

Report to: Authority Committee
Agenda: 14
Date: 19 March 2013
Subject: Authority Code of Governance and
Committee Structure
Sponsor: Chief Executive
Author: Authority Business Manager
For: Approval

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 This paper attaches the proposed new Code of Governance following consultation with the Chief Constable. It also attaches the proposed updates to the Committee Structure following consultation with Authority Members and the Chief Constable.
- 1.2 The paper provides the background on the drivers for the revisions, discusses the consultation responses, how they have been interpreted and explains the rationale where suggestions have not been adopted.

2. Background

- 2.1 The Authority's Code of Governance, and Committee structure as a key part of this, have been significantly revised as part of the annual review process. The intention of the annual review process is to ensure that the Authority continues to discharge its duties and functions in the most efficient and effective way, as such this review was informed by the following:
 - the revised Cabinet Office Guidance on Codes of Governance for Central Government Departments;
 - the new BTP Governance structure and how this impacted the information flows between force level and Authority meetings;
 - a perception of duplication/overlap between committees and groups;
 - recommendations from Internal Audit with respect to capital project governance and the DfT review;
 - feedback from the Chief Constable; and
 - feedback from Members.

- 2.2 The review of the Committee Structure was conducted in partnership with the review of the Code of Governance but was consulted on separately. The revised Code of Governance staffed through with the Chief Constable and his team. The final version is attached at Annex A for approval.
- 2.3 The consultation on the Committee Structure was conducted more widely with three possible models designed and offered for comment. The models aimed to build on the good practice in place whilst reviewing how the Authority could streamline its oversight function without risk to the fulfilment of its statutory duties. A revised model has been developed as a result of the consultation and is recommended for approval.

3. Code of Governance

The Revised Code

- 3.1 The Code of Governance has been revised with the emphasis on making the document more user-friendly, clarifying the rules and delegations and removing duplication. The new version (attached at Annex A) takes account of government guidance. It also ensures that all of the key statutory duties detailed in the Railways and Transport Safety Act 2003 (“the 2003 Act”) are captured and the processes for fulfilling these described. It further includes a new Annex capturing the Authority’s statutory duties from a range of legislation as well as guidance documents. The key changes to the document are listed in the table below:

New Governance Code	Old Governance Code	Revisions
Main Body	Amended	This has been significantly rewritten to improve ease of reference, reduce duplication, cover all of the statutory duties under the 2003 Act and clarify the legal basis of the Authority and those matters delegated to the Chief Executive and Chief Constable. The Committee structure will be added once this has been agreed.
Annex 1: Statutory Duties	New	This is a new Annex which captures the Authority’s statutory duties from a range of legislation and guidance, including how these are fulfilled. It is intended to provide confidence that the Authority is compliant with its statutory duties and clarify the basis for the Authority’s structure and approach.
Annex 2: Code of	Unchanged	This document was agreed with the DfT when the Authority was established and

Conduct		remains extant. It is based on the Nolan principles of public life which have remained unchanged.
Annex 3: Framework Document	No material change	This document was drafted in partnership with the DfT in 2010. Minor stylistic amendments and a small number of clarifications have been made but no contextual changes.
Annex 4: Financial Management	Amended	<p>The Financial Management and Regulations Annex has been revised in accordance with Audit recommendations on capital projects and major revenue streams. All numbers replaced with references to the scheme of delegation.</p> <p>A minimum requirement for an evaluation and financial appraisal to be undertaken and reported in respect of all capital and major revenue schemes over £50k. There was no minimum previously, meaning all schemes required an evaluation and financial appraisal.</p>
Annex 5: Procedural Standing Orders	No material change	This document was significantly revised in 2010 and a few minor stylistic amendments only have been made in this review.
Annex 6: Accounting Officer Service Level Agreement	No material change	No contextual changes have been made to the Service Level Agreement or the Memorandums. There were some stylistic amendments to the introduction of the SLA as the arrangements are no longer new.
Annex 7: Scheme of Financial Delegation	Moved from main body	This was significantly revised in 2012 and was recommended to the Authority for approval by the Audit Committee in December 2012. Approval was given and the revised scheme was adopted with immediate effect. The scheme has been moved from the main body of the code to an annex. The decision was taken that no numbers were to be included in the main body and other annexes, only references to the scheme of delegation to ease updating of the document and ensure clarity.

Table 1: Breakdown of amendments to Corporate Governance Code

Consultation on the Revised Code

3.2 Feedback on the Code of Governance was received from a number of sources including:

- Authority members
- Chief Constable

- Auditors; and
- the DfT.

- 3.3 This feedback was used to revise the Code with the emphasis, as described in paragraph 3.1, of making the document more user-friendly, clarifying the rules and delegations and removing duplication.
- 3.4 An initial review was conducted and shared with the Force and comments were largely positive. The request for a minimum threshold at which capital projects must be subject to financial appraisal and evaluation was requested and included at £50k. The Force also asked for clarity as to the rules on income that was received from third parties for specific projects. This is addressed in the main body of the document under the section detailing the *‘Responsibilities of the Chief Executive and Chief Constable: Financial’* where it is clarified that *“whilst the Chief Executive’s responsibilities relate to the income for the Authority and BTP and the expenditure of the Authority’s own budget, there is an exception where income is received from third parties for specific projects, this will be approached as if it were a contract with responsibility for the income dependent on the value of the project in accordance with the scheme of financial delegation”*.
- 3.5 Following the second set of revisions the Code was sent to the Chief Constable for comment. A number of comments were received and included, where comments could not be accommodated explanations were provided and compromises suggested. No significant contextual requests were refused.
- 3.6 The document attached at Annex A represents the final version of the Code of Governance and is recommended for approval with the caveats mentioned with respect to the Committee structure.

4. Committee Structure

- 4.1 The proposed structure following the consultation responses is attached at Annex B. The model responds to the comments and concerns raised in the consultation. The key issues raised as part of the consultation are detailed in the paper below along with the Authority response:

Matters raised in consultation	How addressed in Proposed Structure
Greater clarity and linkage between statutory duties, code of Governance, Authority Committee and Force Meeting structures	The statutory duties are annexed to the governance code with an explanation of how they are fulfilled. A spreadsheet detailing where each statutory duty is fulfilled by Committee and how the information flows

	<p>between the Authority and Force meeting structures is attached at Annex C and a chart showing how the Authority Meetings align with Force meetings is attached at Annex D</p> <p>A Board Assurance Framework is also under development.</p>
Duplication and overlap between Committees	<p>No specific examples of this were received as part of the review.</p> <p>The terms of reference were reviewed and the following amendments made to possible perceptions of overlap:</p> <p>Where the Finance Group had previously reviewed spend against capital projects and the Performance Review Group (PRG) had reviewed delivery this would now be combined with the Finance Committee having oversight of both spend and delivery.</p> <p>The Audit and Risk Committee would both approve action plans following HMIC inspections and assess progress. Assessment of progress had previously been fulfilled by the PRG following approval of the Plans by Audit.</p>
Leaner meeting structure with amalgamated committees	<p>The suggested amalgamation of Finance and Performance whilst receiving some support was dismissed by others as there was a concern that this could lead to less focus and rigour in meetings owing to the heavy workload. There were also concerns around quorum.</p>
Reports compiled for one meeting should be fit for purpose for multiple meetings	<p>The Authority Groups and Committees are very aware of not adding unnecessary burden to the Force and try to use reports that have been produced for use elsewhere in the Force meeting structure, for example</p> <ul style="list-style-type: none"> • PRG receive a Stop and Search report that has been produced for the Force's Stop and Search Scrutiny Board¹; • project reports for PRG and Finance are those used by Service Improvement Board

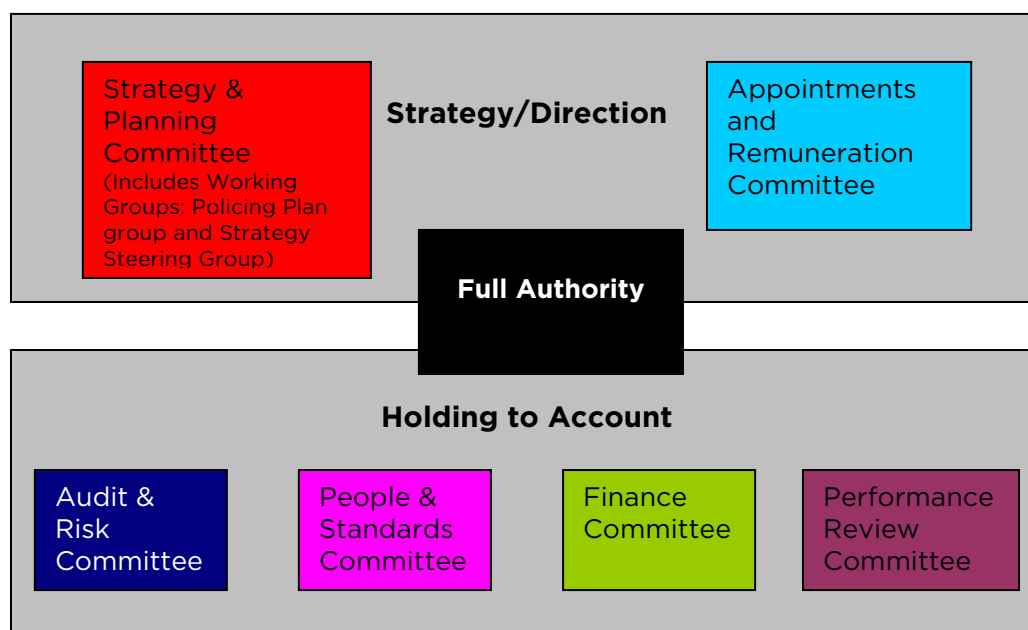
¹ This report also goes to the NIAG and Stop and Search Community Group

