



British Transport Police Authority

Annual Authority Business Cycle

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Date approved	May 2010
Date last reviewed	May 2011
Date of next review	May 2012
Protective marking	Not protectively marked
EI assessed	

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1. Introduction

The Authority has the responsibility for ensuring an efficient and effective police force for the railways in England, Scotland and Wales and for recovering the costs of the BTP from the companies who provide and use the rail network.

1.1 What the Authority does

The strategic aim of the Authority is to ensure an efficient and effective police force. Its statutory duties are to:

- secure the maintenance of an efficient and effective police force
- ensure the efficient and effective policing of the railways
- appoint the Chief Constable, Deputy Chief Constable, Assistant Chief Constables and equivalent civilian posts
- enter into Police Service Agreements with railway operators
- regulate the government, administration and conditions of those employed by the Force
- set a strategy for policing the railway
- set objectives for the policing of the railway
- set the budget each year of expected income and expenditure and recover the costs

1.2 How the Authority works

In discharging the above functions the Authority bases its decisions on:

- the requirements of passengers and staff and other rail users in relation to personal security and policing
- the professional advice from the Chief Constable
- the commercial and operational challenges of the rail and train operating companies and their priorities for policing;

With this knowledge, as an independent body, the Authority then makes its own judgements about how to secure an efficient and effective police force which it reflects in its Strategy, Policing Plan and budget decisions.

The Authority has agreed with the Chief Constable a statement of a shared mission which is *“To Protect and Serve”*. Together the Chief Constable and the Authority seek to ensure better policing and better value for money, and personal security for the travelling public and staff on the railway.

To do this the Authority works closely with all its partners. At all times the Authority is required to act independently to enable it to challenge the

police, staff, the rail and train operating companies and in turn be challenged by them.

1.3 The Authority's Programme of work

The Authority has agreed an annual business cycle for its work to help maintain focus on its key work streams in a timely and efficient way.

The rest of this document sets out that business cycle in detail. It shows how the Authority's strategy sets the framework and creates the drivers for the annual plan and budget. It illustrates how Performance Review will be used to inform the rolling forward of the strategy as well as in holding the Chief Constable to account. It also shows how all its work is designed to contribute to one or more of its statutory duties and how the different work streams relate to each other over the course of a year.

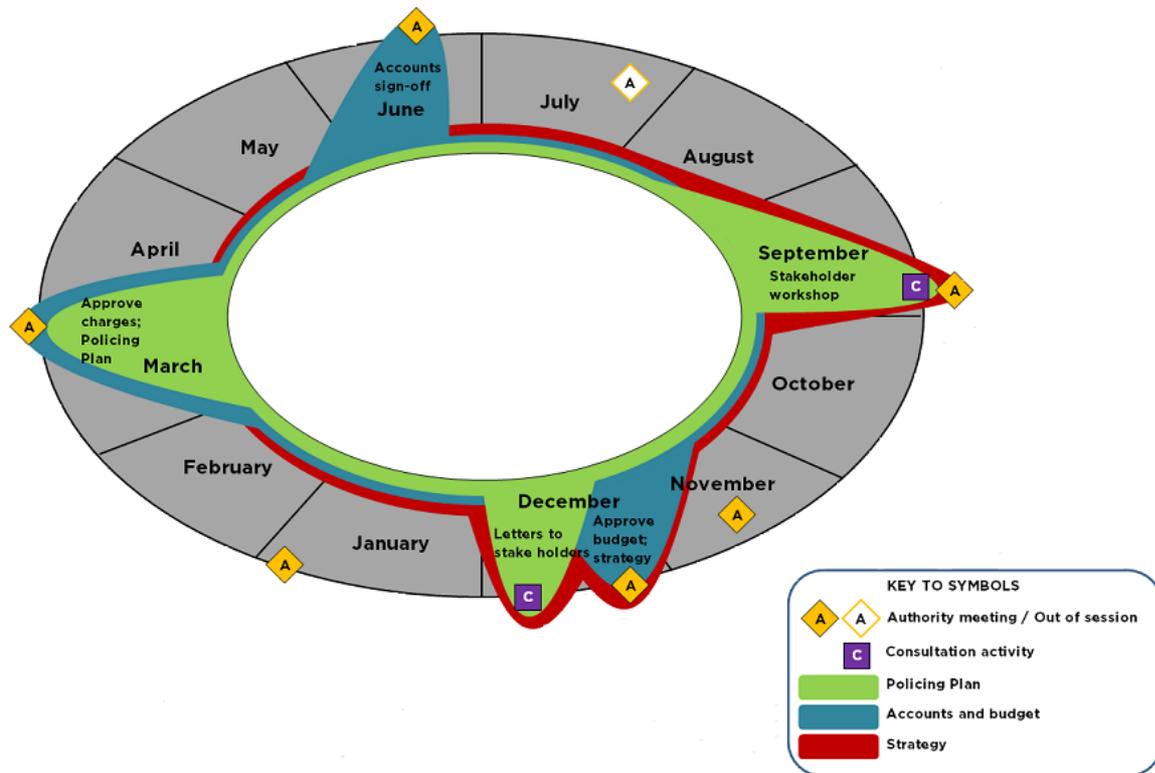
1.4 The Authority Business Cycle

Each year the Authority:

- Updates its medium term strategy and annual policing plan in consultation with its stakeholders;
- Ensures that BTP is adequately resourced and has a budget that reflects the strategy, plans and priorities agreed with the Chief Constable and provides value for money.
- Recovers the costs of policing the network, from the rail and train operating companies who use it.
- Keeps under review what happens on the ground to ensure that objectives are achieved and to inform the roll forward of the strategy and plans.

To do this the Authority meets 7 times a year. There are 4 Authority meetings where there is a fixed agenda and specific annual decisions and approvals are required. The other 3 Authority meetings concentrate on the scrutiny role of the Authority through discussion of policing and other issues with a focus on the review of budget and performance information.

The working cycle of the Authority is shown in the diagram below.



