

British Transport Police Authority

Members Handbook

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Revision History

Date Revised	Version	Summary of Changes	Author
17/08/16	5.0	Total overhaul of document to reflect changes from Governance Review	L. Yasin
03/05/17	6.0	Amended version to reflect final portfolio allocations	L. Yasin
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1. Purpose of document

- 1.1 The purpose of this handbook is to summarise the range of Members' individual and collective roles and responsibilities. It covers both the general role of a non-executive board member and the specific aspects of being a Member of the British Transport Police Authority ("the Authority").
- 1.2 The Handbook is supplementary to members' appointment letters and the Authority's Code of Governance and Delivering our Statutory Duties document (currently in draft) and should be read in conjunction with these documents.

2. Governance arrangements

- 2.1 The Authority was established by the Railways and Transport Safety Act 2003 ("the Act") and became operational on 1 July 2004. The Authority's primary statutory purpose is to secure the maintenance of an efficient and effective police force for the railways in England, Scotland and Wales. This includes defraying and recovering the costs of the Police Force from the companies who provide and use the rail network.
- 2.2 The Act sets out the statutory powers and responsibilities of the Authority which are to:
 - Secure the maintenance of an efficient and effective police force known as the British Transport Police¹
 - Ensure the efficient and effective policing of the railways²
 - Appoint the Chief Constable, Deputy Chief Constable, Assistant Chief Constables and their staff equivalents, Chief Executive and Treasurer³
 - Enter into Police Service Agreements with railway operators⁴
 - Employ police constables, civilian employees and cadets⁵
 - Regulate the government, administration and conditions of service of those employed by the Authority in the service of the police force⁶

¹ 2003 Act Section 20

² 2003 Act Section 19 (a)

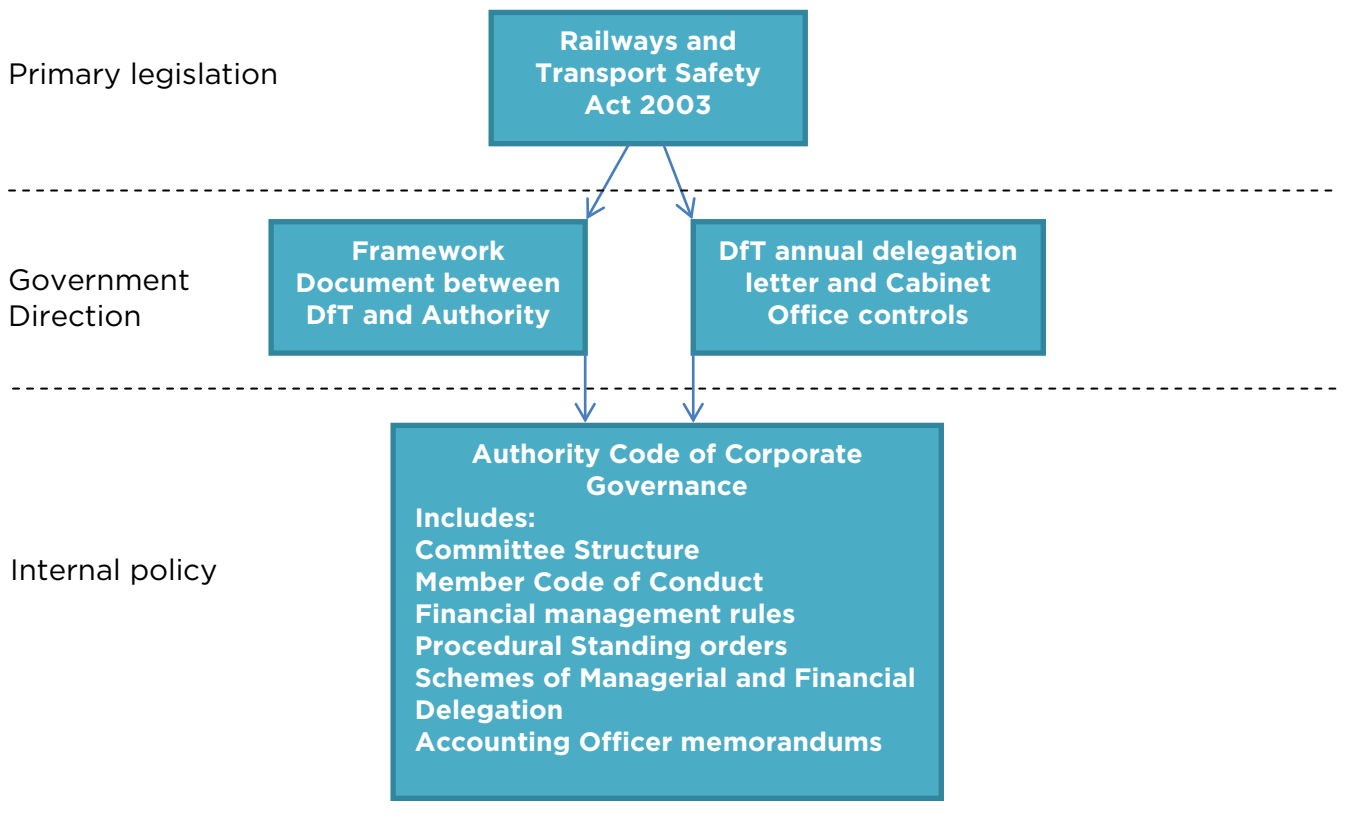
³ 2003 Act Section 21-23 and schedule 4, part 2 section 11