	<p>(SIB);</p> <ul style="list-style-type: none"> the EDHR update to PRG is the same as goes to Force DAG; PRG are also proposing to use the Performance Portal to support dashboard discussions; and the main finance report to Finance group is the same as goes to SIB.
Consider formation of an Executive Committee to speed up decision making	This was not considered necessary as the Authority already had out of committee and urgency procedures which may be used where decisions are required between meetings.
Terms of reference reflect delegation levels	Decision to keep all figures in the scheme of financial delegation. This will not only make updating the scheme easier removing the risk of confusion arising from duplications or missing figures in the document when updating updates.
Assign an Force executive lead for each committee	<p>Suggested executive leads have been identified in the terms of reference attached and these will be discussed with the Chief Constable once the committee structure has been agreed.</p> <p>The Members reinforced the position that only essential staff from the Force should attend meetings and if others were required they should attend for their agenda item only.</p>
As people account for 80% of expenditure more oversight of HR required, particularly as issues raised with respect to structure and data.	<p>The Professional Standards Committee has been expanded to cover a wider role with a broader focus on people and renamed as the People and Standards Committee. This is separate to the Appointments and Remuneration Committee which has a very narrow role with respect to terms and conditions and senior officer appointments and appraisal.</p> <p>The new PSC will oversee the development and maintenance of the Force's capability and representation through the monitoring of key HR data relating to recruitment, retention,</p>

	progression and management of attendance as well as having oversight of the restructure of the Human Resources Department
--	---

Table 2: Consultation responses and how these have been addressed

- 4.2 The proposed structure is not a radical remodel as feedback did not support this and no constructive model was suggested to replace the current arrangements.
- 4.3 The outline of the proposed model is below and full details are found at Annex B:



- 4.4 The key differences are detailed in the table below:

Committee	Changes
Full Authority	A Terms of Reference has been drafted which is in accordance with those for central government department boards.
Strategy and Planning Committee	This will be a key Committee and is designed to amalgamate the oversight of the strategy/planning function of the Authority. It will have oversight of and input to the development of the Strategy, MTFP and Policing Plans, with working groups for the development of Strategy and Policing Plan reporting in to it. This Committee will recommend the Strategy including the MTFP and Policing Plan to the Authority for approval.
Appointments and remuneration	No change

Committee	
Audit and Risk Committee	<p>The name has been changed to reflect the role the Committee undertakes.</p> <p>The terms of reference have been revised in accordance with the model Audit Committee terms of reference in the Treasury's Audit Committee Handbook. These were largely similar to the terms of reference that had been in place.</p> <p>The Committee will now assess progress against action plans following HMIC inspections as well as approving the plans.</p>
People and Standards Committee	<p>This was the Professional Standards Committee. Its remit has been retained and expanded to cover HR matters following concerns that there was not adequate oversight in this area.</p>
Finance Committee	<p>The terms of reference are largely unchanged. The only difference being that the Finance Committee will have sole responsibility for the monitoring spend and delivery of capital projects approved by the Authority.</p>
Performance Review Committee	<p>The HR, project and HMIC action plan oversight have been moved to other committees to remove any perception of duplication. The Committee retains a significant portfolio of work including assessment of progress against the Policing Plan and Strategy and oversight of BTP's protective services capability and equality.</p>

Table 3: The new Committees and how these have changed

4.5 The proposed model at Annex B is recommended for approval.

5. Portfolios

- 5.1 The feedback that was received on portfolio arrangements was positive with Area portfolios considered to be particularly useful. It was noted for these to add benefit it was important that feedback from portfolio providers was provided.
- 5.2 Portfolio activity has reduced and Members are asked to consider the level of support they would like to have in respect of these from the Executive team. Also, whether the alignments with chief officer portfolios are considered to be helpful.

6. Diversity issues

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

7. Impact assessment

- 7.1 The recommendations have minimal stakeholder impact.

8. Recommendations

- 8.1 Members approve the revised Code of Governance to be implemented with immediate effect.
- 8.2 Members approve the revisions to the Committee Structure to be implemented with immediate effect.
- 8.3 That the portfolio arrangements continue and Members determine the level of support they would like to have in respect of these.

Annexes

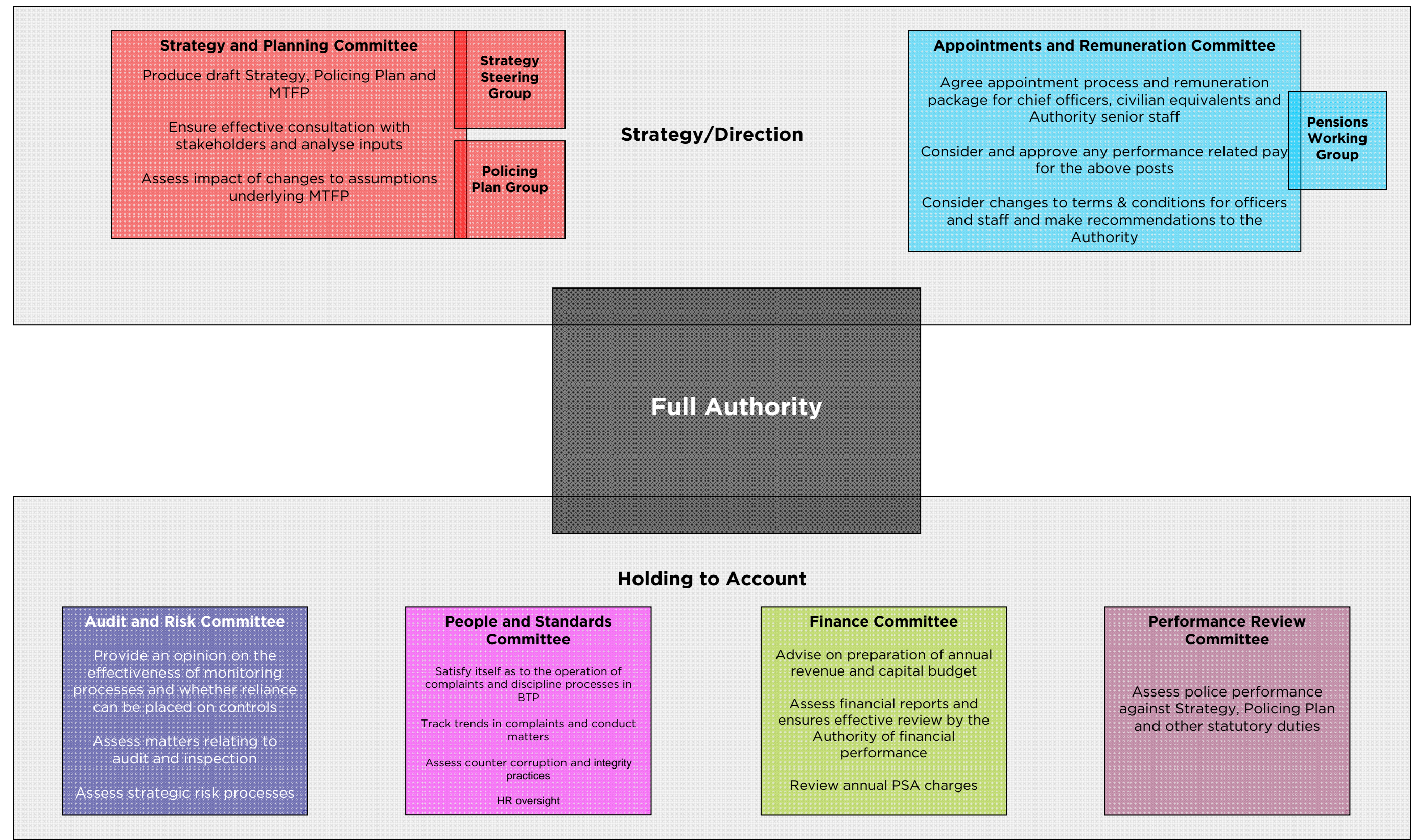
Annex A: Revised Code of Governance

Annex B: Proposed Committee Structure

Annex C: Information flows between Authority and Force meetings

Annex D: Alignment between Authority and Force Committees

Annex B: The Proposed Authority Model



Police Authority

Membership

The members of the full Authority are:

Millie Banerjee (Chair)
Brian Phillpott (Deputy Chair)
Lew Adams, Rail staff
Patrick Butcher, Industry
Howard Collins, Industry
Elizabeth France, Passenger
Michael Holden, Industry
Len Jackson, Passenger
Bill Matthews, Passenger and Scotland
Wendy Towers, Passenger
Anton Valk, Industry
Jeroen Weimar, Industry

Other attendees may be:

Authority Chief Executive (Executive lead)
Authority Finance Director
Authority Performance Review Manager
Authority Business Manager (minutes)

Chief Constable (Force Executive lead)
Deputy Chief Constable
Assistant Chief Constables
Director of Corporate Resources

Reporting

The Authority will publish all open papers and minutes on its website.

Responsibilities

The full Authority meets to perform its purpose of securing the maintenance of an efficient and effective police force for the railways through the following areas¹:

- *Strategic Clarity* - setting the vision and mission with a focus on long-term capability with all activities directly or indirectly contributing towards the strategy.
- *Commercial sense* - approving the distribution of responsibilities, setting the scheme of delegation, ensuring

¹ The 6 areas are described in the Corporate Governance in central government departments: Code of Good Practice 2011 published by HM treasury and Cabinet Office.

sound financial management, scrutinising the allocation of financial and human resources to achieve the plan, setting the risk appetite and ensuring controls are in place.

- *Talented People* – ensuring the chief officer team has the capability to deliver and plan to meet current and future needs.
- *Results Focus* – setting the Annual Railways Policing Plan and monitoring progress against this and the Strategy.
- *Management Information* – ensuring clear, consistent comparable performance information is provided to the Authority and used to drive improvements.
- *Professional standards* – ensuring that matters are dealt with according to statute and policy and challenging non-compliance.