The Authority cycle starts in July of each year. The main agenda items for each meeting are as follows:

- Meeting 1: Budget and Performance Review Quarter 1 data - *held out of committee*
- Meeting 2: Consultation on Strategy and Policing Plan - Private session to discuss budget direction
- Meeting 3: Budget and Performance Review Quarter 2 data
- Meeting 4: Budget Approval
- Meeting 5: Budget and Performance Review Quarter 3 data
- Meeting 6: PSA charges, Policing Plan and Strategy approval
- Meeting 7: Budget and Performance Review Quarter 4 data and Annual review
- Meeting 8: Sign off of Accounts

2. The Full Authority

All decisions are made at the Full Authority unless specifically delegated to a Group or Committee and enshrined in its terms of reference. The Full Authority retains governance matters in full.

2.1 The Authority Agendas

The agendas below are intended to detail the minimum that should be covered in each Authority meeting ensuring that during the year all official Authority business is complete. Additional items can be requested by the Members and the Executive prior to each meeting see the *Meetings Service Level Agreement with BTP* for information on deadlines.

The Authority is dedicated to its equality and human rights oversight responsibility and this is implicit in all the agendas. However, for a detailed note of the Authority's oversight in this area see Appendix A.

2.1.1 Authority Meeting 1 – Quarter 1 review (End July)

a. Description

This quarter 1 review against budget and plan is held out of committee. The performance data from the Performance Review Group and financial data from the Finance Group is distributed to Members offline and questions invited via email which the Executive team field and post answers to on the Members area of the website, restricted matters are briefed separately via post.

2.1.2 Authority Meeting 2 – Strategy review (End September)

a. Description

The primary purpose of this meeting is to agree a 3 year strategy (and in subsequent years its annual roll forward) and the medium term financial plan.

b. Agenda

- Minutes of the previous meeting
- Matters Arising
- Questions on Chief Constable's Report
- Questions on Chief Executive's Report
- Review medium term financial plan
- Review of Audit Committee Minutes
- Review of Strategic Risk Registers

c. Input

- Minutes of the previous meeting

- Authority Action log
- Chief Constable Report
- Chief Executive Report
- Medium term financial plan
- Audit Committee Minutes
- Quarterly Strategic Risk Report

d. Output

- Approved minutes of the previous meeting
- Agreed direction for Medium Term Financial Plan
- Recommendations/approvals on any Audit Committee business
- Updated Authority Action Log
- Consultation responses from AGM section of meeting

2.1.3 Authority Meeting 3 – Quarter 2 review (Early November)

a. Description

This meeting is a quarter 2 review against budget and plan. It will review the performance data from the “Performance Review” Group and budget data from the “Finance” Group. The Authority will also review the draft proposals for the policing budget and plan and set directions for their completion.

b. Agenda

- Minutes of the previous meeting
- Matters Arising
- Questions regarding Chief Constable Report
- Questions regarding Chief Executive Report
- Review of second quarter finance and performance metrics
- Review budget and emerging policing plan themes
- Review Professional Standards Committee minutes

c. Input

- Minutes of the previous meeting
- Authority Action log
- Chief Constable Report
- Chief Executive Report
- Quarter 2 performance data

- Quarter 2 budget and debtor's information
- Issues raised by "Performance Review" group
- Issues raised by "Finance" group
- Answers prepared by the Force
- Budget options
- Professional Standards Minutes
- Emerging Policing Plan themes

d. Output

- Approved minutes of the previous meeting
- Updated Authority Action log
- Recommendations on budget and policing plan
- Recommendations/approvals on any Professional Standards Committee business

2.1.4 Authority Meeting 4 - Budget (Mid December)

a. Description

During this meeting the budget will be reviewed and approved.

b. Agenda

- Minutes of the previous meeting
- Questions regarding Chief Constable Report
- Questions regarding Chief Executive Report
- Review Budget
- Review Draft Police Plan
- Review Audit Committee Minutes

c. Input

- Minutes of the previous meeting
- Authority Action log
- Chief Constable Report
- Chief Executive Report
- Final recommendation for Budget
- Audit Committee Minutes
- Draft Police Plan
- Quarterly Strategic Risk Reports

d. Output

- Approved minutes of the previous meeting
- Updated Authority Action Log
- Approved budget
- Approved draft police plan
- Recommendations/approvals on any Audit Committee business

2.1.5 Authority Meeting 5 – Quarter 3 review (End January)

a. Description

This meeting is a quarter 3 review against budget and plan. It will review the performance data from the “Performance Review” Group and budget data from the “Finance” Group.

b. Agenda items

- Minutes of the previous meeting
- Matters Arising
- Questions regarding Chief Constable Report
- Questions regarding Chief Executive Report
- Review of third quarter budget and performance metrics
- Review Professional Standards minutes

c. Inputs

- Minutes of the previous meeting
- Authority Action log
- Chief Constable Report
- Chief Executive Report
- Quarter 3 performance data
- Quarter 3 budget and debtor’s information
- Issues raised by “Performance Review” group
- Issues raised by “Finance” group
- Answers prepared by the Force
- Professional Standards Minutes

d. Outputs

- Approved minutes of the previous meeting
- Updated Authority Action Log

- Recommendations/approvals on any Professional Standards Committee business

2.1.6 Authority Meeting 6 – Approve PSA Charges and Policing Plan (End March)

a. Description

This meeting is to approve the PSA charges for the coming year and ratify the policing plan.

b. Agenda

- Minutes of the previous meeting
- Matters Arising
- Questions regarding Chief Constable Report
- Questions regarding Chief Executive Report
- Review PSA charges and accompanying report
- Annual Policing Plan Approved
- Annual Policing Plan Metrics Approved
- Annual Strategic Risk Report
- Review Authority Annual Plan
- Review Audit Committee Minutes

c. Input

- Minutes of the previous meeting
- Authority Action Log
- Chief Constable Report
- Chief Executive Report
- PSA charges
- Written report explaining the PSA charges
- Annual Policing Plan and Metrics
- Quarterly Strategic Risk Report
- Draft Authority Annual Plan
- Audit Committee Minutes

d. Output

- Approved minutes of the previous meeting
- Updated Authority Action Log

- PSA charges approved
- Approved Policing Plan and Metrics
- Recommendations/approvals on any Audit Committee business

2.1.7 Authority Meeting 7 – End of year review (End May)

a. Description

This meeting is a quarter 4 and end of year review against budget and plan. It will review the performance data from the “Performance Review” Group and budget data from the “Finance” Group. It will also review the Authority Committees and Working Groups for the year ahead.

