



British Transport Police Authority

Members' Handbook

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Foreword

As Chair of the British Transport Police Authority (BTPA), I should like to welcome you as a new Member of the Authority. I look forward to working with you and the existing membership over the coming months as we work with the British Transport Police (BTP) to help the Force enhance its reputation further within policing for its innovative and bold approach, whilst simultaneously challenging BTP to deliver its service economically and efficiently. We will do all of this whilst also having an eye to the future of the wider rail agenda and BTP/A's future place within and operating alongside GBR.

The relationship between the BTPA and BTP is the key successfully to deliver our mandate of ensuring efficient and effective policing for the railways. It is, therefore, imperative that BTPA and BTP work collaboratively in our different roles with trust, openness and transparency at the core of our relationship. At the same time Members must be prepared to ask the challenging questions and fulfil the role of critical friend, ensuring balanced and healthy debate to achieve the best possible outcomes.

This handbook is designed to act as a guide and reference tool during your time as a Member. It provides information on statutory functions and key responsibilities, key partners with whom you will be working and the national policing landscape. The handbook is supplementary to your appointment letter and the [Code of Governance](#) and should be read in conjunction with these documents. We intend that this Handbook should be updated regularly to ensure its currency and relevance.

Ron Barclay-Smith

Chair

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About Us

1. The role of British Transport Police Authority (BTPA)

BTPA is the independent oversight body of the British Transport Police (BTP). It was established as an executive Non-Departmental Public Body sponsored by the Department for Transport (DfT) by the [Railways and Transport Safety Act 2003](#) (“the Act”) and became operational on 1 July 2004.

BTPA’s primary purpose is to secure the maintenance of an efficient and effective police force for the railways in England, Scotland and Wales within a framework of prudent and effective controls, which enable risk to be assessed and managed as appropriate. This involves working with the Chief Constable and the senior team to make senior appointments, set strategies, plans and budgets and to defray the costs of the Force.

The Act identifies a number of statutory duties to assist the Authority in achieving its primary purpose, which are described under the ‘*Statutory functions and key responsibilities*’ section of this handbook. In fulfilling these statutory duties, the Authority is collectively focusing on seven key areas¹:

- **Strategic Clarity** – setting the vision and mission with a focus on long-term capability and horizon scanning. Ensuring all strategic decisions and activities are directly or indirectly contributing towards the strategy.
- **Effectiveness** – bringing the wide range of relevant experience within BTPA to bear, including through offering rigorous challenge and scrutinising performance.
- **Accountability** – promoting transparency by ensuring clear, consistent, comparable and reliable performance information is provided to BTPA and used to inform decision-making and drive improvements.
- **Commercial Sense** – approving the distribution of responsibilities, setting the schemes of managerial and financial 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 teams have the capacity and capability to deliver and plan to meet current and future needs.
- **Equality, Diversity and Inclusion** – furthering the equality, diversity and inclusion agenda to ensure fairness in policy and procedures and that those of diverse backgrounds, thinking, skills and experience are welcomed and feel valued.
- **Professional Standards** – living up to the Code of Conduct², ensuring that matters are dealt with according to statute and policy and challenging non-compliance.

¹ The seven key areas have been adapted for the BTPA from the ‘[Corporate Governance in Central Government Departments: Code of Good Practice](#)’ April 2017

² The ‘[Cabinet Office Code of Conduct for Board Members of Public Bodies](#)’ can be found at Annex 2 of the Authority’s Code of Governance.

BTPA follows guidance issued for arm's length bodies by central government and has regular interaction with its sponsorship team at the DfT. The relationship with the DfT is formalised through a Framework Document, which can be found annexed to the [Code of Governance](#). The BTPA Chief Executive is the Accounting Officer for the BTP Fund and has designated the Chief Constable as an Additional Accounting Officer.

2. The role of a Member

BTPA is made up of between 11 and 17 Members with varying knowledge and experience. Whilst the role of a BTPA Member has many parallels with a non-executive directorship (NED) there are some important and noteworthy differences.

The BTPA Board has a particular constitution. None of the BTPA Executive Team, nor BTP leadership, sit on the Board or have voting rights. The Board and voting rights are limited to Members only. The Executive Team can take decisions only where specifically delegated by the Board. As such, rather than the traditional descriptors of BTPA 'Members' as opposed to the BTPA 'Executive Team,' it would be more accurate to describe Members as 'Part Time Executives' as opposed to the Executive Team of 'Full Time Executives.' It is not accurate to describe BTPA Members as non-Executives.