The Full Authority retains total responsibility for governance, taking all decisions unless specifically delegated to a Committee and enshrined in its terms of reference.

The key statutory decisions which the Authority takes are to:

- Set a rolling Strategy covering a minimum of three years
- Set an annual Railways Policing Plan
- Set the budget of expected income and expenditure for policing the railways each year
- Approve the annual PSA charges

Meetings

The Authority will meet at least 6 times a year. The Chair of the Authority may convene additional meetings, as they deem necessary.

Audit and Risk Committee

Membership

The members of the Audit and Risk Committee are:

Brian Phillpott (Chair)
Michael Holden, Industry
Bill Matthews, Passenger and Scotland

Other attendees may be:

Authority Chief Executive
Authority Finance Director (Executive lead)
Authority Business Manager (minutes)

Chief Constable (once a year)
Deputy Chief Constable (Force Executive lead)
Director of Corporate Resources

National Audit Office
Department for Transport
Internal Audit

Reporting

The Audit and Risk Committee will formally report in writing to the Authority after each meeting.

The Audit and Risk Committee will provide the Authority and Accounting Officer with an Annual Report, timed to support finalisation of the accounts and the Governance Statement, summarising its conclusions from the work it has done during the year.

Responsibilities

The Audit and Risk Committee will advise the Authority on²:

- the effectiveness of the BTPA and BTP's plans for risk management and business continuity, including disaster recovery, and strategic processes for risk, control and governance and the Governance Statement;
- the accounting policies, the accounts, and the annual report, including the process for review of the accounts prior to

² These terms of reference mirror the model Audit Committee terms of reference in the HM Treasury Audit Committee Handbook 2007, with the exception of the final bullet which is additional.

- submission for audit, levels of error identified, and management's letter of representation to the external auditors;
- the planned activity and results of both internal and external audit and HMIC;
 - adequacy of management's response to issues identified by audit activity, including external audit's management letter;
 - assurances relating to the corporate governance requirements for the organisation;
 - anti-fraud and corruption and whistleblowing processes
 - monitor and assess compliance with and performance against statutory duties

The Audit and Risk Committee may:

- Approve the internal audit strategy
- Approve the external audit strategy

Milestones

- Accounts and Governance Statement to the May meeting
- Annual audit report to the May meeting
- Annual health and safety opinion to the May meeting
- Management Assurance Statement to March and September

Access

The Head of Internal Audit and the representative from the external audit will have free and confidential access to the Chair of the Audit and Risk Committee.

Meetings

The Audit and Risk Committee will meet at least 4 times a year. The Chair of the Committee may convene additional meetings, as they deem necessary.

People and Standards Committee

Membership

The members of the People and Standards Committee are:

Wendy Towers (Chair)
Lew Adams
Howard Collins
Elizabeth France
Len Jackson

Other attendees may be:

Authority Business Manager (Executive lead and minutes)

Deputy Chief Constable (Force Executive lead)
Head of PSD

IPCC Commissioner

Reporting

The People and Standards Committee will formally report in writing to the Authority updating on any other significant matters arising.

Responsibilities

Standards and Integrity

- To assess the measures taken by the Force to ensure police integrity, counter corruption and identify breaches
- To respond to consultations on police integrity and pertaining to professional standards
- To assess the impact for the Authority and Force of proposed changes in the professional standards and police integrity area, making appropriate recommendations to the Authority
- Satisfy itself as to the operation of the complaints, discipline and grievance processes within the Force
- Oversee BTP compliance with legislative requirements and guidance with respect custody facilities
- Analyse the output from the independent custody visiting scheme and escalate any issues as appropriate.

People

- Track trends in relation to public complaints, non complaint investigations and investigations into civil claims and internal matters conducted by the Professional Standards Department (PSD) and make recommendations as appropriate

- Monitor the mandatory requirement for referral of cases to the IPCC
- Oversee the development and maintenance of the Force's capability and representation through the monitoring of key HR data relating to recruitment, retention, progression and management of attendance.
- To oversee the restructure of the Human Resources Department

Meetings

The People and Standards Committee will meet at least 4 times a year. The Chair of the Committee may convene additional meetings, as they deem necessary.

Strategy and Planning Committee

Membership

The members of the Strategy, Planning and Performance Committee are:

TBC

Reporting

The Strategy and Planning Committee will formally report in writing to the Authority highlighting progress against the Policing Plan and Strategy development processes and any significant matters arising.

Responsibilities

- To produce a draft Strategy and Medium Term Financial Plan (MTFP) for consideration by the Authority
- To prepare the Policing Plan in line with the strategy and stakeholder requirements
- To ensure effective consultation with stakeholders in the preparation of the Strategy, MTFP, and Policing Plan.
- To agree performance metrics with the force
- To assess performance against the defined criteria of the Policing and Strategic Plans
- To request and consider other information from BTP, BTPA, stakeholders and other sources to support scrutiny activities
- To oversee development of an annual report from the Authority

Milestones

- MTFP recommendation to the full Authority
- Strategy recommendation to the full Authority
- Policing Plan recommendation to the full Authority
- Agreement of performance metrics

Meetings

The Strategy, Planning and Performance Committee will meet at least 4 times a year. The Chair of the Committee may convene additional meetings, as they deem necessary.

Finance Committee

Membership

The members of the Finance Committee are:

Jeroen Weimar (Chair)
Bill Matthews
Wendy Towers
Anton Valk

Other attendees may be:

Authority Finance Director (Executive lead)
Authority PSA Manager (minutes)

Director of Corporate Resources (Force Executive Lead)
BTP Head of Finance

Reporting

The Finance Committee will formally report in writing to the Authority after each meeting providing a quarterly budget report and highlighting any other significant matters arising.

The Finance Committee will provide the Authority and Accounting Officer with an Annual Report, timed to support finalisation of the annual PSA charges, summarising and explaining any significant movements for individual PSA holders.

The Finance Committee will provide a report to each December Authority meeting presenting and recommending the final budget for the next financial year.

Responsibilities

- Advising on the preparation of the annual budget
- Ensuring appropriate consultation in the preparation of the budget
- Assessing financial reports and ensuring the effective review by the Authority of financial performance
- Reviewing the annual PSA charges and understanding the reasons for any significant the movements
- Assessing progress against delivery and spend on capital projects and major revenue schemes approved by the Authority in accordance with the scheme of delegation

- Examining post completion reports for all capital and major revenue schemes approved by the Authority in accordance with the scheme of delegation

Milestones

- Quarterly summary of spend versus budget to be prepared and sent to the Authority members for review and comment
- In setting its strategy in December the Authority will also set a strategic framework within which the next budget will be prepared

Meetings

The Finance Committee will meet at least 6 times a year. The Chair of the Committee may convene additional meetings, as they deem necessary.

Performance Review Committee

Membership

The members of the Performance Review Committee are:

Howard Collins (Chair)
Liz France
Michael Holden
Bill Matthews
Anton Valk

Other attendees may be:

Authority Performance Review Manager (Executive lead)
Authority Performance Analyst (minutes)

Deputy Chief Constable (Force Executive Lead)
Assistant Chief Constable Territorial Policing
Senior Advisor Command Support

Reporting

The Performance Review Committee will formally report in writing to the Authority after each meeting providing a quarterly performance report and highlighting any other significant matters arising.

Responsibilities

- To 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 and organisational KPIs and outputs from external inspections.
- To have oversight of deployment of taser and firearms to include delivery of mandatory training to maintain these capabilities
- 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

Milestones

- Quarterly Budget and Performance Authority meetings
- Annual performance report

Meetings

The Performance Committee will meet at least 4 times a year. The Chair of the Committee may convene additional meetings, as they deem necessary.

Appointments and Remuneration Committee

Membership

The members of the Appointments and Remuneration Committee are:

Brian Phillpott (Chair)
Millie Banerjee
Len Jackson
Wendy Towers
Anton Valk
Jeroen Weimar

Other attendees may be:

Authority Chief Executive (executive lead and restricted minutes)
Chief Constable
Authority Business Manager (minutes)

Reporting

The Appointments and Remuneration Committee will formally report in writing to the Authority after each meeting.

Responsibilities

- 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 Committee's responsibilities, to equal opportunities and the requirements of equalities legislation.