b. Agenda

- Minutes of the previous meeting
- Matters Arising
- Questions regarding Chief Constable Report
- Questions regarding Chief Executive Report
- Review action items from previous budget and performance metrics
- Review of fourth quarter and full year budget and performance metrics
- Review annual performance and budget
- Review committee terms of reference and agree annual membership
- Review working group terms of reference and agree annual membership
- Review Corporate Governance arrangements
- Update on progress with annual accounts
- Member and Executive Training requirements for following year
- Review Professional Standards Minutes

c. Inputs

- Minutes of the previous meeting
- Authority Action log
- Chief Constable Report
- Chief Executive Report
- Quarter 4 performance data
- Quarter 4 budget and debtor’s information
- Issues raised by “Performance Review” group

- Issues raised by “Finance” group
- Answers prepared by the Force
- Annual Performance and Budget figures
- Committee terms of reference and membership lists
- Working groups terms of reference and membership lists
- Corporate Governance documentation & any recommendations for revisions
- Annual report from Working Group and Committee Chairs
- Update on progress with annual accounts
- Professional Standards Minutes

d. Outputs

- Approved minutes of the previous meeting
- Updated Authority Action Log
- Reviewed annual performance and budget
- Agreed terms of reference for annual committees
- Agreed membership of committees
- Agreed terms of reference for working groups
- Agreed membership of working groups
- Recommendations/approvals on any Professional Standards Committee business

2.1.8 Authority Meeting 8 – Approval of Accounts (Early July)

a. Description

The purpose of this meeting is to approve the accounts in preparation for presentation to parliament and to approve the Annual Report.

b. Agenda

- Minutes of the previous meeting
- Matters Arising
- Questions regarding Chief Constable Report
- Questions regarding Chief Executive Report
- Review of BTP/BTPA accounts
- Review Annual Report
- Quarterly Strategic Risk Report

- Review Audit Committee Minutes

c. Input

- Minutes of the previous meeting
- Authority Action Log
- Chief Constable Report
- Chief Executive Report
- Accounts and Statement of internal control
- Annual Report
- Quarterly Strategic Risk Report
- Audit Committee Minutes

d. Output

- Approved minutes of the previous meeting
- Updated Authority Action Log
- Signed off accounts
- Approved Annual Report
- Recommendations/approvals on any Audit Committee business

3. Committees

3.1 Audit Committee

The audit committee will meet a minimum of 4 times a year. The Committee shall report to Authority meetings 2, 4, 6, 7¹ and 8. As such the Committee should convene at a suitable time that enables sufficient time for reports/minutes to be prepared for these meetings. The terms of reference are below:

Purpose

The purpose of this committee is to:

- Keep under review and advise the Authority on all matters relating to the internal and external audit of the Authority. To provide an opinion on the effectiveness of the monitoring processes and whether reliance can be placed upon all internal control systems.
- Assess and recommend to the Authority action in respect of:
 - The effectiveness of financial management, internal business processes and control systems
 - The performance, effectiveness of and results from the Authority's audit arrangements, both internal and external (including HMIC)
 - The implementation of agreed audit-based recommendations from any management letters received from internal or external auditors
 - The accounting policies and the accounts, including the process for review of the accounts prior to submission for audit, levels of error identified, and management's letter of representation to the external auditors.
 - The BTPA and BTP's plan for risk management, business continuity (including disaster recovery) and the strategic processes for risk, control and governance and the Statement on Internal Control
- To decide/agree
 - The planned activity for internal audit, including the arrangements for and the appointment of the Authority's internal Auditors
 - The Annual Audit Plan
 - The Force's policies on fraud, irregularity and corruption, and to monitor the effectiveness of such policies

¹ Update on progress with accounts

3.2 Professional Standards

The Professional Standards Committee will meet a minimum of 4 times a year. The Committee shall report to Authority meetings 1, 3, 5 and 7. As such the Committee should convene at a suitable time that enables sufficient time for reports/minutes to be prepared for these meetings. The terms of reference are below:

Purpose

- Oversee the work of the Professional Standards Department and to make appropriate recommendations to the Chief Constable
- Review progress of cases/complaints that are under investigation
- Track trends in relation to public complaints, non complaint investigations, employment tribunals, grievances and investigations into civil claims and internal matters conducted by the Professional Standards Department (PSD) and make recommendations as appropriate
- Satisfy itself as to the operation of the complaints, discipline and grievance processes within the Force
- Investigate and deal with any allegations, report and complaints about the conduct of officers of ACPO rank in accordance with appropriate regulations and to consider all matters relating to discipline against ACPO rank officers, within police regulations and report to the Authority as appropriate. For the purpose of conducting these matters a subcommittee of a minimum of three members may be formed and will report to the Authority as appropriate.
- Monitor the mandatory requirement for referral of cases
- Monitor the output from the independent custody visiting scheme and escalate any issues as appropriate

3.3 Appointments and Remuneration Committee

The Appointments and Remuneration Committee has delegated responsibility from the Authority to approve the remuneration packages and performance related pay for executive appointments at the Authority and chief officers and equivalents at BTP. In regards to police officer and staff terms and conditions below the chief officer rank, the Panel is given the responsibility of reviewing the detail and making recommendations to the Full Authority. It has no delegated powers to approve proposed terms and conditions changes for officers and staff. The terms of reference for the Committee are below.

- To act on behalf of the Authority to make the arrangements for and appointment of chief officers and equivalent appointments, including the approval of the recruitment process and contracts of employment for chief officers.

- To act on behalf of the Authority, working with the Chief Constable, to make chief officer temporary and acting appointments expected to last beyond 6 months.
- To act on behalf of the Authority, working with the Chief Constable, to agree chief officer secondments to and from the force expected to last beyond 6 months.
- To be responsible for determining the payment or otherwise, of performance related payments and other remuneration packages to the Chief Constable, Deputy Chief Constable, Assistant Chief Constables and equivalents.
- To act on behalf of the Authority to make the arrangements for and appointment of the Chief Executive and Authority Finance Director
- To consider and approve the remuneration package for the Chief Executive and Authority Finance Director.
- To consider and approve packages on termination for employees of chief officer rank or equivalent in both BTP and BTPA. For the avoidance of doubt, this includes for example discretionary awards and payments, discretionary pension enhancements and ex gratia payments.
- To consider any relevant matters in respect of PNB, Police Advisory Board, and other national bodies in relation to police officer and police staff terms and conditions and recommend a way forward to the Authority.
- To have due regard, in exercising the Panel's responsibilities, to equal opportunities and the requirements of equalities legislation.

