

Ivason House
8a London Bridge St
London SE1 9SG

T: 07900 394 397
E: general.enquiries
@btpa.police.uk

www.btpa.police.uk

Board Effectiveness Evaluation Report and Action Plan 2020/21

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Introduction

1. The British Transport Police Authority (BTPA) works hard to drive continuous improvement in its ways of working to deliver its purpose of securing the maintenance of an efficient and effective police force to police the railways. The BTPA conducts an evaluation of its practices each year as it continues on its journey to shape and deliver good governance and public accountability in railway policing.
2. The annual evaluation also ensures compliance with the HM Treasury guidance document [Corporate Governance in Central Government Departments: Code of Good Practice \(2017\)](#). The evaluation covers the systems and processes in place at board, committee and individual level, with independent input acquired at less frequent intervals.
3. The purpose of the exercise is to assess the effectiveness of changes made the previous year, consider any significant changes in the environment that may require a new approach and to identify and gain insight into further opportunities for the Authority to operate more effectively in the future. This is achieved through thematic analysis of the perspectives of Members, the Executive team within the Authority and the Chief Officer Group (COG) within British Transport Police (BTP).
4. Following its completion, BTPA issues the evaluation to the Principal Accounting Officer and the Department for Transport (DfT) alongside an explanation of how BTPA plans to address any identified areas for development.

Context

5. This evaluation has been completed following an unprecedented year with a global pandemic forcing all organisations to adapt how they operate to continue to successfully provide a service. The Authority Executive has largely worked from home with Members meeting virtually all but once since the first lockdown in 2020. The feedback from staff and Members has been that the Authority and Executive adapted well with all statutory duties continuing to be met and new ways of working quickly and effectively being implemented.
6. Inevitably, the impact of the pandemic forced the BTPA to revisit and refocus the work plan for 2020/21. The restrictions in place meant that there was less opportunity to progress some of the actions identified in the 2019/20 Board Effectiveness Evaluation action plan, most notably the move to a more informal approach to promote the discussion of strategic matters. Therefore, some actions have been picked up in the 2020/21 plan to ensure that a focus remains on progressing this work, which has been cited by all as vital. It did however provide an opportunity to drive greater pace into changes to ways of working such as the ability to operate virtually.

7. Whilst some of the improvement work is taking place in slightly slower time, the BTPA did still deliver its major tasks for 2020/21. A significant one of which was to appoint a new Chief Constable. This was a significant milestone which a number of pieces of work are linked to, including the development of a new three-year Strategy with the associated focus on modernising culture.
8. Another key action from the 2019/20 action plan was to appoint a Board Secretary to provide consistency of approach across the BTPA's committee structure but also to address a number of minor governance matters that had been identified. This appointment was successfully filled in November 2020. The Executive Team has also recruited an additional fixed term post to review the Enhanced Police Service Agreement (EPSA) model, which will help to address a further area where governance issues had been identified.

The Evaluation

Methodology

9. The 2020/21 evaluation approach mirrors that undertaken in 2019/20. It relied upon questionnaire responses and follow-on interviews with individual Members to assess perceived effectiveness in areas including:
 - a. leadership, purpose and strategy;
 - b. assurance; and
 - c. Board operation and development.
10. Questionnaire responses were also invited from British Transport Police Force Chief Officer Group, and from the BTPA Executive team.
11. In addition, the 2020/21 evaluation included:
 - a. Feedback via an informal Member workshop on implementation of the 2019/20 board effectiveness action plan, an oversight mapping exercise and the emerging themes from the 2020/21 feedback;
 - b. A review of Board and Committee papers submitted to Members during 2020/21;
 - c. A review of BTPA compliance with its own written policies, primarily the [Code of Governance \(2019\)](#);
 - d. Open source comparisons with peer Police Authorities i.e. review of published Annual Reports, board effectiveness papers, and bespoke reviews of governance (see Appendix B).

