BTPA Statutory Duties and how these are discharged

| Authority/Committee/Group | Statutory Duty | Guidance | Good Practice | Reference | Information currently received |
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| **Police Authority** | | | | | |
| **Purpose**<br>To assess whether products/outcomes have been delivered and that all legal requirements have been met to ensure efficient and effective policing of the railways | | | | | |
| **Products** | | | | | |
| Approved Policing Plan | ✔ | | | Railways and Transport Safety Act sections 50, 51 and 52 | Recommended version of Plan<br>Policing Plan Group minutes |
| Approved Strategic Plan | ✔ | | | Railways and Transport Safety Act section 55 | Recommended Strategic Plan<br>Strategy Group reports and minutes |
| Approved Annual Budget | ✔ | | | Railways and Transport Safety Act Schedule 4 section 19 | Recommended annual budget<br>Finance Group reports and minutes |
| Approved MTFP | ✔ | | | Railways and Transport Safety Act Schedule 4 section 20 | Recommended MTFP<br>Strategy Group reports and minutes |
| Approved Annual Statement of Accounts | ✔ | | | Railways and Transport Safety Act Schedule 4 paragraph 17(a) | Annual Statement of Accounts<br>Progress updates on accounts in Chief Executive Report<br>Audit Committee minutes, update and recommendation |
| Approved Annual Report | ✔ | | | | |
| Approved PSA Charges | ✔ | | | Railways and Transport Safety Act paragraph 33(3)(4) | PSA Charges report<br>Finance Group report and minutes |
| Approved Annual Health and Safety Statement | ✔ | | | Health and Safety at Work Act 1974<br>Management of Health & Safety at Work Regulations 1999<br>Corporate Manslaughter and Corporate Homicide Act 2007 | Annual Health and Safety Statements from BTP and BTPA |
| **Key Responsibilities** | | | | | |
| Ensure compliance with legislation | ✔ | | | Railways and Transport Safety Act section 18 | Reports on legislative change - often included in the Chief Executive or Chief Constable's Reports |
| Assessment of financial, organisational and operational performance | ✔ | | | Railways and Transport Safety Act section 19 | Chief Constable's Report<br>Performance Review Group Quarterly Report<br>Finance Group Quarterly Report |
| Feed into Strategy, Policing Plan, budget and MTFP development | ✔ | | | Railways and Transport Safety Act sections 50, 55 and schedule 4 paragraphs 19 and 20 | Recommended version of Plan<br>Policing Plan Group minutes<br>Recommended Strategic Plan<br>Recommended MTFP<br>Strategy Group reports and minutes<br>Recommended annual budget<br>Finance Group reports and minutes |
| Corporate Governance in place, effective and up to date | | ✔ | ✔ | Railways and Transport Safety Act section 19<br>Managing Public Money<br>Good Governance Standard for Public Services | Annual Review report which includes:<br>*review of committee structure, including terms of reference, membership etc*<br>*portfolio arrangements*<br>*information supply*<br>*implications of changes for the Governance Code*<br>*Assurance from Audit Committee on Register of Interest and Gifts and Hospitality* |
| To have awareness of the risks to the organisation, particularly when taking decisions, and to escalate risks to DfT as appropriate | | ✔ | ✔ | Railways and Transport Safety Act section 19<br>Good Governance Standard for Public Services<br>HMT Risk Management Orange Book | Strategic Risk Registers<br>Risk implications sections in papers<br>Audit Committee minutes and updates |
| To take decisions on key strategic issues as and when they arise | ✔ | | | Railways and Transport Safety Act section 19 | |
| **Audit Committee** | | | | | |
| **Products** | | | | | |
| Recommended Statement of Accounts | ✔ | | | Railways and Transport Safety Act Schedule 4 paragraph 17(a) | Annual Statement of Accounts<br>NAO Audit Report<br>Accounts Timetable |
| Approved Internal Audit Plan | ✔ | | | Railways and Transport Safety Act Schedule 4 paragraph 17(b) | Annual Internal Audit Plan |
| Approved External Audit Strategy | ✔ | | | Railways and Transport Safety Act Schedule 4 paragraph 17(b) | Annual Audit Strategy |
| Approved Fraud and Anti-corruption policies | ✔ | | | Bribery Act 2010 | Anti-Fraud and Corruption Policies from BTP and BTPA |
| Approved Gifts and Hospitality Registers | | | ✔ | Good Governance Standard for Public Services | BTP and BTPA Gifts and Hospitality Registers |
| **Key Responsibilities** | | | | | |
| Assess effectiveness of financial management, internal business processes and control systems | ✔ | | | Railways and Transport Safety Act section 19 | Management Assurance Statement received 6-monthly and submitted to DfT<br>Statement on Internal Control, now Governance Statement<br>Gifts and Hospitality Registers provided for approval |
| Assess the performance, effectiveness of and results from the Authority's audit arrangements, both internal and external (including HMIC) | ✔ | | | Railways and Transport Safety Act section 19 | HMIC Inspection Plan fro agreement<br>Crime and Incident Data Quarterly Updates |