4. Groups

Throughout the year groups will be established by the Authority and supported by the Executive and BTP staff. The purpose of these groups is to lead the preparation of material and the framing of discussions and decisions prior to the Authority meeting and on behalf of the Authority act as sponsor to the work theme. There are 4 groups that will operate through each Authority business cycle. Other groups may be formed where there is a clear need. The terms of reference for these ad hoc groups will be approved by the Authority. The current groups and their terms of reference are detailed below.

4.1 Strategy Group

a. Purpose

The key role of the Strategy Group is to understand the internal and external strategic challenges facing BTPA and BTP and to keep refreshed a rolling 3 year strategy and Medium Term Financial Plan in response to these, whilst ensuring that stakeholders are consulted during the preparation stages.

b. Summary terms of reference

- To produce a draft Strategy and Medium Term Financial Plan for consideration by the Authority
- To understand the internal and external strategic challenges facing BTPA and BTP and consider these in the development of the Strategy and MTFP
- To ensure effective consultation with stakeholders in the preparation of the Strategy and MTFP
- To monitor progress against the Futures Programme
- To receive and review BTP value for money(vfm)/police objective analysis (POA) report
- To direct the development of charging arrangements to apply from the 1 April 2013 and make a recommendation to the Full Authority on the way forward
- To direct the development of appropriate governance and funding arrangements in relation to services provided by BTP to TfL and make a recommendation to the Full Authority on the way forward

c. Milestones

- March Authority meeting for sign off of refreshed Strategy

d. Output

- 3 year strategic plan
- Medium term financial plan

- POA Report
- *Recommended Charging Arrangements for Post 1 April 2013*
- *Recommended governance and funding arrangements for the services provided by BTP to TfL*

4.2 Policing Plan Group

a. Purpose

The purpose of this group is to ensure the translation of the 3 year strategy into an annual policing plan. Determine with BTP the necessary metrics required to monitor performance against this plan and seek approval from the Authority.

b. Summary terms of reference

- To agree the way forward, in terms of context and style of the Annual Policing Plan
- To receive, consider and comment upon iterations of a draft Policing Plan as developed by BTP
- Take into consideration any evidence gathered through the Force and Authority's stakeholder consultation exercises and other activities
- Prepare a policing plan, in line with the 3 year strategy and stakeholder requirements, to be recommended to the full Authority for approval at its annual March meeting

c. Milestones

- Policing plan themes to be presented at the December Authority meeting
- Policing plan to be approved at the March Authority meeting
- Performance metrics and reporting dashboards approved at March meeting

d. Output

- 2012/13 Policing Plan

4.3 Finance Group

a. Purpose:

Support the Authority in setting a budget and capital programme and in monitoring financial performance during the year.

b. Summary terms of reference

The finance group will run throughout the Authority Business Cycle. It is responsible for:

- Advising on the preparation of the annual budget
- Ensuring appropriate consultation in the preparation of the budget
- Monitor financial reports and ensure the effective review by the Authority of financial performance.
- Give clarity on the budget to aid the development of the Annual Policing Plan
- To offer reassurance to the Authority on financial performance as a result of scrutiny on a quarterly basis
- Have oversight of the charging process at the beginning of each financial year

c. Milestones

- Every quarter a summary of spend versus budget to be prepared and sent to the Authority Members for review and comment
- In setting its strategy in September the Authority will also set a strategic framework within which the next budget will be prepared
- Final budget to be presented to the Authority for approval in December

d. Outputs

- Quarterly budget reports
- 2012/13 Budget
- PSA charges

4.4 Performance Review Group

a. Purpose

The review group is responsible for supporting the Authority in monitoring police performance on KPIs.

b. Summary terms of reference

- Monitor and provide supportive challenge on BTP's operational and organisational performance and efficiency against criteria which are defined and refreshed annually to include operational, organisational and HR KPIs, outputs from external inspections and project delivery.
- Provide a regular update to the full Authority on progress with performance including the key issues and actions arising

- Request and consider information from BTP, BTPA, stakeholders and other sources to support scrutiny activities in terms of internal and external comparison and benchmarking of performance
 - Oversee development of an annual performance report from the Authority
- c. Milestones**
- Quarterly Budget and Performance Authority meetings
 - Annual performance report
- d. Output**
- Quarterly performance report
 - Annual report

4.5 Pensions Working Group

a. Purpose

The Authority was concerned that the investment strategy for the BTP Superannuation Fund was very aggressive and tasked the Pensions Working Group with reviewing this and the governance arrangements of the Fund.

b. Terms of Reference

- To review the governance of the BTP Superannuation Fund and present options to the Authority on the future management of the Fund
- To review the investment strategy for BTPA and recommend a suitable way forward

c. Milestones

- A recommended governance option to the May Authority meeting
- Approach the Trustee for approval of the approved governance option
- The new investment strategy to be improved and in place by the end of 2011/12

d. Outputs

- An improved governance structure of the BTPSF for approval
- A revised investment strategy for approval

4.6 Group meetings

Groups will meet at times directed by the group work plan. The meetings will be informal but minutes will be taken to facilitate future discussions. The group lead will manage the output of each meeting through an action/issue log and track these to conclusion. Meetings can be held virtually or in person as is appropriate. Groups will produce highlight reports for the Full Authority.

In order to make group meetings successful the following principles will be adopted:

- All material for review will be distributed at least 5 working days ahead of the meeting
- Group members that are unable attend the meeting are asked to provide feedback on material to the group lead at least 24 hours before the meeting

4.7 Group Roles

4.7.1 Group Chair: Authority Member

Each group will have an Authority Member appointed as chair. As well as the responsibilities outlined in 4.7.2 the chair will be responsible for:

- Reporting to the Authority
- Providing direction to the group

4.7.2 Group Non-Executive Members: Authority Members

Each group will include Members of the Authority. The Members act in a non-executive role in directing and reviewing the work of the group.

4.7.3 Group Lead: Member of the Executive

The group leader will be a member of the Executive. Their responsibilities are to:

- Ensure that the process is followed
- Plan the activity for the group
- Maintain the up to date action log for the group
- Ensure material is provided in a timely manner

4.7.4 Group Members: BTP and Executive Staff

The actual work will be done by the members of the group. These group members will be drawn from both the BTP and the Executive. Their responsibility is to deliver specific chunks of work in a timely manner in line with the group plan

- Conduct work in conjunction with the group lead
- Ensure reports are written in a timely manner

4.8 Principles for non-executive group membership

The selection of group members is the responsibility of the Authority Chair and will be determined on an annual basis.