Findings

12. The following key themes were identified following a thematic analysis of the various strands of feedback:
- a. **Relationships:** Seek to maximise change opportunities to reset and build relationships/ways of working between BTPA and BTP, building on previous efforts to facilitate more informal and strategic sessions between Members, BTPA Executive and COG.
 - b. **Effectiveness:** Agree what 'effective' looks like for BTPA and identify any board/individual development needs to ensure excellence in delivery. Focus on how the Authority adds value to delivery of the Strategy and what is needed to deliver this i.e. any changes to project/financial governance, terms and conditions to deliver the desired culture and behaviours etc.
 - c. **People and Culture:** Enhance awareness of people and culture matters to ensure an understanding of and strategic focus on, what type of employer BTP/A is and wants to be in the future.
 - d. **Member/Executive communication:** Further refine the format, level and frequency of communication between the BTPA Executive and Members, including how we capture learning and other outputs from Member activity outside of the formal governance structure.
 - e. **Governance:** Continue refining governance following the appointment of the Board Secretary.
13. The findings have been converted into a detailed action plan which can be found at Appendix C. The 2019/20 Action plan has been closed and is attached as Appendix D for information.

Conclusions

14. The Authority remains confident that it is meeting its statutory duties. This year particularly there has been a marked improvement in some areas of governance, particularly within the Board Secretariat responsibilities. This is supported by the fact that many of the actions which form part of last year's plan have been discharged.

Appendices

Appendix A - The Questionnaire

Appendix B - Peer comparisons & governance best practice

Appendix C - 2020/21 Action Plan

Appendix D - 2019/20 Action Plan (closed)

Appendix A: Questionnaire

| 1. Leadership, purpose and strategy | | | | | |
|--|--|---------------|---------------------------------|------------|---------------------|
| Theme | Questions | | | | |
| 1.1 Strategy, direction and leadership | 1. Does the operation of the Authority set the right tone for the wider organisation? Please explain your view. 2. In setting the Strategy does the Authority have sufficient focus on ensuring it is well aligned to the remit of the Authority and the capabilities of the Force? 3. How does the Authority ensure that the balance between the focus on immediate issues and long-term success is appropriate? 4. Does the Authority devote sufficient quality time and have an effective mechanism to monitor the implementation of the Strategy? | | | | |
| Comments and suggestions for improvement | | | | | |
| The Authority performs well in the areas of strategy, direction and leadership | 5 Strongly disagree | 4 Disagree | 3 Neither agree nor disagree | 2 Agree | 1 Strongly agree |
| 1.2 Culture, values and behaviours | 5. Is there sufficient understanding of the culture, values and their alignment with the Strategy? 6. Has the Authority had sufficient input into setting the values and behaviours for BTP? | | | | |
| Comments and suggestions for improvement | | | | | |
| The Authority performs well in culture, values and behaviours | 5 Strongly disagree | 4 Disagree | 3 Neither agree nor disagree | 2 Agree | 1 Strongly agree |
| 1.3 Stakeholder relationships | 7. Has the Authority sought input from enough stakeholders to be comfortable it has a rounded view? 8. Has the Authority listened properly to the stakeholder voice and how has this impacted on Authority decisions? | | | | |
| Comments and suggestions for improvement | | | | | |
| The Authority performs well in stakeholder relationships | 5 Strongly disagree | 4 Disagree | 3 Neither agree nor disagree | 2 Agree | 1 Strongly agree |
| 1.4 Performance measurement | 9. Is performance information sufficiently integrated with financial reporting? 10. Are you content that the areas of performance exception are being reported to the Authority – both positive and negative? If not, what is missing? | | | | |
| Comments and suggestions for improvement | | | | | |