⁴ 2003 Act Section 33 (1)

⁵ 2003 Act Sections 24, 26 & 27

- Set a strategy for policing the railway⁷
- Set objectives for the policing of the railway⁸
- Issue an annual Railways Policing Plan⁹
- Set the budget of expected income and expenditure for policing the railways each year¹⁰, defray the expenses and recover the cost¹¹

2.3 The Authority's high level governance structure is set out below:



3. Roles and responsibilities

Collective roles and responsibilities

3.1 The role of the Authority is to ensure an efficient and effective police force for the railways within a framework of prudent and effective controls which enable risk to be assessed and managed as appropriate. The Act identifies a number of statutory duties to assist the Authority in achieving this overall aim which are described in section 2.2 of this handbook. In fulfilling these statutory duties the Authority is collectively expected to focus on a six key areas:

⁶ 2003 Act Section 36

⁷ 2003 Act Section 55

⁸ 2003 Act Section 50

⁹ 2003 Act Section 52

¹⁰ 2003 Act Schedule 4, Part 3, s19

¹¹ 2003 Act Section 33 (3-4)

- **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 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 Executive and 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, MTFP and budget and monitoring progress against this and the Strategy.
- **Management Information** - ensuring clear, consistent comparable performance information is provided to the Authority and used to inform decision-making and drive improvements.
- **Professional Standards** - living up to Code of Conduct¹², ensuring that matters are dealt with according to statute and policy and challenging non-compliance.

Individual responsibilities

- 3.2 In addition to the above, the Chair has a responsibility to develop productive working relationships, founded on mutual respect and open communication, between all Members of the Authority, the BTPA Executive, the BTP Executive Team and external stakeholders.
- 3.3 The Chair will maintain a high standard of discussion and debate, providing effective, strategic and ethical leadership.
- 3.4 The Chair will ensure that the Authority has effective decision-making processes in place with systems that support Members to take informed decisions based on timely, relevant, clear and reliable high quality information. Also, that challenge is answered with verification.
- 3.5 The Chair will undertake an annual appraisal with each Authority Member. The appraisal process will address the development needs of the Authority as a whole and those of individuals (see sections 6 and 7).
- 3.6 Individually Authority Members are expected to:

¹² Annex 2 of the Authority's Code of Governance

- Maintain an up-to-date knowledge and awareness of issues affecting the policing of the railway network;
- Monitor, scrutinise and challenge all aspects of BTP performance, in particular to ensure the delivery of planned results against agreed objectives, targets and performance indicators;
- Participate in any consultative arrangements that the Authority establishes and actively engage in communication and dialogue with the rail industry, Government, passengers and other stakeholders when required;
- Contribute to decision-making and share responsibility for the Authority's decisions;
- Attend meetings well prepared having read the relevant papers and sought further information, where necessary;
- Represent the views of the BTPA with stakeholders as and when required by the Authority;
- Promote equality of opportunity in work to eliminate unlawful discrimination, both internally within the Authority and the BTP and in the provision of policing services;
- Attend local, regional and national conferences/ seminars/briefings if nominated by the Authority;
- Participate in inspections and audits of the BTP and Authority, as appropriate;
- Assist the Chair in the strategic direction of the Authority and corporate business plans;
- Support the Chair in overseeing the management of the BTP as a whole;
- Be involved in the work of the Authority as required, including membership of any committees, panels or working groups which are established by the BTPA or undertaking a lead role in aspects of work if the BTPA determines that that is an effective way of conducting its business;
- Take an interest in the regional work of BTP, as agreed by the Authority; and
- Comply with all relevant codes of conduct and maintain the highest standards of conduct and ethics and ensure that the Authority operates within the legislative policy and resources framework agreed with the Secretary of State. Members are expected to adhere to the spirit of The Seven Principles of Public Life (Annex 2 in Code of Governance).