Group Chairs will meet twice yearly immediately before or after a programmed Authority meeting.

5. Stakeholder engagement

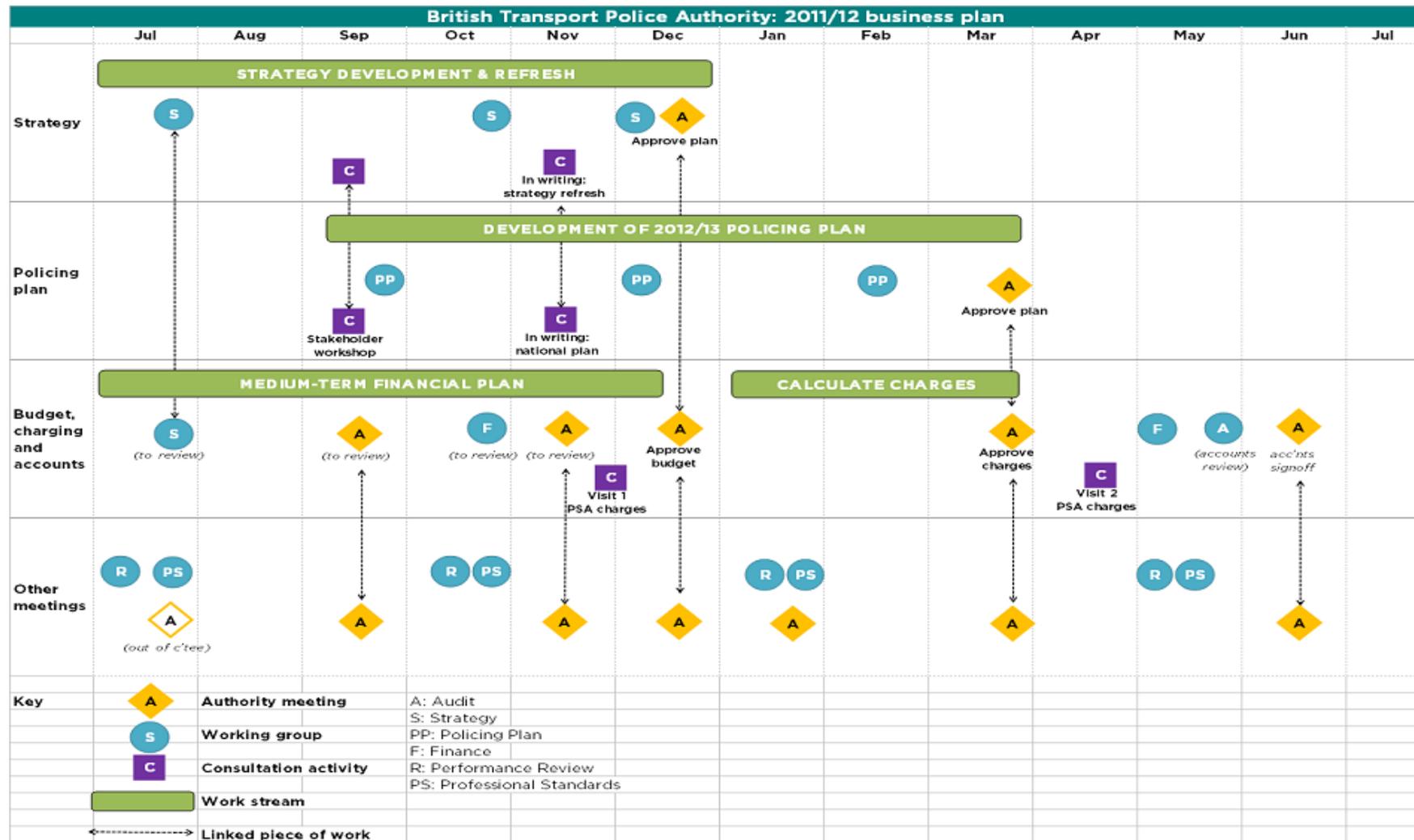
5.1 Approach

- Dialogue between BTPA and its partners will be active, continuous and central to successful delivery of the annual business cycle
- Stakeholders will be invited to feed into all of the Authority's key decision making activities. We will provide feedback on what decisions were taken and how stakeholder inputs were used
- Engagement activities (both formal and informal) will be supported and where appropriate planned by the BTPA executive
- Feedback from all engagement activities (both formal and informal) will be collected by the BTPA executive and used to inform both decision making processes and future dialogue with stakeholders
- Our stakeholder engagement plan will be evaluated on an annual basis as part of the Authority's business cycle activities

5.2 Proposed engagement activities in 2011/12

- Details of our planned engagement activities and engagement leads are set out in the BTPA Stakeholder Engagement and Communication Strategy 2011/12.

6. Proposed 2011/12 Plan



7. Acceptance Criteria

The acceptance criteria for the Groups will be as defined below:

7.1 Strategy Group

- A refreshed Strategic Plan for recommendation to the Authority
- Post 2013 charging arrangements recommended to the Authority
- Satisfactory London Governance arrangements recommended to the Authority
- An End of Year Report

7.2 Plan Group

- A Policing Plan for recommendation to the Authority
- An End of Year Report

7.3 Finance Group

- A recommended budget for BTP and BTPA
- Discharge of its oversight function
- Risks highlighted
- Assurance provided on charges
- An End of Year Report

7.4 Performance Review Group

- Discharge of its oversight function
- Risks highlighted
- An End of Year Report

7.5 Authority

- Statutory duties met resulting in an efficient and effective BTP

7.6 Stakeholder management

- Delivery of the Stakeholder Engagement Plan
- Stakeholders engaged and support and understand Strategy and Plan

7.7 Audit Committee

- Accounts recommended to the Authority for approval
- Internal and external audit functions overseen
- Provide assurance and highlight risk
- End of Year Report

7.8 Professional Standards Committee

- Discharge oversight function
- Provide assurance and highlight risk
- End of Year Report

7.9 Appointments and Remuneration Committee

- Chief Executive and Authority Finance Director appraisals completed and approved
- Chief officer appraisals completed and approved
- Remuneration packages and performance related pay approved for chief officers and equivalents
- All recruitment processes carried out diligently and within employment legislation