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| The Authority performs well in performance management | 5 Strongly disagree | 4 Disagree | 3 Neither agree nor disagree | 2 Agree | 1 Strongly agree |
| 2. Assurance | | | | | |
| Theme | Areas to explore | | | | |
| 2.1 Financial management, audit and propriety | 11. Is the Authority content that there is adequate review (internal and external) of the operation of key controls, including fraud and propriety issues? 12. Is the Authority satisfied that it receives full and timely notification of all significant losses, special payments and other leakage and takes appropriate action to address weaknesses or failures? 13. Is the Authority satisfied that it receives regular updates and post-evaluation reviews for all programmes and projects it has approved, and others judged high risk? | | | | |
| Comments and suggestions for improvement | | | | | |
| The Authority performs well in the areas of financial management, audit and propriety | 5 Strongly disagree | 4 Disagree | 3 Neither agree nor disagree | 2 Agree | 1 Strongly agree |
| 2.2 Risk management | 14. Is the Authority satisfied that adequate internal policy and controls are in place for risk and that these are reviewed annually? 15. Is the Authority satisfied that full account of risk is taken when taking major decisions? Please provide examples. | | | | |
| Comments and suggestions for improvement | | | | | |
| The Authority performs well in risk management | 5 Strongly disagree | 4 Disagree | 3 Neither agree nor disagree | 2 Agree | 1 Strongly agree |
| 3. Board operation and development | | | | | |
| Theme | Areas to explore | | | | |
| 3.1 Skills and structure | 16. Is the Authority the right size and equipped with the right skills and experience to fulfil its duties and functions effectively? If not, why? 17. Could the governance structure, including the committee structure and portfolio arrangements, be improved? If so how? | | | | |
| Comments and suggestions for improvement | | | | | |
| The Authority's skills and structure are optimal | 5 Strongly disagree | 4 Disagree | 3 Neither agree nor disagree | 2 Agree | 1 Strongly agree |
| 3.2 Decision-making | 18. Is the Authority appropriately briefed at an early stage on significant items that will come for approval to ensure assumptions are able to be challenged and concerns shared well before the point of decision? 19. Does the Authority have a sufficient understanding of alignment with strategy and values and impact on stakeholders when taking decisions? | | | | |

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| Comments and suggestions for improvement | | | | | |
| The Authority performs well in decision-making | 5 Strongly disagree | 4 Disagree | 3 Neither agree nor disagree | 2 Agree | 1 Strongly agree |
| 3.3 Board culture | <p>20. Is there a culture of openness, ability to express dissenting points of view and a collegiate way of escalating and resolving differences?</p> <p>21. Is there a culture of accountability for delivery of committee and individual work plans?</p> | | | | |
| Comments and suggestions for improvement | | | | | |
| The is culture of the board is open and collegiate with collective accountability. | 5 Strongly disagree | 4 Disagree | 3 Neither agree nor disagree | 2 Agree | 1 Strongly agree |
| 3.4 Operation of governance structure | <p>22. Is the programme of the full Authority driven by strategy and focused on the right issues?</p> <p>23. Are papers of sufficient quality, appropriate length, clarity and focus to support effective discussion and decision-making? Please state any areas requiring improvement.</p> | | | | |
| Comments and suggestions for improvement | | | | | |
| The Authority performs well in the above area | 5 Strongly disagree | 4 Disagree | 3 Neither agree nor disagree | 2 Agree | 1 Strongly agree |
| 3.5 Board development agenda for 2021/22 | <p>24. What are the main strengths of the Authority?</p> <p>25. What are the main areas for improvement/development?</p> <p>26. What are your three main recommendations to develop the Authority going into 2021/22?</p> | | | | |
| Comments and suggestions for improvement | | | | | |
| The Authority performs well in the above area | 5 Strongly disagree | 4 Disagree | 3 Neither agree nor disagree | 2 Agree | 1 Strongly agree |
| Further comments/suggestions | | | | | |