Responsibilities

Members have corporate and collective responsibility to ensure that the BTPA properly discharges its functions. A breakdown of responsibilities is provided below. This list is not intended to be exhaustive but to provide an illustration only.

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.
- Maintain a high standard of discussion and debate, providing effective, strategic and ethical leadership.
- 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 and in accordance with central government policy and guidance.
- Ensure that challenge is answered with verification.
- Ensure high standards of propriety and probity are maintained and promote efficient and effective use of staff and other resources.
- Undertake an annual appraisal with each Authority Member and provide objectives.

The Deputy Chair has a responsibility to:

- Deputise for the Chair as necessary.
- Assist the Chair in fulfilling his role.

Individually all Members are expected to:

- Attend governance meetings and committees having read all papers and challenge constructively.
- Visit different areas within BTP to improve understanding and reality test.

- Participate in audit and inspection activity with a focus on legitimacy and good governance.
- Provide input into strategies, plans and projects according to their individual areas of expertise
- Keep up to date with serials and other updates on Board Intelligence (BTPA's Board Portal) and any other reading and industry news generally.
- Participate in community engagement including but not limited to consultations, stakeholder events, APCC events, conferences/seminars and other relevant events.
- Work to promote equality, diversity and inclusion within BTP/A.
- Participate in training and development sessions.
- Provide feedback on their activities to the Member Engagement Manager and other Executive Team colleagues using the feedback arrangements in place.

Members will receive an annual allocation letter which confirms committee memberships and special interest areas. The letter will also identify any training needs coming out of the annual appraisal and provide a projected breakdown of the 30 days (50 and 60 days for the Deputy Chair and Chair respectively) across the activities which qualify for remuneration as set out later in this section.

Board Evaluation and individual appraisal

The Chair will undertake an annual appraisal with each Member. The focus of the appraisal will be collective board effectiveness, individual contribution over the year (including attendance), training needs analysis and future focus. The Chair will set objectives for each Member following these discussions. Appraisal outputs will form the basis of any reappointment submission to the DfT.

A Board Effectiveness Evaluation (BEE) is completed on an annual basis to consider collective performance, with each BEE building on the previous year to ensure continuous improvement. Member input to this process is invaluable. The final report is submitted to the Principal Accounting Officer at the DfT and the implementation plan tracked. The methodology for the BEE will vary year-to-year but will usually include a combination of self-assessment questionnaires, review of board reports and committee effectiveness, interviews, peer reviews and focus groups.

Member allowances

Members receive allowances as stated in their appointment letters. The BTPA is required to publish arrangements for making payments to Members by way of or in respect of:

- Remuneration.
- Allowances.
- Expenses.
- Compensation.
- Gratuity.

Members are entitled to a basic allowance of circa £15-17k based on 30 days a year. The Chair and Deputy Chair are paid allowances in line with this but uplifted to reflect their 60 and 50 day commitments, respectively. Allowances are paid in equal four-weekly amounts in arrears.

Duties which qualify for remuneration are set out below:

- Meetings of the Authority, its Committees, subgroups 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 and other prearranged Force visits.
- Representing the Authority on other external bodies.
- Reading/preparation time for Authority business.

For clarity, travelling time does not qualify towards time commitment unless combined with one of the duties set out above, such as reading or preparation time.

These duties will be captured by the BTPA Executive through regular liaison and feedback and shared on the BTPA board portal for transparency.

Members will be reimbursed for reasonable and necessary expenses for travel by rail, air, taxi and own car mileages. Rail travel is encouraged as part of BTPA's sustainability agenda. The same applies for hotel and subsistence costs as set out in the [BTPA Expenses Policy](#).

Members are entitled to claim any reasonable receipted expenses in relation to costs of providing care for dependent relatives or partners when attending BTPA business. For this allowance to be payable the dependent being cared for must be a child under 16 years of age or a person with a mental, physical or learning disability who must not be left unsupervised.

Members may choose not to accept part or all of the allowances to which they are entitled under this Scheme and should advise the Executive if this is the case.

Training

The Executive will work with Members to identify relevant training opportunities throughout the year. Members are encouraged to attend training sessions. A list of the competencies for Members is attached as Annex D.

A small number of committees/working groups require specific training which will be provided as required for new committee appointments.