APPENDIX A: Equality and Human Rights Oversight Arrangements

BTPA duty	Stage in BTPA business cycle	Detail	BTPA Lead Group	Notes
Refresh the three year strategy and financial plan	Strategic planning	Reviews detail of proposed amendments to the three year strategy including equality impact assessment of any option proposals	Strategy Group	Reports to full Authority
		Reviews detail of proposed amendments to medium term financial strategy including equality impact assessment of any option proposals	Strategy Group	
		Oversees and considers outputs of stakeholder engagement on any new strategic issues emerging - are equality inputs represented?	Strategy Group	
		Recommends revisions to the 3 year strategy and medium term financial plan highlighting any potential equality issues	Strategy Group	
		Agrees any amendments to the refreshed 3 year strategy and medium term financial plan taking into account any potential equality issues	Full Authority	
Agree annual objectives for BTP in 2012-13	Policing Plan	Agrees annual policing plan targets in line with refreshed 3 year strategy and financial plan, including targets to maintain or improve performance in relation to equality	Policing Plan Group	Reports to full Authority
		Oversees and considers outputs of stakeholder engagement on policing plan issues - are equality inputs adequately represented?	Policing Plan Group	Reports back to full Authority and stakeholders
Ensure adequate resources for BTP	Budget setting &	Recommends BTP/A budgets for 2012-13 for approval by the full Authority - taking into account equality	Finance group	Reports to full

and BTPA in 2012-13	monitoring	<p>impact assessment of any budget bids/proposed cuts</p> <p>Agrees annual budget for BTP and BTPA for 2012-13- taking into account equality impact assessment of any budget bids/proposed cuts</p> <p>Monitors budget expenditure - is planned expenditure with a significant equality impact on track?</p>	<p>Full Authority</p> <p>Finance group</p>	<p>Authority</p> <p>Reports to full Authority</p>
Hold the Force to account for delivery	Performance Review	<p>EDHR Strategy - delivery against strategy is scrutinised - including any cultural audit work</p> <p>Policing Plan 2011-12 - delivery against any diversity related targets is scrutinised</p> <p>2011-14 3 Year Strategy - delivery against diversity related objectives is scrutinised</p> <p>Levels and trends in hate crime are scrutinised and any targets/action plans are progressed</p> <p>Service delivery - any gaps in satisfaction levels scrutinised</p>	<p>Performance review group</p> <p>[also inputs from Member portfolio activity, attendance at BTP meetings, external sources]</p>	Reports to full Authority
Hold the Force to account for delivery	Use of Stop & Search powers	<p>Use of, and any disproportionality in use of, Stop & Search powers are monitored and challenged taking into account use of new S47A power</p> <p>Organisational KPIs - performance in relation to turnover/sickness/training/promotion/grievances targets is monitored and any trends or issues emerging are explored</p> <p>Outputs from internal/external inspection reports - relevant diversity issues identified and progress scrutinised</p>	<p>Performance review group</p> <p>BTPA also represented at BTP's Community Stop & Search panel</p>	Reports to full Authority

Professional Standards matters	Ongoing Professional standards oversight	<p>Oversight of complaints/conduct matters includes scrutiny of, and where relevant development of action plans to address, any equalities issues/risks emerging</p> <p>Oversight of BTP grievances</p> <p>Handling of conduct/grievance issues relating to senior officers – activities are monitored for any emerging equalities issues</p> <p>Monitor outputs of ICV activity and improvement actions arising</p>	<p>Professional Standards Committee (PSC)</p> <p>BTPA Executive</p> <p>Professional Standards Committee (PSC)</p>	<p>Reports to full Authority</p> <p>Any matters recorded reported to PSC</p> <p>Reports to full Authority</p>
Internal/external audit matters	Ongoing Audit scrutiny activity	<p>Risk oversight – Ensure that diversity considerations are properly represented in the processes for identifying and addressing risk.</p> <p>Also that any significant diversity risks are identified considered as part of BTP and BTPA’s ongoing risk management arrangements.</p> <p>Assurance on business processes – identify, and ensure plans are in place to address, the non-delivery of agreed business processes where these have any potentially unjustified equality implications</p> <p>Business Continuity – ensure than planning arrangements make appropriate provision for all staff including those with additional requirements</p>	<p>Audit Committee</p> <p>Audit Committee</p>	Reports to full Authority
Consult with statutory	Consultation & Communication	Ensure consultation and communications activities are accessible to, and include, individuals and groups from	Police Authority	Inputs into all other Groups

stakeholders	Strategy	a range of diverse backgrounds Oversight of delivery of the BTP Consultation & communication strategy to ensure that activities are accessible to and include individuals and groups from a range of diverse backgrounds		as they arise
Appoint, and if necessary dismiss, Chief Officers	N/A	Ensure that the process for advertising, selecting, interviewing, and appointing Chief Officers does not intentionally or unintentionally exclude any individuals or groups. Monitor and publish details of applications, interviews and appointments Ensure that any dismissal process fully considers and gives due regard to equality and diversity issues arising	Senior officer appointment panel BTPA Executive	Reports to full Authority Published annually on website
Chief Officer appraisals	Performance Review	Set objectives for the Chief Officer and review performance of the Strategic Command Team - ensuring that equalities issues are properly reflected and evaluated	Senior officer appraisal panel	Reports to full Authority
BTPA Executive staff recruitment	N/A	Ensure that the process for advertising, selecting, interviewing, and appointing Executive staff does not intentionally or unintentionally exclude any individuals or groups Monitor and publish details of applications, interviews and appointments Monitor and publish composition of Executive and Authority Members	Chief Executive BTPA Executive BTPA Executive	Published annually on website
Other legislative requirements	Supports all stages	Develop and review equality objectives 2 Identify and work to eliminate discrimination on the basis of race, disability and gender (and age, sexual	Chief Executive Chief Executive	Propose annual diversity reports from both BTP and

² Specific duties still to be confirmed by HM Government as at 1st June 2011

	Performance review	orientation, religion and belief, and gender identity) Improve relations between diverse groups Prioritise and equality impact assess new and existing policies and functions Publish an annual report from BTPA Publish an annual report from BTP	Chief Executive Chief Executive Chief Executive Chief Constable	BTPA to Performance Review Group for comment then to full Authority
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APPENDIX B: Strategy Group

To assist the Authority in considering these proposals, the work programme that could be followed by each of the working groups has been set out.