Appendix B: Peer comparisons & governance best practice

1. As part of this year's Board Effectiveness Evaluation, a review was undertaken of open source materials available from peer police authorities to acquire an understanding of how other bodies with a similar Authority model approach governance related matters. This enabled comparisons to be made and to identify any practice which could be adopted by the BTPA to enhance effectiveness.
2. The Executive sought to identify the governance context that peers were operating within. The context(s) are summarised as follows:
 - a. **Scottish Police Authority (SPA)**. SPA was the subject of an [independent review of its role](#) (August 2020). Of particular note are recommendations around the Force providing SPA Committees with early sight of project planning; improving capacity for evidence-based performance reporting; providing clarity on whether Force/Authority are responsible for elements of joint strategic planning/annual reports; improving Board diversity.
 - b. **City of London Police Authority (COLPA)**. COLPA has responded to recommendations made by a [review of wider City of London Corporation governance delivered by Lord Lisvane](#). Of particular note is COLPA's bifurcation of its Performance and Resource Management Committee into two Committees: one focusing on Policing Plan Performance; and one on Finance, Audit and Risk. More widely COLPA has introduced annual Member Skills Audits, created formal job descriptions for Chairs; ensured Transformation reporting meets Members' expectations; introduced a Finance Oversight framework; and developed a COLPA Equality and Diversity Strategy.
 - c. **Civil Nuclear Police Authority (CNPA)**. CNPA responded to an internal audit on governance and risk through refreshing its Board and Committee structure, including the formation of a People Committee to improve CNPA oversight of strategic HR, people, and refresh of the Force's People Strategy.
 - d. **Police Service of Northern Ireland Board (PSNIB)**. PSNIB carried out a detailed board effectiveness review in 2019. Among its recommendations were improved strategic business planning for the Board and its Committees; developing an Engagement Strategy; reviewing its Committee structure; and developing a risk appetite statement. This work looks to be ongoing as of 2020/21.
 - e. **Policing Authority (Ireland)/An Tudaras Poilneachta**. As at April 2020 work was ongoing to enhance the performance framework through developing performance measures in line with international best practice.

3. This element of the review demonstrated that peers have been considering issues in common with those identified at BTPA: namely quality of reporting; adjustment of Committee terms of reference(s); diversity; and understanding of risk.
4. The Executive also considered how some of the principles of best practice board effectiveness are being applied, as defined in *Corporate Governance in Central Government Departments: Code of Good Practice*. These are set out below, alongside headline comments concerning peer authorities.
 - a. Formal procedures for the appointment of new Board members, tenure, and succession planning.
 - i. The COLPA has recently adopted the practice of conducting annual Member skills audits. This supports the performance management and succession planning for its high proportion of co-opted and independent Members on its Committees.
 - ii. The BTPA has defined procedures for appointment and tenure (subject to decision-making processes within DfT). It is proposed that succession planning will be within the remit of a forthcoming refreshed Appointments and Remuneration Committee.
 - b. Allowing sufficient time for Board to discharge its collective responsibilities effectively.
 - i. The COLPA and Policing Authority Republic of Ireland (ATP) have a high frequency of Board meetings, giving more scope for consideration of business albeit with a corresponding high time commitment for their Members.
 - ii. This Authority meets six times a year: both the Board and its Committees generally complete consideration of business albeit some Committees e.g. Audit and Risk Assurance, and Performance and Delivery, have ambitious meeting agendas. This is being mitigated through committee workplans.
 - c. Induction on joining the Board, supplemented by regular updates to keep Members' skills and knowledge up to date.
 - i. SPA has an intensive induction programme planned for its five new Members, including enhanced induction for those Members taking Committee Chairs at the outset of their term.
 - ii. COLPA convenes a regular schedule of 'breakfast briefings' on topical issues for both Authority Members. In 2020 these included legitimacy; economic crime; and counter-terrorism.

- iii. BTPA is developing an induction programme for its forthcoming new Members and proposed the introduction of additional Member briefing sessions following the recent oversight mapping exercise.
 - d. Timely provision of information in a form and of a quality that enables the Board to discharge its duties effectively.
 - i. The SPA, COPLPA, PSNIB, and Policing Authority Republic of Ireland (ATP) tend to adopt a narrative style of reporting (particularly with regards to performance), the corresponding impact of which means that the papers can be considerably lengthy.
 - ii. BTPA has been addressing the length of reporting made to the Board and its Committees; of particular note is the dashboard performance report format adopted by Performance and Delivery and shortly at Scottish Railways Policing. In this, the BTPA is tending to more focussed, numerical based performance reporting than our peer Police Authorities
 - e. A mechanism for learning from past successes and failures.
 - i. There is not enough open source material on peers to make observations against this principle.
 - f. Formal and rigorous annual evaluation of the Board's performance including its Committees, and individual Board members.
 - i. Peers conduct similar annual evaluation exercises but of varying levels of rigour. These vary from straightforward reviews of terms of reference (COPLA); to in depth exercises to analyse ways of working at each meeting culminating in an annual report (SPA).
 - ii. BTPA conducts an annual board effectiveness exercise culminating in an action plan that is reviewed throughout its implementation.
 - g. A dedicated secretariat with appropriate skills and experience.
 - i. All peers look to have established secretariats.
- 15. Furthermore, the transparency of business conducted by peers can be used as a measure for board effectiveness.
 - a. The degree to which peers publish papers of meetings varies from a high level of transparency, ranging from publication of meeting papers (Policing Authority Republic of Ireland; PSNIB; SPA; COLPA) through to publication of terms of references, and Freedom of Information request summaries only (CNPA).