4. Time commitments

4.1 Authority Members are remunerated as follows:

- Chair 60 days per year
- Deputy Chair 50 days per year
- Members 30 days per year

4.2 Duties which qualify for remuneration are set out within the Members Allowances Scheme at Annex E. These duties will be captured by the BTPA Executive through regular liaison and formal feedback.

5. Authority and Committee meetings

5.1 The Authority's committee structure is detailed in the Code of Governance. This is reviewed annually as part of the board effectiveness review.

5.2 The Authority and its committees must maintain focus on strategy, performance and behaviour and not be diverted by detail. The key to this is to take a risk-based approach to assurance ensuring scrutiny is focused on the areas most requiring attention. Setting an annual work plan and carefully structuring agendas with detailed requirements described for each paper will act as an enabler for this, as well as ensuring the requirement is understood by the author.

5.3 This risk-based approach will enable the information requirements to be clearly identified to ensure that the information provided is:

- relevant;
- integrated (satisfying both internal and external needs);
- in perspective (presented in relevant time context);
- timely;
- comparable;
- clear; and
- reliable.¹³

5.4 When attending meetings, Members are expected to challenge constructively in their role as critical friend. When a challenge is made Members must ensure that it is followed up with verification backed by evidence. Confidence statements and/or promises should not be accepted in lieu of assurance.

5.5 Chairs of committees and groups must ensure that decisions taken and actions agreed are summarised at the end of each agenda item to avoid any misunderstanding or confusion.

¹³ CIMA best practice on information requirements for Board reporting

6. Portfolios

6.1 The objectives of the portfolios are to:

- Provide a mechanism of engagement for Members and staff outside of the formal committee structure.
- Increase visibility and understanding of the Authority's role below Chief Officer (or equivalent).
- Improve governance and oversight arrangements of the Force by developing the Authority understanding of local and specific thematic issues.
- Assist BTP to perform as an efficient and effective force by identifying opportunities to share good practice, innovation and monitor and challenge the management of specific issues whilst retaining a non-executive role.
- Enable sense checking of information provided via formal meetings.
- Support Members in carrying out their planning, resource planning and scrutiny functions.
- Reassure the full Authority that adequate oversight arrangements are in place.
- Provide a mechanism through which Members can engage with frontline policing and see policy decisions in action.

6.2 The portfolios currently take two forms:

- Thematic alignment
- Sub-divisional alignment

6.3 An explanation of the mechanism for meeting portfolio requirements is provided below.

Thematic Portfolios

Purpose

6.4 Involvement in specific areas of the BTP's work will assist Members in discharging their duty of having oversight of the delivery of an efficient and effective Force and will equip Members to take more informed decisions about funding and/or resource allocation.

Mechanism

6.5 Members should seek to establish links with their BTP points of contact through their allocated officer at the Executive, with whom they should also work to develop a work plan in partnership with BTP colleagues to deliver the most productive result for all. Contact should take the form regular liaison throughout the year through meetings, telephone conversations and/or site visits and or attendance at conferences.

- 6.6 It is also recommended that where time allows, Members include visits and/or meetings with other stakeholders (such as PSA holders or passenger representatives) as part of their thematic work. Members will not be expected to be in a position to provide detailed information about policing to stakeholder contacts; the purpose of this work is to develop Member knowledge and to raise the profile of the Authority among stakeholders.
- 6.7 Members will be further supported in their role by the provision of high quality and timely briefings jointly prepared by the Authority and BTP in advance of contact.