B.1 Summary of Process

Meeting 1: Mid July	<ul style="list-style-type: none">• Review draft of MTFP• Review Strategic Plan for refresh and agree on focus for September Workshop
Consultation Stage 1	<ul style="list-style-type: none">• <i>Industry Workshop and Regional Visits with wider stakeholders</i>
Meeting 2: Mid October	<ul style="list-style-type: none">• Review consultation feedback and feed into refresh of strategy• Review final draft of MTFP for recommendation to Authority
Consultation Stage 2	<ul style="list-style-type: none">• <i>Write out with any suggested major revisions to all stakeholder groups</i>
Meeting 3: Early December	<ul style="list-style-type: none">• Draft of refreshed strategy approved for recommendation to Authority

B.2 Meeting 1 – Mid July

B.2.1 Agenda

- Report on performance against the previous year's plan
- Initial themes emerging from horizon scanning
- Consultation plan proposal (who, when, how)
- Options paper on possible document Styles
- Operating context and risks for next 3 year period (BTP)
- MTFP Report

B.2.2 Inputs

- Report on performance against the previous year's plan from the Performance Review Group (BTP/A)
- Force Strategic Assessment document (BTP)
- Horizon Scanning Report (BTP/A)
- Options Paper on Possible Document Styles (BTP/A)
- Consultation Proposal (BTPA)
- Draft MTFP Report
- Operating context and risks for next 3 year period (BTP)

B.2.3 Outputs

- Timetable of work agreed

- Commission work on the MTFP to feed in to the planning process
- Commission work on operating context and risks for next 3 year period
- Agreement on consultation process
- Agreement on document style
- Agree outline risks and operating context

Consultation Stage 1: – Chairman, Members and BTP leads to meet with stakeholders to discuss their priorities to feed into the development of the Strategic Plan on a regional basis and Industry workshop to be held.

B.3 Meeting 2 – Mid October

B.3.1 Agenda

- Feedback from initial Consultation
- Suggested outline structure of the Plan
- Final Draft Version of Medium term financial plan

B.3.2 Inputs

- Consultation feedback – main themes emerging (BTPA)
- Outline structure of the Plan (BTP/A)
- Final Draft Version of Medium term financial plan

B.3.3 Outputs

- Agree draft strategic priorities to shape Plan
- Agree outline structure for Plan
- Commission production of the first full draft
- Commission written follow up consultation on progress and emerging shape and priorities within the Plan
- Approved medium term financial plan for recommendation to the Authority

Consultation Stage 2:- A letter to be sent detailing the strategic priorities identified to ensure that these match those of the stakeholders or explain variance where appropriate

B.4 Meeting 3 – Early December

B.4.1 Agenda

- First draft of Strategic Plan
- Any further feedback from the written consultation
- Consultation documents

B.4.2 Inputs

- First draft Strategic Plan (BTP/A)
- Feedback from the written consultation (BTPA)
- Consultation documents

B.4.3 Outputs

- Approved draft Plan for final consultation
- Supporting consultation materials agreed
- Final consultation commissioned and list of consultees agreed

Final Consultation Stage - draft plan sent to agreed stakeholders for comment and posted on website for public feedback (Early January - End January)

B.5 Meeting 4 - Late February

B.5.1 Agenda

- Report on Feedback from the final consultation (already incorporated in the Plan)
- Final Draft Version of the Strategic Plan

B.5.2 Inputs

- Report on Feedback from the final consultation (BTPA)
- Final Draft Version of the Strategic Plan (BTP/A)

B.5.3 Outputs

- Approved final Plan for recommendation to the Authority in late September

APPENDIX C: Policing Plan Group

C.1 Summary of Process

Meeting 1: Early October	Agree shape of the Plan Commission work on National Targets
Meeting 2: Early December	Receive and comment on National targets
Meeting 3: End February	Review final draft of Policing Plan for recommendation to Authority

C.2 Early October Meeting

C.2.1 Agenda

- Receive key evidence and develop a set of agree thematic policing plan priorities

C.2.2 Inputs

Main issues arising from:

- Programmed Chair/Member/BTP lead 1:1 interviews with industry representatives
- The spring & autumn National Passenger Survey
- Early Area Commander led consultations with local stakeholders
- Evidence from any other Force led consultation activities including the Strategic Assessment
- BTPA Member feedback from Area work
- Inputs from the Welsh Assembly and Scottish Executive
- Inputs from the DfT
- Inputs from ATOC
- Inputs from Passenger Focus

C.2.3 Outputs

- Shape of the Plan is agreed in principle
- Emerging priorities agreed
- Further work on the National Plan is commissioned

C.3 Early December Meeting

C.3.1 Agenda

- A first draft of the National policing plan

- Update on progress/issues arising from stakeholder consultations

C.3.2 Inputs

- Further Area Commander led consultations with local stakeholders
- Outputs from discussions at SCT
- Current performance against proposed National targets
- Further representations from stakeholders

C.3.3 Outputs

- Key issues identified for further work
- Actions log updated
- Items for presentation to the full Authority agreed
- Any additional information requested/work commissioned for next meeting

C.4 End February Meeting

C.4.1 Agenda

- Final draft policing plan including National and Local targets

C.4.2 Inputs

- Current performance against proposed targets (National & Local)
- Final draft of the Policing Plan as recommended by the Chief Officer Group
- Further representations from stakeholders
- Comments from PPG members

C.4.3 Outputs

- Approved draft to be recommended to the full Authority

APPENDIX D: Finance Group*D.1 Summary of Process*

Meeting 1: Mid July	Q1 data received and reviewed Issues raised/actions logged Items to report back to full Authority agreed
Meeting 2: Mid October	Update on Q1 issues and actions Q2 data received and reviewed Issues raised/actions logged Items to report back to full Authority agreed First review of proposed 2012/13 budget Kick off PSA charging work stream
Meeting 3 : Early December	Review final budget proposals and recommend to December Authority meeting for approval Review progress of the charging work stream
Meeting 4: Mid January	Update on Q2 issues and actions Q3 data received and reviewed Issues raised/actions logged Items to report back to full Authority agreed Review progress of charging work stream
Meeting 5: Mid March	Review PSA charges and recommend to Authority for approval
Meeting 6: Mid May	Update on Q3 issues and actions Q4 data received and reviewed Issues raised/actions logged Agree issues for inclusion in Annual Report