- b. Peer authorities also have a varying approaches to broadcasting meetings/facilitating public attendance. Policing Authority Republic of Ireland has a number of dedicated public meetings each year, which have been livestreamed during COVID. SPA and COLPA routinely livestream meetings, the former pre-dating COVID.
 - c. The BTPA commits to publishing meeting papers, whereas Committee meetings are closed to the public. Board meeting webpages note virtual public attendance and the practice of Teams recordings of formal Board meetings being uploaded to the BTPA website has been adopted.
16. The review has prompted a number of conclusions. Firstly, the BTPA, in a governance context, has been considering similar issues to its peers e.g. quality of reporting; Committee structure etc.
17. When benchmarked against best practice board effectiveness principles, the BTPA compares well to its peers in areas of;
- a. Introduction of succession planning as part of the terms of reference of refreshed Appointments and Remuneration Committee.
 - b. Plans for new member induction, and planned provision for member briefings.
 - c. Provision of information, insofar as performance dashboards (verses narrative reporting) have been implemented at Performance and Delivery and are forthcoming for the Scottish Railways Policing Committee.
 - d. Conducting a rigorous board effectiveness exercise.
18. BTPA can consider further development of board effectiveness in the areas of formal individual evaluation of Members' performance as part of the annual board effectiveness exercise and continued focus on whether to adopt livestreaming of public meetings or rely on uploads of recordings.

Appendix C: 2020/21 Report action plan

| Theme | Context | Actions |
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| <p>1. Relationships Maximise change opportunities to refresh ways of working with BTP, building on previous efforts to facilitate more informal and strategic sessions between Members, BTPA Executive and COG.</p> | <p>This builds on action six from last year's action plan, as the pandemic restricted our options in 2020 and the first half of 2021. It was agreed that the arrival of the new Chief Constable presented the perfect opportunity to progress this work and the Strategic Directive to the CC (Serial B071) was drafted to set out how we wanted to work together.</p> | <ol style="list-style-type: none"> 1. In addition to the softer, less tangible changes in how we communicate, an integrated Member meeting & engagement cycle to be developed with BTP to include, in addition to the formal meeting cycle: <ol style="list-style-type: none"> a. Informal BTPA/BTP briefing sessions in the form of breakfast briefings with guest speakers from BTP/industry; b. More workshop style events to discuss strategic matters and reach consensus. 2. Chairs' Forum focused on committee business/strategy to be reinstated. 3. A review of Member engagement outside of committees and touch points with COG to ensure optimal arrangements. 4. Board agendas to be refocused to ensure emphasis on strategy and forward look. |
| <p>2. Effectiveness Agree what 'effective' looks like for BTPA and identify any board/individual development needs to ensure excellence in delivery. Focus on how the Authority adds value to delivery of the Strategy and what is needed to deliver this i.e. any</p> | <p>This builds on actions one and five from last year which led to the development of the oversight mapping work and the identification of a number of areas that required additional focus which have now been largely addressed following discussions in September 20 and February</p> | <ol style="list-style-type: none"> 5. Facilitated session to coalesce around what 'effective' looks like for BTPA. Resulting in a shared vision and understanding amongst the membership. 6. Actions from the above session to be progressed along with a review of collective and individual skills gaps to ensure continuous board |