BTPA Statutory Duties and how these are discharged

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| Assess the implementation of agreed audit-based recommendations from any management letters received from internal or external auditors | ✔ | | | Railways and Transport Safety Act section 19 | Provided as an appendix of BTP Director of Corporate Resources standing report |
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| **Strategy Group** | | | | | |
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BTPA Statutory Duties and how these are discharged

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| To consider the context, style and content of the Strategic Plan against the current landscape understanding the key strategic challenges facing BTP and BTPA | ✔ | | | Railways and Transport Safety Act sections 19 and 55 | Suggested overarching objectives accompanied by a report on the operating context<br>Stakeholder feedback<br>Report on other relevant factors e.g. rail industry projects such as McNulty<br>Suggested refreshed Plan |
| To monitor the progress of the Futures Programme | ✔ | | | Railways and Transport Safety Act section 19 | Quarterly Update Reports on the Programme |
| To ensure that there is stakeholder consultation and that cognisance of taken of responses | ✔ | | | Railways and Transport Safety Act section 62 | Stakeholder feedback from the annual September Workshop<br>Feedback from written consultation on proposed refreshed Plan |
| **Finance Group** | | | | | |
| **Products** | | | | | |
| Recommended annual budget | ✔ | | | Railways and Transport Safety Act Schedule 4 section 19 | Revenue budget proposals including operating context BTP and BTPA<br>London Underground proposed budget and operating context |
| Recommended capital budget | ✔ | | | Railways and Transport Safety Act Schedule 4 section 19 | Capital budget proposals and spend profile |
| Recommended PSA charges | ✔ | | | Railways and Transport Safety Act paragraph 33(3)(4) | Annual charges report (see below for more detail) |
| Quarterly financial reports | ✔ | | | Railways and Transport Safety Act section 19 | Quarterly Reports from BTP and BTPA (see below for more detail) |
| **Key responsibilities** | | | | | |
| Assessment of financial performance | ✔ | | | Railways and Transport Safety Act section 19<br>Managing Public Money | Quarterly Reports from BTP including:<br>*Revenue budget analysis by Department and Area, Income and Expenditure*<br>*In year budget movements*<br>*Capital programme performance*<br>*Balance sheet and cashflow*<br>*Underlying financial position*<br>Quarterly Report from BTPA including:<br>*Financial position*<br>*Financial Forecast*<br>*Debtors* |
| Advice on the preparation of the annual budget | ✔ | | | Railways and Transport Safety Act Schedule 4 section 19 | Revenue and Capital budget proposals including operating context BTP and BTPA<br>London Underground proposed budget and operating context |
| Assessment of spend on capital projects approved by BTPA | ✔ | | | Railways and Transport Safety Act section 19<br>Managing Public Money | Update on capital spend in BTP Quarterly Report<br>End of Project Reports |
| Assessment of accuracy of charges from Model and context | ✔ | | | Railways and Transport Safety Act paragraph 33(3)(4) | Annual charges report including:<br>*PSA holder movements from previous year and explanations*<br>*List of data sources and verification work* |
| **Performance Review Group** | | | | | |
| **Products** | | | | | |
| Quarterly performance reports | ✔ | | | Railways and Transport Safety Act sections 19, 52, 53, 55, 56, 57 and 59 | Quarterly Reports from BTP (see below for more detail) |
| **Key responsibilities** | | | | | |
| Assessment of performance against Policing Plan, Strategic Plan, KPIs, organisational targets, project delivery and external inspection recommendations | ✔ | ✔ | ✔ | Railways and Transport Safety Act sections 19, 52, 53, 55, 56, 57 and 59<br>McPherson Report recommendations 62 and 63 (Stop and search monitoring)<br>Equality Act Part II, Chapter 1 section 149 | Progress against the Policing Plan<br>Progress against the Strategic Plan<br>Progress against the EDHR Strategy<br>Cable theft performance<br>Progress against HMIC recommendations<br>Taser usage figures<br>Stop and Search usage figures<br>Performance against project delivery<br>Performance Dashboard<br>Thematic reports |
| **Policing Plan Group** | | | | | |
| **Products** | | | | | |
| Recommended Annual Policing Plan | ✔ | | | Railways and Transport Safety Act sections 50, 51 and 52 | See below |
| **Key responsibilities** | | | | | |
| To consider the context, style and content of the Policing Plan against the current landscape | ✔ | | | Railways and Transport Safety Act sections 50, 51 and 52 | Suggested process steps<br>Progress on current Plan objectives<br>Proposed National Targets including context and landscape<br>Proposed common and local targets including context and landscape |
| To ensure that there is stakeholder consultation and that cognisance of taken of responses | ✔ | | | Railways and Transport Safety Act sections 52 | Stakeholder feedback from the annual September Workshop<br>Passenger/Union views research<br>Feedback from written consultation on proposed national targets |
| **Pensions Working Group** | | | | | |
| **Products** | | | | | |
| Recommended governance structure of funds | | | ✔ | | |
| Recommended de-risked investment strategy | | | ✔ | | |
| **Key Responsibilities** | | | | | |