Registers

Members are required to declare their interests on appointment and will be prompted to review this annually, but the onus is on Members to advise the Executive and DFT of any change in their interests throughout the year. All committee meetings provide an opportunity on the agenda to declare any conflicts of interest when they arise, these may include other employment and significant interests in other organisations. The register of interests is published on the [website](#).

Members must comply with the Gifts & Hospitality Policy. As a public sector organisation, the highest levels of transparency are required in these areas. Members will be prompted monthly to advise of any gifts and hospitality they have received in relation to their role.

3. BTPA Executive

Members are supported by a lean experienced Executive Team organised into three areas:

- Finance, Audit, Risk and Commercial
- Strategy and Planning
- Governance and People

Each area of work is headed by a member of the Senior Leadership Team (SLT) An organogram and contact details for the team can be found at Annex A.

Statutory functions and key responsibilities

4. Statutory responsibilities

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 Police³.
- Ensure the efficient and effective policing of the railways⁴.
- Appoint the Chief Constable, Deputy Chief Constable, Assistant Chief Constables and their staff equivalents, Chief Executive and Treasurer⁵.
- Enter into Police Service Agreements with railway operators⁶.
- Employ police constables, civilian employees and cadets⁷.
- Regulate the government, administration and conditions of service of those employed by the Authority in the service of the police force⁸.
- Set a strategy for policing the railway⁹.
- Set objectives for the policing of the railway¹⁰.
- Issue an annual Railways Policing Plan¹¹.
- Set the budget of expected income and expenditure for policing the railways each year¹², defray the expenses and recover the cost.

To achieve the above Members, with the support of the Executive Team, will need to¹³:

- Establish the overall strategic direction of BTPA 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 BTPA 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, BTPA takes into account guidance issued by the sponsor Department;

³ 2003 Act Section 20

⁴ 2003 Act Section 19 (a)

⁵ 2003 Act Section 21-23 and schedule 4, part 2 section 11

⁶ 2003 Act Section 33 (1)

⁷ 2003 Act Sections 24, 26 & 27

⁸ 2003 Act Section 36

⁹ 2003 Act Section 55

¹⁰ 2003 Act Section 50

¹¹ 2003 Act Section 52

¹² 2003 Act Schedule 4, Part 3, s19

¹³ Adapted from section 7.3 of the [Framework Document](#)

- Ensure that it receives and reviews regular financial information concerning the management of the British Transport Police Fund¹⁴; is informed in a timely manner about any concerns about the activities of BTP; 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;
- Appoint, with the Secretary of State's approval, a Chief Constable, Deputy Chief Constable and Assistant Chief Constables of BTP (and police staff equivalents) 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.

In addition to the above specific duties, BTPA is also required to comply with a number of general statutory duties such as the requirements of the Equality Act 2010, the Data Protection Act and General Data Protection Regulations, Freedom of Information Act and Health and Safety legislation.

5. Ways of working with BTP

BTPA and BTP work from different mandates but share the common goal of *delivering efficient and effective policing for the rail system in England, Wales and Scotland*. The importance of the relationship between BTPA and BTP in successfully delivering these mandates cannot be overstated.

A strong relationship based on the principles of trust, openness and transparency must be forged. Given the nature of the relationship it is inevitable that there will be times of tension and Members must not shy away from asking challenging questions. It is the strength of the relationship and constructive communication that will determine how this tension is managed to ensure that it remains healthy.

BTPA has the responsibility for setting strategy, plans and the annual budget/Medium Term Financial Plan (MTFP) but the development of these is led by BTP in partnership with the BTPA. BTPA is also responsible for the negotiation, management and setting of Police Service Agreements (PSAs) and Enhanced Police Service Agreements (EPSAs) with all operators, Network Rail and Transport for London. This requires a partnership approach, as whilst BTPA will manage the contractual elements BTP is the delivery body and, moreover, provides the professional input to all operational aspects of contract negotiation and delivery.

The Chief Constable and her Chief Officer Group (COG) have direct access to Members but we encourage matters to be worked through with Executive Team colleagues in the first instance or in tandem, as appropriate, to avoid confusion and mixed messaging.

The formal split of roles, powers, responsibilities and accountabilities between the full Authority, Chief Executive and Chief Constable is contained in the BTPA's [Corporate Governance Code](#).

¹⁴ The British Transport Police Fund is described in the [Railways and Transport Safety Act 2003 Schedule 4 Part 3](#). It is the statutory entity representing in financial terms both the British Transport Police Authority and the British Transport Police Force.