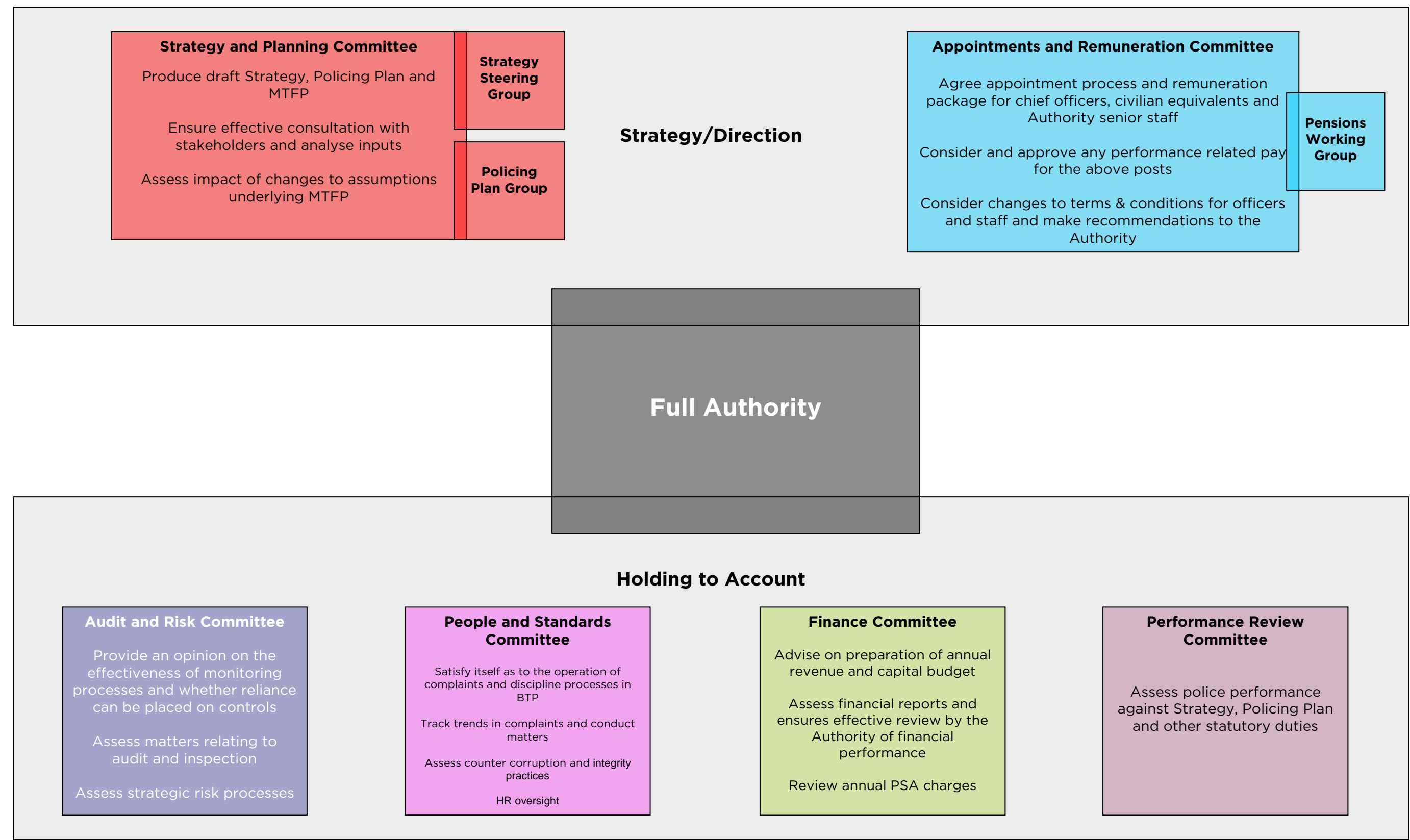
Milestones

Annual PDR and any performance related pay decisions in June

Meetings

The Appointments and Remuneration Committee will meet at least 2 times a year. The Chair of the Committee may convene additional meetings, as they deem necessary.

Annex B: The Proposed Authority Model



Police Authority

Membership

The members of the full Authority are:

Millie Banerjee (Chair)
Brian Phillpott (Deputy Chair)
Lew Adams, Rail staff
Patrick Butcher, Industry
Howard Collins, Industry
Elizabeth France, Passenger
Michael Holden, Industry
Len Jackson, Passenger
Bill Matthews, Passenger and Scotland
Wendy Towers, Passenger
Anton Valk, Industry
Jeroen Weimar, Industry

Other attendees may be:

Authority Chief Executive (Executive lead)
Authority Finance Director
Authority Performance Review Manager
Authority Business Manager (minutes)

Chief Constable (Force Executive lead)
Deputy Chief Constable
Assistant Chief Constables
Director of Corporate Resources

Reporting

The Authority will publish all open papers and minutes on its website.

Responsibilities

The full Authority meets to perform its purpose of securing the maintenance of an efficient and effective police force for the railways through the following areas¹:

- *Strategic Clarity* – setting the vision and mission with a focus on long-term capability with all activities directly or indirectly contributing towards the strategy.
- *Commercial sense* – approving the distribution of responsibilities, setting the scheme of delegation, ensuring

¹ The 6 areas are described in the Corporate Governance in central government departments: Code of Good Practice 2011 published by HM treasury and Cabinet Office.

sound financial management, scrutinising the allocation of financial and human resources to achieve the plan, setting the risk appetite and ensuring controls are in place.

- *Talented People* – ensuring the chief officer team has the capability to deliver and plan to meet current and future needs.
- *Results Focus* – setting the Annual Railways Policing Plan and monitoring progress against this and the Strategy.
- *Management Information* – ensuring clear, consistent comparable performance information is provided to the Authority and used to drive improvements.
- *Professional standards* – ensuring that matters are dealt with according to statute and policy and challenging non-compliance.

The Full Authority retains total responsibility for governance, taking all decisions unless specifically delegated to a Committee and enshrined in its terms of reference.

The key statutory decisions which the Authority takes are to:

- Set a rolling Strategy covering a minimum of three years
- Set an annual Railways Policing Plan
- Set the budget of expected income and expenditure for policing the railways each year
- Approve the annual PSA charges

Meetings

The Authority will meet at least 6 times a year. The Chair of the Authority may convene additional meetings, as they deem necessary.

Audit and Risk Committee

Membership

The members of the Audit and Risk Committee are:

Brian Phillpott (Chair)
Michael Holden, Industry
Bill Matthews, Passenger and Scotland

Other attendees may be:

Authority Chief Executive
Authority Finance Director (Executive lead)
Authority Business Manager (minutes)

Chief Constable (once a year)
Deputy Chief Constable (Force Executive lead)
Director of Corporate Resources

National Audit Office
Department for Transport
Internal Audit

Reporting

The Audit and Risk Committee will formally report in writing to the Authority after each meeting.

The Audit and Risk Committee will provide the Authority and Accounting Officer with an Annual Report, timed to support finalisation of the accounts and the Governance Statement, summarising its conclusions from the work it has done during the year.

Responsibilities

The Audit and Risk Committee will advise the Authority on²:

- the effectiveness of the BTPA and BTP's plans for risk management and business continuity, including disaster recovery, and strategic processes for risk, control and governance and the Governance Statement;
- the accounting policies, the accounts, and the annual report, including the process for review of the accounts prior to

² These terms of reference mirror the model Audit Committee terms of reference in the HM Treasury Audit Committee Handbook 2007, with the exception of the final bullet which is additional.

- submission for audit, levels of error identified, and management's letter of representation to the external auditors;
- the planned activity and results of both internal and external audit and HMIC;
- adequacy of management's response to issues identified by audit activity, including external audit's management letter;
- assurances relating to the corporate governance requirements for the organisation;
- anti-fraud and corruption and whistleblowing processes
- monitor and assess compliance with and performance against statutory duties

The Audit and Risk Committee may:

- Approve the internal audit strategy
- Approve the external audit strategy

Milestones

- Accounts and Governance Statement to the May meeting
- Annual audit report to the May meeting
- Annual health and safety opinion to the May meeting
- Management Assurance Statement to March and September

Access

The Head of Internal Audit and the representative from the external audit will have free and confidential access to the Chair of the Audit and Risk Committee.

Meetings

The Audit and Risk Committee will meet at least 4 times a year. The Chair of the Committee may convene additional meetings, as they deem necessary.

People and Standards Committee

Membership

The members of the People and Standards Committee are:

Wendy Towers (Chair)
Lew Adams
Howard Collins
Elizabeth France
Len Jackson

Other attendees may be:

Authority Business Manager (Executive lead and minutes)

Deputy Chief Constable (Force Executive lead)
Head of PSD

IPCC Commissioner

Reporting

The People and Standards Committee will formally report in writing to the Authority updating on any other significant matters arising.

Responsibilities

Standards and Integrity

- To assess the measures taken by the Force to ensure police integrity, counter corruption and identify breaches
- To respond to consultations on police integrity and pertaining to professional standards
- To assess the impact for the Authority and Force of proposed changes in the professional standards and police integrity area, making appropriate recommendations to the Authority
- Satisfy itself as to the operation of the complaints, discipline and grievance processes within the Force
- Oversee BTP compliance with legislative requirements and guidance with respect custody facilities
- Analyse the output from the independent custody visiting scheme and escalate any issues as appropriate.

People

- Track trends in relation to public complaints, non complaint investigations and investigations into civil claims and internal matters conducted by the Professional Standards Department (PSD) and make recommendations as appropriate

- Monitor the mandatory requirement for referral of cases to the IPCC
- Oversee the development and maintenance of the Force's capability and representation through the monitoring of key HR data relating to recruitment, retention, progression and management of attendance.
- To oversee the restructure of the Human Resources Department

Meetings

The People and Standards Committee will meet at least 4 times a year. The Chair of the Committee may convene additional meetings, as they deem necessary.

Strategy and Planning Committee

Membership

The members of the Strategy, Planning and Performance Committee are:

TBC

Reporting

The Strategy and Planning Committee will formally report in writing to the Authority highlighting progress against the Policing Plan and Strategy development processes and any significant matters arising.

Responsibilities

- To produce a draft Strategy and Medium Term Financial Plan (MTFP) for consideration by the Authority
- To prepare the Policing Plan in line with the strategy and stakeholder requirements
- To ensure effective consultation with stakeholders in the preparation of the Strategy, MTFP, and Policing Plan.
- To agree performance metrics with the force
- To assess performance against the defined criteria of the Policing and Strategic Plans
- To request and consider other information from BTP, BTPA, stakeholders and other sources to support scrutiny activities
- To oversee development of an annual report from the Authority

Milestones

- MTFP recommendation to the full Authority
- Strategy recommendation to the full Authority
- Policing Plan recommendation to the full Authority
- Agreement of performance metrics

Meetings

The Strategy, Planning and Performance Committee will meet at least 4 times a year. The Chair of the Committee may convene additional meetings, as they deem necessary.