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| This is a working group which was established to achieve the two specific objectives outlined it does any further responsibilities | | | | | |

| Statutory Duties | Reference | Where Fulfilled |
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| *Railways and Transport Safety Act* | | |
| Ensure efficient and effective policing of the railways | Section 19 | All |
| Defray the expenses of BTP and BTPA so that they approximately reflect the nature and extent of functions likely to be taken in accordance with a customer's PSA | Section 33(4) | Full Authority, Finance Group and Strategy Group |
| Prepare an Annual Policing Plan | Section 52 | Full Authority, Policing Plan Group |
| Prepare a 3 year Strategy Plan | Section 55 | Full Authority, Strategy Group |
| Publish an Annual Report on policing and progress against the Policing and Strategic Plans | Section 57 | |
| Maintain accounts and have them audited | Schedule 4 section 17(a)(b) | Full Authority and Audit Committee |
| Set an annual budget and establish the likely ratios for the next 5 years | Schedule 4 section 20 | Full Authority, Finance Group and Strategy Group |
| Publish a Member Allowances Scheme | Schedule 4 section 21 | Full Authority |
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| *Equality Act* | | |
| A public authority must, in the exercise of its functions, have due regard to the need to— | Part 11 Chapter 1 Section 149 | |
| (a) eliminate discrimination, harassment, victimisation and any other conduct that is prohibited by or under this Act; | Part 11 Chapter 1 Section 149 | All Committees/Groups have a role in their areas but this is mainly covered by the Performance Review Group and Full Authority |
| (b) advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; | Part 11 Chapter 1 Section 149 | All Committees/Groups have a role in their areas but this is mainly covered by the Performance Review Group and Full Authority |
| (c) foster good relations between persons who share a relevant protected characteristic and persons who do not share it. | Part 11 Chapter 1 Section 149 | All Committees/Groups have a role in their areas but this is mainly covered by the Performance Review Group and Full Authority |
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| *Children's Act 2004* | | |
| Part 2 s.11 of the Act places two specific duties upon English police authorities. Police authorities must ensure that: | | |
| their functions are discharged having regard to the need to safeguard and promote welfare of children; and | Part 2 section 11 | |

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| any services provided by another person pursuant to arrangements made by the person or body in the discharge of their functions are provided having regard to that need. | Part 2 section 11 | |
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| *McPherson Report* | | |
| Monitor Force's use of stops and searches and publish analysis | Rec 62 | Performance Review Group |
| Undertake publicity campaigns to raise awareness of stop and search use and public rights | Rec 63 | Performance Review Group |
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| *Freedom of Information Act 2000* | | Adherence not assessed |
| | | |
| *Data Protection Act 1998* | | Adherence not assessed |
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| *Health and Safety at Work Act 1974* | | Full Authority |
| | | |
| *Corporate Manslaughter and Corporate Homicide Act 2007* | | Professional Standards Committee for custody and Full Authority |
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| *Police Act 1996* | | |
| | | |
| *Police Reform Act 2002* | | |
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| **Guidance Documents** | | |
| Managing Public Money | | |
| Good Governance Standard for Public Services | | |
| HMT Orange Book - Risk Management | | |