Sub-divisional Portfolios

Purpose

- 6.8 The purpose of allocating sub-divisional responsibilities to individual Members is threefold. First it is to provide Members with a forum within which they can have general oversight of the wide range of BTP's operational and organisational activities. Second is to help Members to develop their own knowledge and experience of local policing issues and finally to increase the visibility of the Authority amongst front-line officers and staff.

Mechanism

- 6.9 Members should seek to establish links with the Superintendent of their assigned sub-division through their allocated officer at the Executive, with whom they should also work to develop an annual work plan in partnership with the Superintendent to deliver the most productive result for all. Contact should take the form regular liaison throughout the year through meetings, telephone conversations and/or site visits and involvement in APCC policy group work or attendance at conferences.
- 6.10 Members are expected to visit their assigned sub-division on 2-4 occasions in each calendar year. Whilst these visits have previously been a rather formal affair the intention is that they will now have a much more informal structure. This will take the form of Members joining officers on operations, on patrol and visiting local police stations to get a real feel for policing on the frontline, with a 30 minute introduction from the Superintendent and 30 minute debrief at the end of the visit.
- 6.11 Members with sub-divisions will also be the point of contact for the other stakeholders in those areas, such as PSA holders, passenger representatives and police and crime commissioners (PCCs) and it is recommended that they include visits to these various stakeholders as part of their programme each year, particularly if issues have been raised.
- 6.12 Members will not be expected to be in a position to provide detailed information about policing to stakeholder contacts; the purpose of this work is to develop Member knowledge and to raise the profile of the Authority among stakeholders. It may be useful for Members to

establish a list of discussion topics in advance of any meetings with stakeholders so that detailed information can be obtained from the Force.

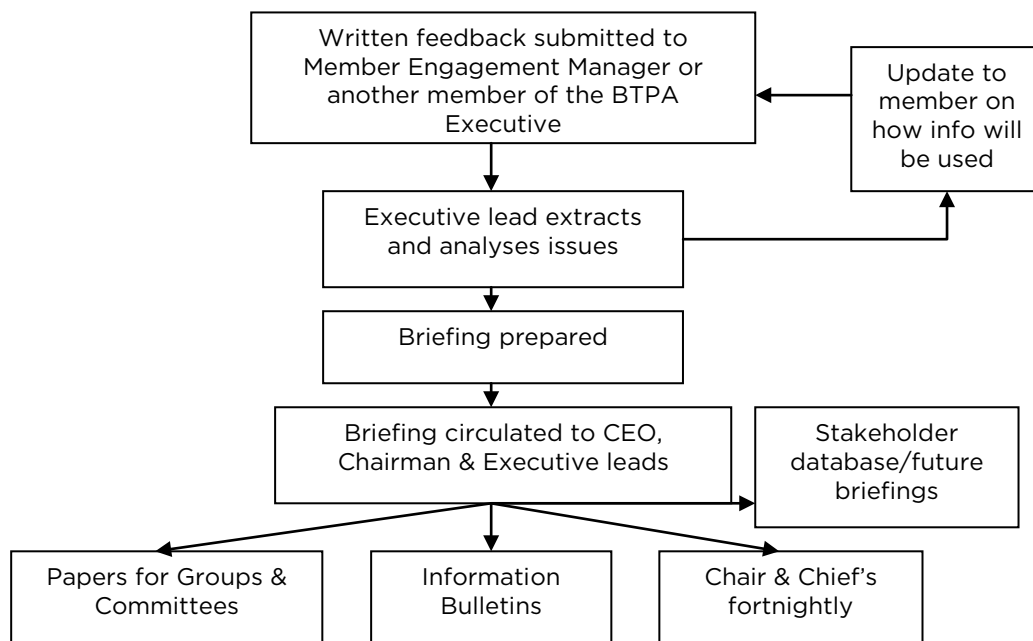
6.13 Members will be further supported in their role by the provision of high quality and timely briefings (from both BTP and the Authority) in advance of contact.

Feeding back

6.14 It is important that the Authority is able to formally capture the outputs of Members' work for two key reasons;

- To enable the Authority to evidence the work that Members do in relation to performance monitoring (and other work) outside of minuted Committee and/or Authority meetings for the purposes of external audit/scrutiny.
- To allow the Authority (via the Executive) to have a broad overview of the range of issues that are raised by individual Members as they carry out their duties outside of formal meetings. At present, there is no coherent way in which the Authority can capture and monitor general trends or issues outside of the structured meetings process.