Finance Committee

Membership

The members of the Finance Committee are:

Jeroen Weimar (Chair)
Bill Matthews
Wendy Towers
Anton Valk

Other attendees may be:

Authority Finance Director (Executive lead)
Authority PSA Manager (minutes)

Director of Corporate Resources (Force Executive Lead)
BTP Head of Finance

Reporting

The Finance Committee will formally report in writing to the Authority after each meeting providing a quarterly budget report and highlighting any other significant matters arising.

The Finance Committee will provide the Authority and Accounting Officer with an Annual Report, timed to support finalisation of the annual PSA charges, summarising and explaining any significant movements for individual PSA holders.

The Finance Committee will provide a report to each December Authority meeting presenting and recommending the final budget for the next financial year.

Responsibilities

- Advising on the preparation of the annual budget
- Ensuring appropriate consultation in the preparation of the budget
- Assessing financial reports and ensuring the effective review by the Authority of financial performance
- Reviewing the annual PSA charges and understanding the reasons for any significant the movements
- Assessing progress against delivery and spend on capital projects and major revenue schemes approved by the Authority in accordance with the scheme of delegation

- Examining post completion reports for all capital and major revenue schemes approved by the Authority in accordance with the scheme of delegation

Milestones

- Quarterly summary of spend versus budget to be prepared and sent to the Authority members for review and comment
- In setting its strategy in December the Authority will also set a strategic framework within which the next budget will be prepared

Meetings

The Finance Committee will meet at least 6 times a year. The Chair of the Committee may convene additional meetings, as they deem necessary.

Performance Review Committee

Membership

The members of the Performance Review Committee are:

Howard Collins (Chair)
Liz France
Michael Holden
Bill Matthews
Anton Valk

Other attendees may be:

Authority Performance Review Manager (Executive lead)
Authority Performance Analyst (minutes)

Deputy Chief Constable (Force Executive Lead)
Assistant Chief Constable Territorial Policing
Senior Advisor Command Support

Reporting

The Performance Review Committee will formally report in writing to the Authority after each meeting providing a quarterly performance report and highlighting any other significant matters arising.

Responsibilities

- To 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 and organisational KPIs and outputs from external inspections.
- To have oversight of deployment of taser and firearms to include delivery of mandatory training to maintain these capabilities
- 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

Milestones

- Quarterly Budget and Performance Authority meetings
- Annual performance report

Meetings

The Performance Committee will meet at least 4 times a year. The Chair of the Committee may convene additional meetings, as they deem necessary.

Appointments and Remuneration Committee

Membership

The members of the Appointments and Remuneration Committee are:

Brian Phillpott (Chair)
Millie Banerjee
Len Jackson
Wendy Towers
Anton Valk
Jeroen Weimar

Other attendees may be:

Authority Chief Executive (executive lead and restricted minutes)
Chief Constable
Authority Business Manager (minutes)

Reporting

The Appointments and Remuneration Committee will formally report in writing to the Authority after each meeting.

Responsibilities

- 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 Committee's responsibilities, to equal opportunities and the requirements of equalities legislation.

Milestones

Annual PDR and any performance related pay decisions in June

Meetings

The Appointments and Remuneration Committee will meet at least 2 times a year. The Chair of the Committee may convene additional meetings, as they deem necessary.

BTPA Statutory Duties and how these are discharged

Authority/Committee/Group	Statutory Duty	Guidance	Good Practice	Reference	Reference Summary	Information currently received	Information Flow
Police Authority							
Purpose 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 2003 sections 50, 51 and 52	Before the beginning of each financial year the Authority shall set objectives for that year and issue a plan setting out the proposed arrangements for policing the railways that year.	Recommended version of Plan Policing Plan Group minutes	BTP Strategic Development Department → BTP Service Excellence Board → Force Executive Board BTPA Policing Plan Group → Police Authority
Approved Strategic Plan	✓			Railways and Transport Safety Act 2003 section 55	The Authority shall before the beginning of each consecutive period of 3 financial years issue a 3 year strategy plan which sets out the medium and long term strategies for policing the railways during that period. The strategy must have been prepared by the Chief Constable and submitted to the Authority for its consideration.	Recommended Strategic Plan Strategy Group reports and minutes	BTP Strategic Development Department → Service Improvement Board / Corporate Delivery Board / Service Excellence Board → Force Executive Board BTPA Strategy Group → Police Authority
Approved Annual Budget	✓			Railways and Transport Safety Act 2003 Schedule 4 section 19	The Authority shall before each financial year set a budget of expected expenditure and income for the year.	Recommended annual budget Finance Group reports and minutes	BTP Finance & Procurement Department → Corporate Delivery Board → Force Executive Board BTPA Finance Group → Police Authority
Approved MTFP	✓			Railways and Transport Safety Act 2003 Schedule 4 section 20	The Authority shall make an estimate of the likely ratio of customers' contributions before and in relation to each period of five financial years and at other times and in relation to other periods as the Authority think appropriate.	Recommended MTFP Strategy Group reports and minutes	BTPA Executive → Finance Group / Strategy Group → Police Authority
Approved Annual Statement of Accounts	✓			Railways and Transport Safety Act 2003 Schedule 4 paragraph 17(a)	The Authority shall maintain accounts of the British Transport Police Fund	Annual Statement of Accounts Progress updates on accounts in Chief Executive Report Audit Committee minutes, update and recommendation	BTP Finance & Procurement Department → BTPA Executive → BTPA Finance Group → Police Authority → DfT
Approved Annual Report	✓			Railways and Transport Safety Act 2003 Section 57	As soon as is reasonably practicable after the end of each financial year the Authority shall issue a report about the policing of the railways in that year. The Authority's report must include an assessment of the extent to which the objectives set for the year under s50 have been achieved, the arrangements set out in the railways policing plan for the year under s52 have been implemented, and the strategies set out in the relevant three-year strategy plan under S55 have been implemented. The Authority shall publish each report under this section, and send a copy of each report under this section to the Secretary of State.		BTP Strategic Development Department → BTPA Executive → BTPA Police Authority
Approved PSA Charges	✓			Railways and Transport Safety Act 2003 paragraph 33(3)(4)	A police services agreement shall include provision requiring the customer to make payments to the Authority	PSA Charges report Finance Group report and minutes	BTPA Executive → Finance Group → Police Authority
Approved Annual Health and Safety Statement	✓			Health and Safety at Work Act 1974 Management of Health & Safety at Work Regulations 1999 Corporate Manslaughter and Corporate Homicide Act 2007	Acts to make provision for the health, safety and welfare of persons at work and to create an offence in England, Wales or Northern Ireland of corporate manslaughter and, in Scotland, of corporate homicide.	Annual Health and Safety Statements from BTP and BTPA	BTP Human Resources → Service Excellence Board → Force Executive Board BTPA Performance Review Group / Audit Committee → BTPA Police Authority
Key Responsibilities							
Ensure compliance with legislation	✓			Railways and Transport Safety Act 2003 section 18	There shall be a body corporate to be known as the British Transport Police Authority.	Reports on legislative change - often included in the Chief Executive or Chief Constable's Reports	BTP Force Executive Board BTPA Police Authority
Assessment of financial, organisational and operational performance	✓			Railways and Transport Safety Act 2003 section 19	In performing its functions the Authority shall aim to ensure the efficient and effective policing of the railways	Chief Constable's Report Performance Review Group Quarterly Report Finance Group Quarterly Report	BTPA Performance Review Group → BTPA Police Authority (organisational & operational performance) BTPA Finance Group → Police Authority (financial performance) BTPA Audit Committee → Police Authority (organisational performance / risks / project management)
Feed into Strategy, Policing Plan, budget and MTFP development	✓			Railways and Transport Safety Act sections 50, 55 and schedule 4 paragraphs 19 and 20	Before the beginning of each financial year the Authority shall set objectives for policing the railways for that year. The Authority shall before the beginning of each period of three financial years issue a three year strategic plan setting out the Authority's medium and long term strategies for policing the railways during that period. The Authority shall before each financial year set a budget of expected expenditure and income. The Authority shall before and in relation to each period of 5 financial years or at other time periods make an estimate of the likely ratio of customers' contributions.	Recommended version of Plan Policing Plan Group minutes Recommended Strategic Plan Recommended MTFP Strategy Group reports and minutes Recommended annual budget Finance Group reports and minutes	BTP Strategic Development Department → Service Improvement Board / Service Excellence Board / Corporate Delivery Board → Force Executive Board BTPA Strategy Group → Police Authority BTP Performance & Analysis → Strategic Development Department → BTP Service Excellence Board → Force Executive Board BTPA Policing Plan Group → Police Authority BTP Finance & Procurement Department → BTP Corporate Delivery Board / Force Executive Board BTPA Finance Group / Strategy Group → Police Authority