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| <p>changes to project/financial governance, terms and conditions to deliver the desired culture and behaviours etc.</p> | <p>21. The actions are the identified next steps along the journey towards becoming a high-performing board.</p> | <p>development driving value, innovation and excellence in delivery.</p> <p>7. As part of the development of the Strategy, discuss and agree the culture, values and behaviours for BTP/A and any resulting changes required to term and conditions.</p> <p>8. Review the scheme of financial delegation and service level agreement with BTP to ensure that this is efficient and effective and provides sufficient empowerment.</p> <p>9. Oversight mapping work to be progressed and outstanding gaps closed.</p> |
| <p>3. People and culture Enhance awareness of people and culture matters to ensure an understanding of and strategic focus on, what type of employer BTP/A is and wants to be in the future.</p> | <p>This partly builds on action five from last year which was to modernise BTP’s culture and drive a more modern and agile organisation, which has been partly captured in the previous theme in respect of the opportunity to influence and set the culture, behaviour and values as part of the development of the Strategy. However, this theme broadens out the previous action to expand into wider people matters.</p> | <p>10. The Executive to work with BTP People and Culture to identify strategic people projects where the Authority can add value and agree how we best engage.</p> <p>11. The Appointments and Remuneration Committee to be replaced with a wider People and Remuneration Committee.</p> <p>12. A separate Appointments and Appraisal Panel to be established with a narrow remit of Chief Officer and equivalent succession planning/appointments at BTP/A and appraisals for those appointed to these posts.</p> |

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| <p>4. Member/Executive Communication Further refine the format, level and frequency of communication between the BTPA Executive and Members, including how we capture learning and other outputs from Member activity outside of the formal governance structure.</p> | <p>This builds on the action from the 2018/19 Board Effectiveness Evaluation following which committee digests were implemented to ensure Members were aware of key decisions/ discussions from other committees, improved engagement outside of formal structures was delivered through the Member WhatsApp group and the Chief Executive's digests.</p> | <p>13. Review Member engagement opportunities with BTP and stakeholders using the Chief Constable's strategy as a platform.</p> <p>14. Develop the mechanisms to facilitate effective two-way communication between Members and the Executive focused on activity outside of committees through:</p> <ul style="list-style-type: none"> a) Increased informal briefings; b) Creation of standardised report backs with observations; c) Refinement of presentation of material shared on BI. |
| <p>5. Governance Continue refining governance following the appointment of the Board Secretary.</p> | <p>This builds on action two from last year's plan to ensure a consistent approach to governance following the appointment of the Board Secretary and takes into consideration recognised best practice.</p> | <p>15. Adopt a policy on succession planning.</p> <p>16. Agenda structures to be benchmarked against Strategy/Policing Plan.</p> <p>17. Adopt report writing guidance/templates/training.</p> <p>18. Develop the induction programme for incoming Members including a refresh of the Member Handbook.</p> <p>19. Refresh annual Member appraisal process.</p> <p>20. Incorporate recommended oversight mapping governance outputs, including a refresh of committee workplans and development of performance dashboards.</p> <p>21. Increase accessibility to public meetings.</p> |

Appendix D: 2019/20 Plan (closed)

Board Effectiveness Evaluation Action Plan 2020

| Ref | Action | Owner | Status |
|-----|---|--|---|
| 1 | <p>The Executive to develop a list of the key roles and responsibilities for the Authority to agree and determine whether/how these are being delivered and if there is a more efficient or effective approach. To be taken at a workshop with the aim to:</p> <ul style="list-style-type: none"> • crystallise the Authority's raison d'être by being clear about collective and individual roles. • assist the Authority in working towards becoming a high-performing board by ensuring the right balance of activity. • Provide the basis for updating the Code of Governance. | <p>The BTPA to participate in the workshop.</p> <p>BTPA Executive to compile list and organise logistics</p> | <p>Closed – to be progressed further in 2021 action plan: This is a significant piece of work that goes to the heart of the Authority's role. Discussion was progressed at the 23/9/20 workshop. Progress was highlighted in the CEO note to Members of 8/1/21 and further discussions took place at the 3/2/21 Members' meeting. This remains subject of an ongoing discussion.</p> |
| 2 | <p>Recruit an experienced Board Secretariat (complete) to ensure a consistent approach to the governance of meetings and to support the implementation of review arrangements including;</p> <ul style="list-style-type: none"> • The possibility of live streaming or recording Authority meetings and committees and providing access via the web. (Complete – see comment in the far righthand column) • Updating the process for approval of minutes and look at the possibility of an audit trail of comments | <p>Head of Governance and Compliance</p> | <p>Largely complete with two outstanding areas to be finalised in 2021 plan:</p> <p>Alistair MacLellan started in post on 2 November.</p> <p>Meetings are now being recorded and posted to the BTPA YouTube channel with a link via the BTPA website. We are working towards live streaming once BTP technology allows the set up and Members/wider</p> |