6.15 Written feedback should be submitted to the Member Engagement Manager and distributed as appropriate (see the below diagram).



6.16 Members should feedback a summary of the outputs from all meetings. If there is no feedback required Members should submit a form advising that a visit has taken place and that there is nothing to report. This is for audit purposes. Issues of a particularly confidential or sensitive nature can be fed back directly to the Chief Executive if preferred.

6.17 Feedback can include any information that a Member believes to be useful but as a guide could include;

- Attendees of meeting/visit.
- Topic(s) of discussion.
- Operational issues raised & any Member/Executive actions arising.
- Organisational issues raised & any Member/Executive actions arising.
- Any diversity, finance or legal/risk implications arising.
- Any topic that may be appropriate for an Authority/Committee/Group paper/presentation or scrutiny exercise.

6.18 The Executive will collate this information and provide briefings or papers for the Authority, Committees, Groups and/or individual Members as appropriate. Members should also update the Chair of the Committees/Groups on the details of any visits or events which link into their work streams.

7. Board effectiveness and appraisal

7.1 An annual review of board effectiveness will take place and will be reported in the Authority's Annual Governance Statement. The board effectiveness review will have independent input every three years in accordance with government guidance. The effectiveness evaluation will be sent to the Principal Accounting Officer with an explanation of how the Authority intends to address weaknesses identified. Progress against the implementation plan will be reported to DfT through the bi-monthly meetings.

7.2 The effectiveness review will assess the following:

- How well the Authority is fulfilling responsibilities in Corporate Governance: Code of Good practice;
- How well the Authority is meeting its statutory duties;
- Relationships within the Authority and with stakeholders;
- Compliance with controls;
- Mix of skills, experience and diversity within the Authority.

7.3 The methodology for conducting the review will vary from year-to-year depending on the issues encountered throughout the year but will include a mix of the following:

- review of board papers;
- self-assessment questionnaires;
- member interviews;
- peer reviews; and

- Authority observations.
- 7.4 Individual appraisals will be focused on the performance of individual Members. They will look at how each Member contributes effectively and corporately to the Authority, including attendance at Authority and committee meetings and time spent on Authority matters. The appraisal process will provide an opportunity to review developmental needs and feedback to the Chair on the Member experience.

8. Training

- 8.1 A number of training opportunities will be available to Members throughout each year. Members are encouraged to attend these as they will cover such things as, for example, media awareness, diversity training, statistical and analytical training. A list of the competencies for Members is attached as Annex C.
- 8.2 Specific training requirements committee roles have been assessed and appropriate training will be provided as required for new committee appointments.

9. Monitoring arrangements

- 9.1 This document will be reviewed every year.

10. Document owner

- 10.1 Head of Governance and Compliance
020 7383 3844
Calvert.Yasin@btp.pnn.police.uk

Annexes

- Annex A: Contact details for the Authority Executive Team
Annex B: Contact details for BTP
Annex C: List of Member portfolio allocations (*to be confirmed*)
Annex D: Competency framework and committee training requirements
Annex E: Members' Allowance Scheme

Annex A: BTPA Executive Team contact details

Executive Team

Name	Title	Contact details
Ian Pigden-Bennett	Chief Executive (Interim)	020 7383 7708 ian.pigden-bennett@btp.pnn.police.uk
Sarah Mcgarel	Chief Financial Officer & Treasurer	020 7383 4073 sarah.mcgarel@btp.pnn.police.uk
Ellie Hartup	Executive Team Assistant	020 7388 2643 elodie.hartup@btp.pnn.police.uk
Stephanie Calvert - Mon, Tues, Weds Lucy Yasin - Weds, Thurs, Fri	Head of Governance and Compliance (job share)	020 7383 3844 Calvert.Yasin@btp.pnn.police.uk
Raquel Cortes	Member Engagement Manager	020 7387 3810 raquel.cortes@btp.pnn.police.uk
Sam Elvy	Head of Strategy, Planning and Engagement	020 7383 7325 samantha.elvy@btp.pnn.police.uk
Jonathon Newton	Analyst	020 7388 9271 Jonathon.newton@btp.pnn.police.uk
Katie Stanton	Stakeholder Engagement and Communications Manager	020 7383 5678 katie.stanton@btp.pnn.police.uk
Tony Collingwood (temporary)	Finance, Audit & Risk Manager	020 7387 1238 tony.collingwood@btp.pnn.police.uk
Vicky Tanner	Contracts and Compliance Manager	020 7388 4377 victoria.tanner@btp.pnn.police.uk
Alex Robertson	Analyst	020 7383 4887 alex.robertson@btp.pnn.police.uk
David Browning	Governance Manager	0207 383 2186 david.browning@btp.pnn.police.uk