BTPA Statutory Duties and how these are discharged

Corporate Governance in place, effective and up to date		✓	✓	Railways and Transport Safety Act 2003 section 19 Managing Public Money Good Governance Standard for Public Services	In performing its functions the Authority shall aim to ensure the efficient and effective policing of the railways	Annual Review report which includes: <i>review of committee structure, including terms of reference, membership etc</i> <i>portfolio arrangements</i> <i>information supply</i> <i>implications of changes for the Governance Code</i> <i>Assurance from Audit Committee on Register of Interest and Gifts and Hospitality</i>	BTPA Audit Committee → Police Authority
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 2003 section 19 Good Governance Standard for Public Services HMT Risk Management Orange Book	In performing its functions the Authority shall aim to ensure the efficient and effective policing of the railways	Strategic Risk Registers Risk implications sections in papers Audit Committee minutes and updates	BTP Strategic Development Department / BTPA Executive → BTPA Audit Committee → Police Authority
To take decisions on key strategic issues as and when they arise	✓			Railways and Transport Safety Act 2003 section 19	In performing its functions the Authority shall aim to ensure the efficient and effective policing of the railways		
Audit and Risk Committee							
Products							
Recommended Statement of Accounts	✓			Railways and Transport Safety Act 2003 Schedule 4 paragraph 17(a)	The Authority shall maintain accounts of the British Transport Police Fund	Annual Statement of Accounts NAO Audit Report Accounts Timetable	BTPA Finance & Procurement / BTPA Executive → BTPA Audit Committee / Finance Group → Police Authority → DfT
Approved Internal Audit Plan	✓			Railways and Transport Safety Act 2003 Schedule 4 paragraph 17(b)	(b) send a copy of the accounts in respect of each financial year ending on or after 31st March 2005 to the Comptroller and Auditor General as soon as reasonably practicable after the end of that year	Annual Internal Audit Plan	Strategic Development Department → Integrity and Compliance Board / BTPA Audit Committee → Police Authority
Approved External Audit Strategy	✓			Railways and Transport Safety Act 2003 Schedule 4 paragraph 17(b)	(b) send a copy of the accounts in respect of each financial year ending on or after 31st March 2005 to the Comptroller and Auditor General as soon as reasonably practicable after the end of that year	Annual Audit Strategy	Strategic Development Department → Integrity and Compliance Board / BTPA Audit Committee → Police Authority
Approved Fraud and Anti-corruption policies	✓			Bribery Act 2010	Act makes provision about offences relating to bribery; and for connected purposes	Anti-Fraud and Corruption Policies from BTP and BTPA	BTP PSD → Integrity & Compliance Board / BTPA Executive → Audit Committee
Approved Gifts and Hospitality Registers			✓	Good Governance Standard for Public Services		BTP and BTPA Gifts and Hospitality Registers	BTP PSD → Integrity & Compliance Board / BTPA Executive → Audit Committee
Key Responsibilities							
Assess effectiveness of financial management, internal business processes and control systems	✓			Railways and Transport Safety Act 2003 section 19	In performing its functions the Authority shall aim to ensure the efficient and effective policing of the railways	Management Assurance Statement received 6-monthly and submitted to DfT Statement on Internal Control, now Governance Statement Gifts and Hospitality Registers provided for approval	BTPA Audit Committee → DfT
Assess the performance, effectiveness of and results from the Authority's audit arrangements, both internal and external (including HMIC)	✓			Railways and Transport Safety Act 2003 section 19	In performing its functions the Authority shall aim to ensure the efficient and effective policing of the railways	HMIC Inspection Plan fro agreement Crime and Incident Data Quarterly Updates	BTPA Audit Committee → Police Authority SDD → Integrity & Compliance Board / BTPA Performance Review Group
Assess the implementation of agreed audit-based recommendations from any management letters received from internal or external auditors	✓			Railways and Transport Safety Act 2003 section 19	In performing its functions the Authority shall aim to ensure the efficient and effective policing of the railways	Provided as an appendix of BTP Director of Corporate Resources standing report	BTPA Audit Committee → Performance Review Group → Police Authority
Assess 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.	✓			Railways and Transport Safety Act 2003 Schedule 4 paragraph 17(a) and (b)	The Authority shall maintain accounts of the British Transport Police Fund. It shall send a copy of the accounts to the Comptroller and Auditor General as soon as reasonably practicable after the end of that year	NAO Audit Reports Accounts timetable agreed by Committee Annual Statement of Accounts and management commentary Delegated Expenditure letter	BTPA Audit Committee → Police Authority → DfT
Assess 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	✓			Railways and Transport Safety Act 2003 section 19 Good Governance Standard for Public Services HMT Risk Management Orange Book	In performing its functions the Authority shall aim to ensure the efficient and effective policing of the railways	Management Assurance Statement received 6-monthly and submitted to DfT Statement on Internal Control, now Governance Statement Business Continuity updates Gifts and Hospitality Registers provided for approval BTP and BTPA Strategic Risk Registers presented Anti Fraud and Corruption Policy for approval	Strategic Development Department → Corporate Delivery Board / Information Management Board / BTPA Audit Committee
People and Standards Committee							
Products							
Quarterly reports on complaints, conduct, grievances and HR matters	✓			Police Act 1996 section 77	Every police authority in carrying out its duty with respect to the maintenance of an efficient and effective police force shall keep themselves informed as to the working of sections 67 to 76 (handling of complaints etc.) in relation to the force.	Quarterly Report (See below for more detail)	BTP Professional Standards Department/ Human Resources → Integrity and Compliance Board/Service Excellence Vboard/ BTPA Professional Standards Committee → Police Authority
Six-monthly custody report	✓			Police Reform Act 2002 section 51 Corporate Manslaughter and Corporate Homicide Act 2007	Police Reform Act 2002 S51: Every police authority shall make arrangements for detainees to be visited by independent custody visitors and keep those arrangements under review and from time to time revise them as they think fit. An organisation (including a police force) is guilty of an offence if the way in which its activities are managed or organised causes a person's death and amounts to a gross breach of a relevant duty of care owed by the organisation to the deceased.	Six-monthly custody report	BTP Professional Standards Department → Integrity and Compliance Board / BTPA Professional Standards Committee → Police Authority
Key Responsibilities							

BTPA Statutory Duties and how these are discharged

Ensure appropriate complaints policies and procedures comply, with legislation	✓			Police Act 1996 section 77	Every police authority in carrying out its duty with respect to the maintenance of an efficient and effective police force shall keep themselves informed as to the working of sections 67 to 76 (handling of complaints etc.) in relation to the force.	Regulation making and Quarterly Report	BTP Professional Standards Department → Integrity and Compliance Board / BTPA Professional Standards Committee → Police Authority
Assess policy and procedure adherence in the management of complaints	✓			Police Act 1996 section 77	Every police authority in carrying out its duty with respect to the maintenance of an efficient and effective police force shall keep themselves informed as to the working of sections 67 to 76 (handling of complaints etc.) in relation to the force.	Dip-Sampling exercise	BTP Professional Standards Department → Integrity and Compliance Board BTPA Professional Standards Committee → Police Authority
Receive ICV reports and assess custody compliance with legislation to reassure the Authority	✓			Police Reform Act 2002 section 51	Police Reform Act 2002 S51: Every police authority shall make arrangements for detainees to be visited by independent custody visitors and keep those arrangements under review and from time to time revise them as they think fit.	BTPA Quarterly Update attaches ICV reports from partners Six-monthly custody report providing assurance of compliance with legislation	BTP Professional Standards Department → Integrity and Compliance Board / BTPA Professional Standards Committee → Police Authority
Assess, investigate as appropriate and determine complaints and conduct cases against senior officers	✓			Police Act 1996 Chapter 1, section 65 Police Reform Act 2002, Schedule 3, Part I, section 1.	Where a complaint is made about the conduct of a chief officer, it shall be the duty of the police authority maintaining his force to secure that all such steps as are appropriate are taken, both initially and from time to time after that, for obtaining and preserving evidence relating to the conduct complained of.	Sub-Group receives all relevant papers	BTP Professional Standards Department / BTPA Professional Standards Committee
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	✓			Police Act 1996 section 77	Every police authority in carrying out its duty with respect to the maintenance of an efficient and effective police force shall keep themselves informed as to the working of sections 67 to 76 (handling of complaints etc.) in relation to the force.	Quarterly Report which includes: PSD Updates Complaint statistics received/recorded/ethnicity of subject and complainant/by Area/by category/disposal etc Trend information IPCC Referrals Misconduct Hearings Civil claims Property store audits Lessons learned	BTP Professional Standards Department → Integrity and Compliance Board / BTPA Professional Standards Committee → Police Authority
Monitor the mandatory requirement for referral of cases	✓			Police Reform Act Schedule 3, Part I, Section 4	(1) It shall be the duty of the appropriate authority to refer a complaint to the Commission if the complaint is alleging that the conduct complained of has resulted in death or serious injury; it is of a description specified in regulations made by the Secretary of State; or the IPCC notifies the appropriate authority that it requires the complaint in question to be referred to the Commission for its consideration.	Quarterly Report includes information on referred cases and high risk or sensitive cases	BTP Professional Standards Department BTPA Professional Standards Committee → Police Authority
Appointments and Remuneration Committee							
Products							
Approve remuneration packages for chief officers and civilian equivalents at BTP	✓			Railways and Transport Safety Act 2003 sections 21, 22, 23 and 27	The Authority shall appoint a CC, DCC and at least 1 ACC. The Authority may employ persons to assist the police force. The Chief Constable shall have regard to any relevant Code of Practice issued or having effect under S48 (Code of Practice: Chief Constable), any relevant plan issued under S52 (railways policing plan) and under S55 (3 year strategy plan). The DCC may perform the function of the CC is unable to act, or unavailable, during a vacancy in the office of CC or with the consent of the CC. The Authority may permit an ACC to perform the function of the CC, this may not have effect for a continuous period exceeding 3 months without the consent of the Secretary of State	Copies of contracts and supporting background information e.g. PNB circulars	BTPA Executive → Appointments and Remuneration Committee
Approve acting chief officer positions lasting beyond 6 months	✓			Railways and Transport Safety Act 2003 sections 21, 22, 23 and 27	The Authority shall appoint a CC, DCC and at least 1 ACC. The Authority may employ persons to assist the police force. The Chief Constable shall have regard to any relevant Code of Practice issued or having effect under S48 (Code of Practice: Chief Constable), any relevant plan issued under S52 (railways policing plan) and under S55 (3 year strategy plan). The DCC may perform the function of the CC is unable to act, or unavailable, during a vacancy in the office of CC or with the consent of the CC. The Authority may permit an ACC to perform the function of the CC, this may not have effect for a continuous period exceeding 3 months without the consent of the Secretary of State	Not yet occurred	BTPA Executive → Appointments and Remuneration Committee
Approve chief officer secondments lasting beyond 6 months	✓			Railways and Transport Safety Act 2003 sections 21, 22, 23 and 27	The Authority shall appoint a CC, DCC and at least 1 ACC. The Authority may employ persons to assist the police force. The Chief Constable shall have regard to any relevant Code of Practice issued or having effect under S48 (Code of Practice: Chief Constable), any relevant plan issued under S52 (railways policing plan) and under S55 (3 year strategy plan). The DCC may perform the function of the CC is unable to act, or unavailable, during a vacancy in the office of CC or with the consent of the CC. The Authority may permit an ACC to perform the function of the CC, this may not have effect for a continuous period exceeding 3 months without the consent of the Secretary of State	Not yet occurred	BTPA Executive → Appointments and Remuneration Committee

