

Report to: Police Authority
Item: 3
Date: 4 August 2016
Subject: Audit Committee – related topics
Sponsor: Chief Executive
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For: Information

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1. Purpose of paper

- 1.1 An Audit and Risk Assurance Committee has not been held since the Authority meeting in June. Certain activity has however taken place which relates to the Audit Committee work programme.

2. Combined Strategic Risk List

- 2.1 The Executive team have performed a detailed review of the previous strategic risk registers and have commenced work to create a combined strategic risk list. A first draft has been attached in Appendix A.
- 2.2 The high level risks documented in the annual report and accounts have been used as the basis for the new risk list. This has been expanded to include further controls and actions required.
- 2.3 The recommendations of the Governance Review including the below table of risks have also been taken into account.

Appendix F2: Risk Management

As part of our review of Governance we inspected various risk registers and reports in order to ascertain the line of sight to the Authority's Strategic Aims as published in its 2013-2019 Strategy. We compared the following:

- Strategic Risk Register of the BTPA
- Strategic Risk Register of the BTP
- Letter from the BTPA Chief Exec to the Authority highlighting areas of key concerns
- Key risks raised by Authority Members in their interviews

The following illustrates how these risks compare:

Risk	BTP SRR	BTPA SRR	Chief Exec Letter	Member interviews
Implications of Finance review				
ISP command and control and CORE				
£Spend on AIRWAVE				
Health & Safety				
Scope of transformation				
Mobile Policing				
Cost of suicide prevention and mental health team				
Devolution issues Scotland				
Police Info Management				
Disaster Recovery				
management of ESMCP programme				
Loss of funding from Network Rail (EPSA)				
Failure to perform				2x
Failure to deliver PSN-P compliance				
Counter terrorism				6x
Budget challenges				3x
Governance (BTP/BTPA)				3x
Staffing				
Project Overruns				3x
External factors not able to influence e.g. home Secretary requests				
EPSA contracts not signed				
Pension changes implications £				
PSA risks				
Too few members				
Reputational risks				
Fraud uncovered as a result of financial review				
Strategic Plan not delivered				

- 2.4 The inspection plan for HMIC and the audit plan for Internal Audit in 2016/17 include the majority of the risk areas from the list. This should therefore provide greater clarity on the controls in place or those that should be implemented to reduce the risk further.
- 2.5 The risk list has been reviewed by the Chief Executive and sent to the Authority Chair and Chief Constable for further comment.
- 2.6 The Executive team will work with the BTP Audit and Compliance team to agree the method of recording these risks in our risk management system *4Risk*.
- 2.7 It has been suggested that an additional list of more specific project risks should also be reported alongside the strategic risk list to ensure Authority members are aware of these and their mitigation.
- 2.8 A defined risk strategy and appetite as well as a paper on an agreed mechanism for escalating risks to DfT is to be considered at the August Governance review working group. The risk list will also be provided for review and comment.
- 2.9 Once feedback has been collated an updated version of the strategic risk list will be provided for approval at the September Audit Committee and the following Authority meeting.

3. British Transport Police Fund Annual Report and Accounts 2015/16

- 3.1 The Annual report and accounts were laid before Parliament on 20 July 2016.
- 3.2 A copy of the final report and accounts is attached at Appendix B.

4. Recommendations

- 4.1 Feedback on the strategic risk list to be provided to the author.
- 4.2 Members to note the contents of this report.