Annex B: BTP details

Name	Title
CC Paul Crowther	Chief Constable
DCC Adrian Hanstock	Deputy Chief Constable
ACC Robin Smith	Assistant Chief Constable Territorial Policing
ACC Charlie Doyle	Assistant Chief Constable Public Contact and Specialist Crime
ACC Sean O'Callaghan	Assistant Chief Constable Specialist Operations
Rachael Etebar	Director of People & Culture
Simon Downey	Director of Strategy & Change
Tracey Martin	Director of Finance & Commercial Services

Annex C: Member Portfolio allocations

To be confirmed

Annex D: Competency Framework and Training Requirements

Member competencies

Competencies	Definition
Strategic thinking	Breadth of vision – the ability to rise above detail, and to see problems and issues from a wider, forward-looking perspective, and to make appropriate contributions.
Good judgement	to take a balanced, open-minded and objective approach, for example, in evaluating policing priorities, assessing candidates for top level appointments or considering complaints against chief officers, and to develop an understanding of the environment and context in which the Authority and Force must operate.
Openness to change	The ability to challenge accepted views constructively without becoming confrontational, and to recognise and respond positively to the need for change, identifying ways in which the organisation in question could be developed.
The ability to scrutinise and challenge	To be able to rigorously scrutinise and challenge constructively, and exercise effective oversight of all aspects of BTP performance, using appropriate data, evidence and resources.
Analytical ability	The ability to interpret and question complex written material, including financial and statistical information and other data such as performance measures, and identify the salient points.
Ability to communicate effectively	To be able to explain policing issues clearly, and engage in dialogue with our stakeholders
Stakeholder engagement	To understand the importance of stakeholder views in shaping policing style and be prepared to represent their views in an impartial way, and participate in policy-making aimed at engaging stakeholders.
Effective time management	To be able to identify priorities and make the most productive use of own and others time.
Personal Skills and Qualities	
Team working	the ability to play an effective role in committees and other partnerships through listening, persuading and showing respect for the views of others.
Self confidence	the skill to challenge accepted views constructively without becoming confrontational.
Enthusiasm and drive	to be pro-active in seeking out learning and developmental opportunities to enhance knowledge and understanding, for example on financial matters and statutory requirements.
Respect for others	the capacity to treat all people fairly and with respect; value diversity and respond sensitively to difference.
Integrity	the necessity to embrace high standards of conduct and ethics and be committed to upholding human rights and equality of opportunity for all.
Leadership	the confidence to lead by example, establish clear goals and objectives and build support and commitment within the Authority and BTP as well as the wider community and with partner agencies.
Decisive	to show resilience, even in challenging circumstances, remaining calm and confident and able to make difficult decisions.

Annex E: Member Allowance Scheme

1. Background

Under paragraph 21 of Schedule 4 to the Railways and Transport Safety Act 2003, the Authority is required to publish arrangements for making payments to or in respect of Members, by way of or in respect of:

- Remuneration
- Allowances
- Expenses
- Compensation
- Gratuity

This document sets out the current arrangements for the Members of the British Transport Police Authority.

2. Basic Allowance

Members of the Authority are entitled to a basic allowance of £16,497 circa (based on 0.5-1 days per week or 30 days average). The Chair and Deputy Chair are paid allowances based on 60 days and 50 days respectively per annum. All allowances are paid in equal four weekly amounts in arrears. These allowances are reviewed annually in line with inflation.