BTPA Statutory Duties and how these are discharged

Approve chief officer and equivalent termination packages for Treasury approval	✓			Railways and Transport Safety Act 2003 2003 sections 21, 22, 23 and 27	<p>The Authority shall appoint a CC, DCC and at least 1 ACC. The Authority may employ persons to assist the police force.</p> <p>The Chief Constable shall have regard to any relevant Code of Practice issued or having effect under S48 (Code of Practice: Chief Constable), any relevant plan issued under S52 (railways policing plan) and under S55 (3 year strategy plan).</p> <p>The DCC may perform the function of the CC is unable to act, or unavailable, during a vacancy in the office of CC or with the consent of the CC. The Authority may permit an ACC to perform the function of the CC, this may not have effect for a continuous period exceeding 3 months without the consent of the Secretary of State</p>		BTPA Executive → Appointments and Remuneration Committee
Make recommendations on staff and officer terms and conditions	✓			Railways and Transport Safety Act 2003 sections 26 and 27 Corporate Governance financial delegations	<p>The Chief Constable may appoint cadets to undergo training with a view to becoming constables of the Police Force. They shall be under the direction and control of the Chief Constable</p> <p>The Authority may employ persons to assist the Police Force. They shall be under the direction and control of either the Chief Constable or the Authority, in accordance with his terms of employment.</p>	<p>Contextual information</p> <p>Financial Implications</p> <p>Diversity Implications</p> <p>Risk Implications</p> <p>Recommendations</p>	BTP Finance & Procurement / Human Resources → BTPA Executive → Appointments and Remuneration Committee
Key responsibilities							
To have due regard to equal opportunities whilst making the above decisions	✓			Equality Act 2010 Part II, Chapter 1 section 149	A public authority must, in the exercise of its functions, have due regard to the need to eliminate discrimination, harassment, victimisation; advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and foster good relations between persons who share a relevant protected characteristic and persons who do not share it.	Diversity implications reported in decision papers	BTPA Executive → Appointments and Remuneration Committee
Strategy and Planning Group							
Products							
Recommended Refresh of Strategic Plan	✓			Railways and Transport Safety Act section 55	The Authority shall before the beginning of each consecutive period of 3 financial years issue a 3 year strategy plan which sets out the medium and long term strategies for policing the railways during that period. The strategy must have been prepared by the Chief Constable and submitted to the Authority for its consideration.	Draft objectives, draft Plan and operating context	BTP Strategic Development Department → Service Improvement Board / Corporate Delivery Board / Service Excellence Board / Force Executive Board / BTPA Strategy Group → Police Authority
Recommended MTFP	✓			Railways and Transport Safety Act Schedule 4 paragraph 20	The Authority shall make an estimate of the likely ratio of customers' contributions before and in relation to each period of five financial years and at other times and in relation to other periods as the Authority think appropriate.	Draft MTFP with forecast operating context	BTPA Executive → Finance Group / Strategy Group → Police Authority
Recommended charging arrangements from April 2013	✓			Railways and Transport Safety Act paragraph 33(3)(4)	A PSA shall include provision requiring the customer to make payments to the Authority. In determining the terms in a PSA the Authority shall aim to ensure that the expenses of the Authority are as nearly as possible equivalent to the income of the Authority, and the amount of contribution to the Authority made by each customer in a financial year approximately reflects the nature and extent of the functions likely to be undertaken in accordance with the customer's PSA.	Proposed way forward including risks and benefits	BTPA Executive → Finance Group / Strategy Group → Police Authority
Recommended TfL governance and funding arrangements	✓			Railways and Transport Safety Act paragraph 33(3)(4)	A PSA shall include provision requiring the customer to make payments to the Authority. In determining the terms in a PSA the Authority shall aim to ensure that the expenses of the Authority are as nearly as possible equivalent to the income of the Authority, and the amount of contribution to the Authority made by each customer in a financial year approximately reflects the nature and extent of the functions likely to be undertaken in accordance with the customer's PSA.	Proposed PSA with TfL	BTPA Executive → Finance Group / Strategy Group → Police Authority
Recommended Annual Policing Plan	✓			Railways and Transport Safety Act sections 50, 51 and 52	Before the beginning of each financial year the Authority shall set objectives for that year and issue a plan setting out the proposed arrangements for policing the railways that year.	See below	<p>BTP Strategic Development Department → BTP Service Excellence Board → Force Executive Board</p> <p>BTPA Policing Plan Group → Police Authority</p>
Key responsibilities							
Advice on the preparation of the MTFP	✓			Railways and Transport Safety Act Schedule 4 section 20	The Authority shall make an estimate of the likely ratio of customers' contributions before and in relation to each period of five financial years and at other times and in relation to other periods as the Authority think appropriate.	Draft proposed MTFP with forecast operating context Assumptions (including inflation) staff and non-staff	BTPA Executive → Finance Group / Strategy Group → Police Authority
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	<p>In performing its functions the Authority shall aim to ensure the efficient and effective policing of the railways.</p> <p>The Authority shall before the beginning of each consecutive period of 3 financial years issue a 3 year strategy plan which sets out the medium and long term strategies for policing the railways during that period. The strategy must have been prepared by the Chief Constable and submitted to the Authority for its consideration.</p>	<p>Suggested overarching objectives accompanied by a report on the operating context</p> <p>Stakeholder feedback</p> <p>Report on other relevant factors e.g. rail industry projects such as McNulty</p> <p>Suggested refreshed Plan</p>	<p>BTP Performance & Analysis → Strategic Development Department → Service Improvement Board / Service Excellence Board / Force Executive Board</p> <p>BTPA Strategy Group / Policing Plan Group → Police Authority</p>
To consider the context, style and content of the Policing Plan against the current landscape understanding the key strategic challenges facing BTP and BTPA	✓			Railways and Transport Safety Act sections 50, 51 and 52	Before the beginning of each financial year the Authority shall set objectives for that year and issue a plan setting out the proposed arrangements for policing the railways that year.	<p>Suggested overarching objectives accompanied by a report on the operating context</p> <p>Stakeholder feedback</p> <p>Report on other relevant factors e.g. rail industry projects such as McNulty</p> <p>Suggested refreshed Plan</p>	<p>BTP Strategic Development Department → BTP Service Excellence Board → Force Executive Board</p> <p>BTPA Policing Plan Group → Police Authority</p>

BTPA Statutory Duties and how these are discharged

To monitor the progress of the Futures Programme	✓			Railways and Transport Safety Act section 19	In performing its functions the Authority shall aim to ensure the efficient and effective policing of the railways	Quarterly Update Reports on the Programme	Portfolio Management Office / Business Change → Strategic Development Department → Service Improvement Board / Corporate Development Board / Force Executive Board BTPA Performance Review Group / Strategy Group → Police Authority
To ensure that there is stakeholder consultation and that cognisance of taken of responses	✓			Railways and Transport Safety Act section 62	The Authority shall make, and review from time to time, arrangements to obtain the opinions about the policing of the railways	Stakeholder feedback from the annual September Workshop Feedback from written consultation on proposed refreshed Plan	BTPA Executive → Policing Plan Group / Strategy Group → Police Authority
Finance Committee							
Products							
Recommended annual budget	✓			Railways and Transport Safety Act Schedule 4 section 19	The Authority shall before each financial year set a budget of expected expenditure and income for the year.	Revenue budget proposals including operating context BTP and BTPA London Underground proposed budget and operating context	BTP Finance & Procurement Department → Corporate Delivery Board → Force Executive Board BTPA Finance Group → Police Authority
Recommended capital budget	✓			Railways and Transport Safety Act Schedule 4 section 19	The Authority shall before each financial year set a budget of expected expenditure and income for the year.	Capital budget proposals and spend profile	BTP Finance & Procurement Department / Corporate Delivery Board / Force Executive Board Dft → BTPA Finance Group → Police Authority
Recommended PSA charges	✓			Railways and Transport Safety Act paragraph 33(3)(4)	A PSA shall include provision requiring the customer to make payments to the Authority. In determining the terms in a PSA the Authority shall aim to ensure that the expenses of the Authority are as nearly as possible equivalent to the income of the Authority, and the amount of contribution to the Authority made by each customer in a financial year approximately reflects the nature and extent of the functions likely to be undertaken in accordance with the customer's PSA.	Annual charges report (see below for more detail)	BTPA Executive → Finance Group → Police Authority
Quarterly financial reports	✓			Railways and Transport Safety Act section 19	In performing its functions the Authority shall aim to ensure the efficient and effective policing of the railways	Quarterly Reports from BTP and BTPA (see below for more detail)	BTP Finance & Procurement Department → Corporate Delivery Board / Force Executive Board BTPA Executive → Finance Group → Police Authority
Key responsibilities							
Assessment of financial performance	✓			Railways and Transport Safety Act section 19 Managing Public Money	In performing its functions the Authority shall aim to ensure the efficient and effective policing of the railways	Quarterly Reports from BTP including: <i>Revenue budget analysis by Department and Area, Income and Expenditure</i> <i>In year budget movements</i> <i>Capital programme performance</i> <i>Balance sheet and cash flow</i> <i>Underlying financial position</i> Quarterly Report from BTPA including: <i>Financial position</i> <i>Financial Forecast</i> <i>Debtors</i>	BTP Finance & Procurement Department → Corporate Delivery Board / Force Executive Board BTPA Finance Group → Police Authority
Advice on the preparation of the annual budget	✓			Railways and Transport Safety Act Schedule 4 section 19	The Authority shall before each financial year set a budget of expected expenditure and income for the year.	Revenue and Capital budget proposals including operating context BTP and BTPA London Underground proposed budget and operating context	BTP Finance & Procurement Department → Corporate Delivery Board / Force Executive Board Dft → BTPA Finance Group → Police Authority
Assessment of spend on capital projects approved by BTPA	✓			Railways and Transport Safety Act section 19 Managing Public Money	In performing its functions the Authority shall aim to ensure the efficient and effective policing of the railways	Update on capital spend in BTP Quarterly Report End of Project Reports	BTP Finance & Procurement Department → Corporate Delivery Board / Force Executive Board BTPA Finance Group → Police Authority
Assessment of accuracy of charges from Model and context	✓			Railways and Transport Safety Act paragraph 33(3)(4)	A PSA shall include provision requiring the customer to make payments to the Authority. In determining the terms in a PSA the Authority shall aim to ensure that the expenses of the Authority are as nearly as possible equivalent to the income of the Authority, and the amount of contribution to the Authority made by each customer in a financial year approximately reflects the nature and extent of the functions likely to be undertaken in accordance with the customer's PSA.	Annual charges report including: <i>PSA holder movements from previous year and explanations</i> <i>List of data sources and verification work</i>	BTPA Executive → Finance Group → Police Authority
Performance Review Committee							
Products							

