forward by the ISP Programme Board.

4.3   BTP initiated **Operation Canberra** in January 2015 in order to accelerate ongoing work with information management. The Director of Capability & Resources leads this work. Progress to date is as follows:

- **Iron Mountain**. The records store held by Iron Mountain has been recalled, reviewed and is in the process of being re-archived. All 10,000 boxes of information have been reviewed and approximately 80% of the material reviewed was suitable for destruction. The exercise commenced on 26 January and was completed on the 20 February 2015. Following this, a full audit of legacy filling issues was undertaken throughout the Force.

- **MOPI1**: All MOPI1 review work is now complete and the focus has now switched to MOPI2 records. Work is ongoing to investigate and file 166 MOPI1 cases.

- **MOPI2**: Back record work is ongoing to deal with MOPI2. As at 20 May 15, there are 127,000 cases. A software solution is now in place which – once supported by training - should accelerate the process, in particular identifying duplicate records in fast time. Once the software solution is fully operational, a revised target date for completion will be briefed.

4.4 The **PSNP** project is a priority set of activities which is focused on gaining accreditation for the Force and migrating on to the new pan-Government Public Services Network. PNSP is subject to weekly oversight through the PSN Gold Group. Force progress was benchmarked by a recent external IT Health Check. The IT Health Check highlighted a number of critical, high and medium issues that the force will need to address. Most of these issues were known to the project team prior to the check. The main issues concern:

- continued operation of legacy infrastructure and operating systems (such as Windows XP),
- lack of security patches applied to the infrastructure,
- use of common administrator passwords across the infrastructure.

The Force will transition to PSNP from August. The key supporting documents to support transition are the Code of Connection – a technical specification - and the Residual Risk Plan (RRP); the latter summarises those areas that the Force is committed to resolve but which will not be addressed prior to transition. The RRP is signed off by the SIRO and will be submitted on 23 June 2015. This plan will highlight the delivery of

full compliance via projects such as VDI (which will remove the legacy Windows XP infrastructure). The National Accreditor's guidance remains that accreditation will be authorised for Forces who have resourced programmes to address non-compliance.

5. RECOMMENDATION

5.1 Members are invited to note the progress achieved to date on the matters outlined in this report.