3. Qualifying duties

Attendance at the following, qualify as activities carried out on behalf of the Authority:

- Meetings of the Authority, its Committees, sub groups or other associated meetings involving Members.
- Consultation events arranged by or approved by the Authority.
- Meetings of a body or organisation at which the Member is representing the Authority.
- Conferences, seminars, or similar events attended on behalf of the Authority.
- Meetings with the Chief Constable or other senior members of BTP as Chair or lead Member, as prearranged with the Chief Executive to the Authority.
- Representing the Authority on other external bodies.
- Reading/preparation time for Authority business.

4. Roles & Responsibilities

The Members have the following general and specific roles and responsibilities:

4.1 Authority Member

Members shall:

- Establish the overall strategic direction of the Authority within the policy and resources framework agreed with the Secretary of State;

- Ensure that the Secretary of State is kept informed of any changes which are likely to impact on the strategic direction of the Authority or on the attainability of its targets, and determine the steps needed to deal with such changes;
- Ensure that any statutory or administrative requirements for the use of public funds are complied with; that the Authority operates within the limits of its statutory authority, and in accordance with any other conditions relating to the use of public funds; and that, in reaching decisions, the Authority takes into account guidance issued by the sponsor Department;
- Ensure that it receives and reviews regular financial information concerning the management of the Authority; is informed in a timely manner about any concerns about the activities of the Authority; and provide positive assurance to the Department that appropriate action has been taken on such concerns;
- Demonstrate high standards of corporate governance at all times, including establishing an audit committee to help the Authority to address the key financial and other risks facing the Authority;
- Appoint, with the Secretary of State's approval, a Chief Constable, Deputy Chief Constable and Assistant Chief Constables of the BTP (and police staff equivalent) and, in consultation with the Department, set performance objectives and remuneration terms linked to these objectives for the Chief Constable, Deputy Chief Constable and Assistant Chief Constable which give due weight to the proper management and use of public monies.
- Appoint a Chief Executive and an Authority Chief Financial Officer.

4.2 Authority Chair

The Chairman has a particular leadership responsibility on the following matters:

The Authority's overall strategy for discharging its aims and functions and ensuring that this is reflected in its corporate and business plans;

- Ensuring that the Authority, in reaching decisions, takes proper account of guidance provided by the Secretary of State or the Department;
- Ensuring that high standards of propriety and probity are maintained and promoting efficient and effective use of staff and other resources;
- Taking a lead in representing the Authority in communications with partner agencies, Government, and other stakeholders;
- Representing the views of the Authority to the general public;
- Providing an assessment of performance of individual Authority Members on request;

- In conjunction with the Chief Executive and Chief Financial Officer, ensuring that the business of the Authority runs smoothly and to hold regular strategic meetings with the Chief Constable;
- Undertaking a performance review of the Chief Constable with the Deputy Chairman and other members of the Authority, as appropriate, assisted by the Chief Executive;
- Discharging the general responsibility as a Member of the Authority.

And shall also:

- Ensure that all members of the Authority, when taking up office, are fully briefed on the terms of their appointment and on their duties, rights and responsibilities, and receive appropriate induction training, including on the financial management and reporting requirements of public sector bodies and on any differences which may exist between private and public sector practice;
- Advise the Secretary of State of the needs of the Authority when vacancies for members arise, with a view to ensuring a proper balance of professional and financial expertise and that the make-up of the Authority meets the requirements of the Act;
- On request, assess the performance of individual Authority members when they are being considered for re-appointment to the Authority; and
- Meet with the Secretary of State annually and with other Ministers where necessary.

4.3 Authority Deputy Chair

The Deputy Chair of the Authority shall fulfil the basic responsibilities of an Authority member and in addition will:

- Deputise for the Chair when necessary
- Assist the Chair in fulfilling his or her role as Authority Chair

5. Travel & Accommodation

Members will be reimbursed for reasonable and necessary expenses for travel by rail, air, taxi and own car mileages. The same applies for hotel and subsistence costs as set out in the BTPA Expenses Policy.

6. Other payments

6.1 Carers/dependents allowances

Members are entitled to claim any reasonable receipted expenses in relation to costs of providing care for dependent relatives or partners when attending Police Authority Business. For this allowance to be payable the dependent being cared for must be in one of the following groups:

- A child under 16 years of age
- An elderly person
- A person with a mental or physical disability
- A person with a learning disability who must not be left unsupervised

7. Choosing Not To Claim

Any Member may choose not to accept part or all of the allowances to which he/she is entitled under this Scheme.