BTPA Statutory Duties and how these are discharged

Quarterly performance reports	✓			Railways and Transport Safety Act sections 19, 52, 53, 55, 56, 57 and 59	<p>In performing its functions the Authority shall aim to ensure the efficient and effective policing of the railways.</p> <p>Before the beginning of each financial year the Authority shall issue a plan setting out the proposed arrangements for policing the railways during that year. It must include a statement of the Authority's priorities, the financial resources expected to be available and the proposed allocation of resources. It must specify any objective set by the Authority, any objectives of the Secretary of State for the year, any performance target set by the Authority in relation to the achievement of an objective for that year. The CC shall submit to the Authority a draft plan for each financial year. The Authority shall publish a plan and send a copy to the Secretary of State.</p> <p>The Secretary of State may by direction to the Authority require it to set a target in relation to the achievement of an objective set out in S51.</p> <p>The Authority shall before the beginning of each consecutive period of 3 financial years issue a 3 year strategy plan which sets out the medium and long term strategy.</p> <p>As soon as is reasonably practicable after the end of each financial year the Chief Constable shall submit to the Secretary of State a report on the performance of the Authority.</p> <p>The Authority's report must include an assessment of the extent to which the objectives of the Authority have been achieved.</p> <p>The Secretary of State may require the Chief Constable to supply information about the performance of the Authority.</p>	Quarterly Reports from BTP (see below for more detail)	Performance & Analysis / Audit & Compliance / Business Change / Portfolio Management Office → Strategic Development Department / Territorial Policing / Central Operations → BTP Service Improvement Board / Service Excellence Board / Integrity & Compliance Board / Information Management Board / Corporate Delivery Board → Force Executive Board.	
								BTPA Performance Review Group → Police Authority
Key responsibilities								
Assessment of performance against Policing Plan, Strategic Plan, KPIs, organisational targets, project delivery and external inspection recommendations	✓	✓	✓	Railways and Transport Safety Act 2003 sections 19, 52, 53, 55, 56, 57 and 59 McPherson Report recommendations 62 and 63 (Stop and search monitoring) Equality Act 2010 Part II, Chapter 1 section 149	<p>Railway and Transport Safety Act 2003: As above</p> <p>McPherson Report: Stop and Search These records should be monitored and analysed by Police Services and Police Authorities, and reviewed by HMIC on inspections. The information and analysis should be published. Police Authorities be given the duty to undertake publicity campaigns to ensure that the public is aware of "stop and search" provisions and the right to receive a record in all circumstances.</p> <p>Equality Act 2010 A public authority must, in the exercise of its functions, have due regard to the need to eliminate discrimination, harassment, victimisation; advance equality of opportunity between persons who share a relevant protected characteristic and persons who do not share it; and foster good relations between persons who share a relevant protected characteristic and persons who do not share it.</p>	Progress against the Policing Plan Progress against the Strategic Plan Progress against the EDHR Strategy Cable theft performance Progress against HMIC recommendations Taser usage figures Stop and Search usage figures Performance against project delivery Performance Dashboard Thematic reports	Performance & Analysis / Audit & Compliance / Business Change / Portfolio Management Office → Strategic Development Department / Human Resources / Territorial Policing / Central Operations → BTP Service Improvement Board / Service Excellence Board / Integrity & Compliance Board / Information Management Board / Corporate Delivery Board → Force Executive Board.	
								BTPA Performance Review Group → Police Authority
Have regard to the need to safeguard and promote the welfare of children	✓			Children Act 2004 Part 2, Section 11	The British Transport Police Authority, so far as exercising functions in relation to England must make arrangements for ensuring that their functions are discharged having regard to the need to safeguard and promote the welfare of children; and 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.			BTP Territorial Policing → Service Excellence Board BTPA Performance Review Group → Police Authority
Policing Plan Group								
Products								
Draft Annual Policing Plan	✓			Railways and Transport Safety Act sections 50, 51 and 52	Before the beginning of each financial year the Authority shall set objectives for that year and issue a plan setting out the proposed arrangements for policing the railways that year.	See below		BTP Strategic Development Department → BTP Service Excellence Board → Force Executive Board BTPA Policing Plan Group → Police Authority
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	Before the beginning of each financial year the Authority shall set objectives for that year and issue a plan setting out the proposed arrangements for policing the railways that year.	Suggested process steps Progress on current Plan objectives Proposed National Targets including context and landscape Proposed common and local targets including context and landscape		BTP Analysis & Performance→ Strategic Development Department / Territorial Policing / Central Operations → BTP Service Excellence Board → Force Executive Board BTPA Performance Review Group → Policing Plan Group → Police Authority
To ensure that there is stakeholder consultation and that cognisance of taken of responses	✓			Railways and Transport Safety Act sections 52	Before the beginning of each financial year the Authority shall issue a plan setting out the proposed arrangements for policing the railways during that year.	Stakeholder feedback from the annual September Workshop Passenger/Union views research Feedback from written consultation on proposed national targets		Strategic Development Department → Service Excellence Board → Force Executive Board BTPA Policing Plan Group → Police Authority
Strategy Steering Group								
Product								
Draft Refresh of Strategic Plan	✓			Railways and Transport Safety Act section 55	The Authority shall before the beginning of each consecutive period of 3 financial years issue a 3 year strategy plan which sets out the medium and long term strategies for policing the railways during that period. The strategy must have been prepared by the Chief Constable and submitted to the Authority for its consideration.	Draft objectives, draft Plan and operating context		BTP Strategic Development Department → Service Improvement Board / Corporate Delivery Board / Service Excellence Board / Force Executive Board / BTPA Strategy Group → Police Authority
Key responsibilities								

BTPA Statutory Duties and how these are discharged

To consider the context, style and content of the Strategy against the current landscape	✓			Railways and Transport Safety Act sections 55	Before the beginning of each financial year the Authority shall set objectives for that year and issue a refreshed Strategy.	Draft objectives, draft Plan and operating context	BTP Analysis & Performance → Strategic Development Department / Territorial Policing / Central Operations → BTP Service Excellence Board → Force Executive Board BTPA Performance Review Group → Policing Plan Group → Police Authority
To ensure that there is stakeholder consultation and that cognisance of taken of responses	✓			Railways and Transport Safety Act sections 55	Before the beginning of each financial year the Authority shall issue a refreshed Strayegy.	Stakeholder feedback from the annual September Workshop Passenger/Union views research Feedback from written consultation on proposed national targets	Strategic Development Department → Service Excellence Board → Force Executive Board BTPA Policing Plan Group → Police Authority
Pensions Working Group							
Products							
Recommended governance structure of funds			✓				RPMI, Trustees of fund BTPA Pensions Working Group → Police Authority
Recommended de-risked investment strategy			✓				RPMI, Trustees of fund BTPA Pensions Working Group → Police Authority
Key Responsibilities							
This is a working group which was established to achieve the two specific objectives outlined it does any further responsibilities							

			BTPA Governance Structure						
			Proposed Model						
			Police Authority	Audit & Risk Committee	Appointments & Remuneration Committee	People and Standards Committee	Strategy and Planning Committee	Performance Review Committee	Finance Committee
BTP Governance Structure	Force Executive Board	Strategy							
		High level risk							
		Key decisions							
		Budgetary position review							
		Continuous improvement							
		Receive board reports							
	Service Excellence Board	Policing Plan Performance							
		Operational performance							
		Organisational performance							
		Strategic policing issues							
		Force-wide policy and direction							
		Creativity and innovation							
		Brief on financial/political/operational issues							
	Information Management Board	Force information strategy							
		DPA and FOI compliance							
		Compliance with HMG security policy framework and assurance standards							
		MoPI compliance							
	SIB	Change management and link to Strategy							
		Programme management							
	Corporate Delivery Board	Corporate Resources project management							
		Corporate services performance:							
		Health and Safety							
		Finance							
		Learning and Development							
		Recruitment							
	Integrity and Compliance Board	Provide assurance on integrity and counter corruption							
		Provide assurance on compliance							
		Data quality assurance							
		Monitoring audit actions and agreeing audit activity							
		Good practice/lessons learned identification							
		Effectiveness of internal business processes and control mechanisms							