D.2 Mid July Meeting

D.2.1 Agenda

- Q1 budget data
- Key issues identified by BTP & BTPA Analysts
- Actions log opened and updated

D.2.2 Inputs

- Q1 budget data from BTP programme board
- Analysis by BTP and BTPA analysts (BTP/A)

D.2.3 Outputs

- Key issues identified for further work
- Actions log updated
- Items for presentation to the full Authority agreed

D.3 Mid October Meeting

D.3.1 Agenda

- Q2 budget data
- Key issues identified by BTP & BTPA Analysts
- Actions log opened and updated
- Initial budget proposal review
- Outputs from programmed Chair/Member/BTP lead 1:1 interviews with industry representatives
- Kick off PSA charging work stream

D.3.2 Inputs

- Q2 budget data from BTP programme board
- Analysis by BTP and BTPA analysts (BTP/A)
- 2012/13 budget proposal (BTP)

D.3.3 Outputs

- Key issues identified for further work
- Actions log updated
- Items for presentation to the full Authority agreed
- Any additional information requested/work commissioned for next meeting

D.4 Early December Meeting

D.4.1 Agenda

- Approval of final budget proposal for recommendation to the Authority
- Review progress of PSA charging work stream (Executive lead)

D.4.2 Inputs

- Final budget proposal 2012/13
- Progress report from charging workstream

D.4.3 Outputs

- Budget approval for submission to the December Authority meeting
- Recommendations/suggestions for charging workstream

D.5 Mid January Meeting

D.5.1 Agenda

- Q3 budget data
- Key issues identified by BTP & BTPA Analysts
- Actions log opened and updated
- Review progress of PSA charging work stream (Executive lead)

D.5.2 Inputs

- Q3 budget data from BTP programme board
- Analysis by BTP and BTPA analysts (BTP/A)
- Progress report from charging workstream

D.5.3 Outputs

- Key issues identified for further work
- Actions log updated
- Items for presentation to the full Authority agreed
- Recommendations/suggestions for charging workstream

D.6 Mid March Meeting

D.6.1 Agenda

- Review and approval of PSA charges for 2012/13

D.6.2 Inputs

- PSA charges
- Paper documenting how and why individual PSA charges have changed
- Report on the process and verification performed during calculation of charges

D.6.3 Outputs

- Agreement that PSA charges are okay to present at March Authority meeting

D.7 Mid May Meeting

D.7.1 Agenda

- Q4 and annual budget data
- Key issues identified by BTP & BTPA Analysts
- Actions log opened and updated
- Review progress of PSA charging work stream (Executive lead)

D.7.2 Inputs

- Q3 budget data from BTP programme board
- Analysis by BTP and BTPA analysts (BTP/A)
- Progress report from charging workstream

D.7.3 Outputs

- Key issues identified for further work
- Actions log updated
- Items for presentation to the full Authority agreed
- Recommendations/suggestions on charging workstream
- Agree budget information for inclusion in annual report

APPENDIX E: Performance Review Group

E.1 Summary of Process

Meeting 1: Mid July 2010	Q1 data received and reviewed Issues raised/actions logged Items to report back to full Authority agreed
Meeting 2: Mid October 2010	Update on Q1 issues and actions Q2 data received and reviewed Issues raised/actions logged Items to report back to full Authority agreed
Meeting 3: Mid January 2011	Update on Q2 issues and actions Q3 data received and reviewed Issues raised/actions logged Items to report back to full Authority agreed
Meeting 4: April 2011	Update on Q3 issues and actions Q4 data received and reviewed Issues raised/actions logged Agree issues for inclusion in Annual Report Data sources & frequency (SLA) agreed for 2012/13 Reporting back style agreed for 2012/13

E.2 July Meeting

E.2.1 Agenda

- Q1 performance data
- Key issues identified by BTP & BTPA Analysts

- Actions log opened and updated

E.2.2 Inputs

- Q1 performance data (BTP)
- Analysis by BTP and BTPA analysts (BTP/A)

E.2.3 Outputs

- Key issues identified for further work
- Actions log updated
- Items for presentation to the full Authority agreed
- Any additional information requested/work commissioned for next meeting

E.3 October Meeting

E.3.1 Agenda

- Update on actions from July meeting
- Q2 performance data
- Key issues identified by BTP & BTPA Analysts (BTP/A)
- Actions log updated (BTPA)

E.3.2 Inputs

- Update on actions (BTP)
- Q2 performance data (BTP)
- Analysis by BTP and BTPA analysts (BTP/A)

E.3.3 Outputs

- Key issues identified for further work
- Actions log updated
- Items for presentation to the full Authority agreed
- Any additional information requested/work commissioned for next meeting

E.4 January Meeting

E.4.1 Agenda

- Update on actions from October meeting
- Q3 performance data
- Key issues identified by BTP & BTPA Analysts (BTP/A)
- Actions log updated (BTPA)

E.4.2 Inputs

- Update on actions (BTP)

- Q3 performance data (BTP)
- Analysis by BTP and BTPA analysts (BTP/A)

E.4.3 Outputs

- Key issues identified for further work
- Actions log updated
- Items for presentation to the full Authority agreed
- Any additional information requested/work commissioned for next meeting

E.5 April Meeting

E.5.1 Agenda

- Update on actions from January meeting
- Q4 performance data
- Key issues identified by BTP & BTPA Analysts (BTP/A)
- Actions log updated (BTPA)
- Review of work carried out in 2011/12 and way forward for 2012/13 agreed for recommendation to full Authority March 2011
- Issues for inclusion in BTPA Annual Plan identified

E.5.2 Inputs

- Update on actions (BTP)
- Q4 performance data (BTP)
- Analysis by BTP and BTPA analysts (BTP/A)
- Evaluation of approach taken in 2010/11 and proposals for way forward in 2012/13 (all - collated by BTPA lead)

E.5.3 Outputs

- Key issues identified for further work
- Actions log updated
- Items for presentation to the full Authority agreed
- Evaluation of approach taken in 2011/12 and proposals for way forward in 2012/13 agreed for presentation to full Authority March 2012
- Issues for inclusion in BTPA Annual Plan identified
- Any additional information requested/work commissioned for next meeting