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| | <p>and formal process for managing unresolved observations. (Complete)</p> <ul style="list-style-type: none"> • Reviewing the way that conflicts of interest are considered and declared before each meeting, including confirmation of any new interests and a specific confirmation regarding potential conflicts in respect of any item on individual meeting agenda. (Complete) • Reviewing and documenting the appointment process of Committee Chairs to demonstrate how the Authority considers the potential perception of conflicting interests. (In progress) • Review the use of private Members only meetings to determine whether there is conflict with the formalised governance structures, consultation requirements, and perceptions of openness and transparency. (Complete) • Consider a declaration of compliance with statutory consultation requirements in the Annual Report and in Authority meetings (e.g. statement of consultation undertaken in setting objectives in the Policing Plan sub group, statement of consultation in the budget approval decision in respect of budget setting). (In progress) | | <p>attendees are fully prepared for this approach. Next challenge will be to record/live stream meetings in person or hybrid Teams/in person meetings.</p> <p>The current process for minute sign off and amendment was considered to be sufficient.</p> <p>Agendas now routinely include an item to prompt the declaration of any conflicts of interest in respect of specific agenda items.</p> <p>The use of private Member only meetings and pre-meets was considered and no conflict with the formalised governance structure was considered to be present.</p> <p>The Board Secretary is considering how to improve the process for appointing Committee Chairs as part of the Code of Governance refresh and with a focus on succession planning.</p> <p>The value of making statutory declarations is being considered by the Head of Strategy, Engagement and Planning’s team as part of the work towards this year’s annual report.</p> |
| 3 | The Authority to take a more prominent role in stakeholder engagement as the contracting body. Members to drive | Members with Head of Strategy | Closed and will be progressed through BAU: At the 23/9/20 workshop there were |

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| | discussions with stakeholders to ensure the Authority is recognised as such. | Planning and Engagement leading for the Executive | <p>differing views in respect of how involved Members should be in engagement activity with stakeholders.</p> <p>The Pandemic has impacted on the stakeholder landscape significantly. Both in terms of practical work with stakeholders and in terms of rail industry structures and dynamics. The Executive is staying abreast of EMAs, ERMAs and Direct Awards to TOCs. Members were updated on the overall landscape on 3/2/21.</p> |
| 4 | A coherent planning cycle including BTP Fund calculation to be developed to capture how the statutory consultation will be completed and how the various elements of the Fund will be approved. | Head of Governance and Compliance and CFO | <p>Complete: On review of current process and documentation this is not deemed necessary.</p> <p>A comprehensive business cycle is in place, which is followed by the Authority to deliver its statutory duties, including budget setting and MTFP calculation.</p> <p>The business cycle and Code of Governance documents which outline this will be refreshed annually and any necessary amendments made.</p> |
| 5 | The Authority to identify the best way to work with BTP to modernise the culture and ways of working to help drive a more modern and agile organisation through transformation. | Members with support from the Chief Executive | <p>Closed - to be progressed in 2021 action plan: This is a complex ambition. The approach is various. Having appointed a</p> |

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| | | | new Chief Constable our efforts have been focused on setting the right ambition in the initial commission set for her. It is hoped that by the workshop in June, where the CC will be invited to feed back some of her observations and plans, the approach and direction of travel will be more apparent. |
| 6 | The Authority and BTP to work to build trust and respect through the use of informal sessions and more collaborative working across Members, the Executive and the Chief Officer Group. | Members with Head of Governance and Compliance responsible for the logistics | Closed – to be progressed in 2021 action plan: Informal discussions have been instituted (mostly remotely) in 2020. Planning for the induction of the new Chief Constable has been joined up across BTP and BTPA. The arrival of the new Chief will provide the platform for further progress both in meeting structures and in tone. |