A key principle of which Members must have awareness when discharging their duties is that of ‘operational independence’. BTPA and the Chief Constable must work together to safeguard the principle of operational independence, while ensuring that neither party is fettered in fulfilling their statutory role. The context of operational independence is not defined in statute, and as His Majesty’s Inspectorate of Constabulary, Fire and Rescue Services (HMICFRS) has stated, by its nature, is fluid and context driven. However, the White Paper¹⁵ preceding the Police Reform and Social Responsibility Act 2011, which introduced Police and Crime Commissioners, described it as *“The long held principle of operational independence where those operating in the office of the constable are able to make independent decisions on how to use their legitimate coercive powers on behalf of the state...”*

The operational matters section of the [Policing Protocol 2011](#), which was drafted to define the relationship between a Police and Crime Commissioner and Chief Constable, is also a helpful read in this respect. It begins to attempt to distinguish the parameters of operational independence. It also makes clear that oversight of matters falling within operational independence is not out of scope. It clarifies that the Chief Constable is expected to ensure the oversight body is regularly informed of their decisions and operational activity in a timely manner so the Chief Constable can be held to account for the totality of policing within their force area, including the operational delivery of the police service. BTPA has adopted much of the Policing Protocol in the ‘*Establishment and Powers*’ section of the Code of Governance, including in respect of operational matters.

Ultimately, the relationship between BTPA and the Chief Constable is defined by the BTPA’s legal mandate to hold the Chief Constable to account by the law itself; primary legislation and common law already provide clarity on the legal principles that underpin operational independence and the office of constable, but also to hold to account for the operational and organisational performance of the Force and as an employee.

6. Holding to account

Holding the Chief Constable to account for the efficient and effective policing of the railways in England, Scotland and Wales on behalf of the public is the primary purpose of BTPA. BTPA holds the Chief Constable to account for the performance of the Force and specific functions and duties which include but are not limited to:

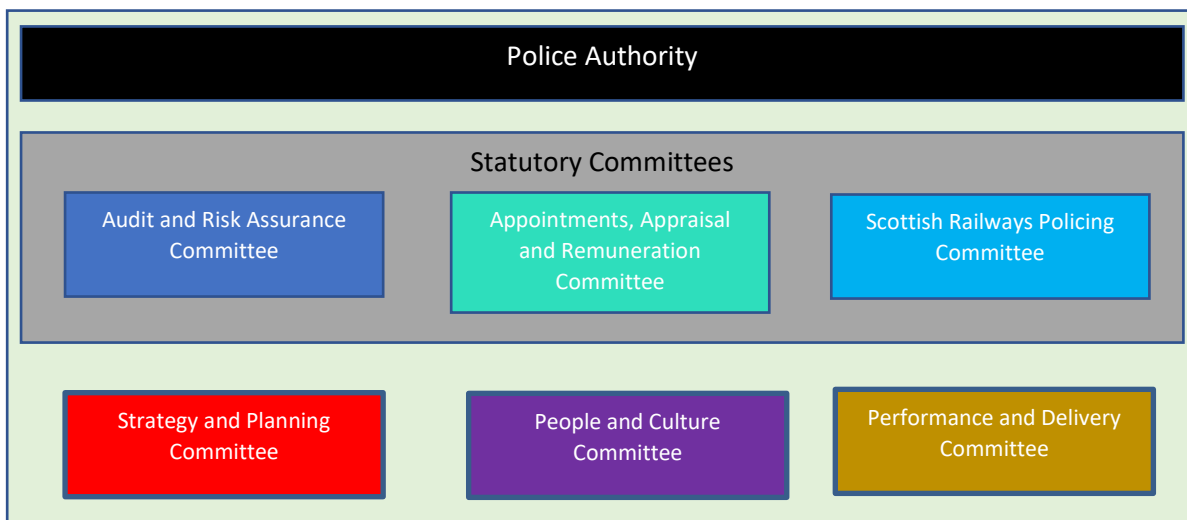
- The exercise of the Chief Constable’s duty to have regard to the Strategy and Policing Plans set by BTPA.
- The exercise of the Chief Constable’s duty to have regard to relevant codes of practice issued by Government in respect of policing.
- The exercise of the Chief Constable’s functions in relation to the handling of complaints.
- The exercise of the Chief Constable’s duties in respect of policing with legitimacy.
- The effectiveness and efficiency of the Chief Constable’s arrangements for collaboration.
- The effectiveness and efficiency of the Chief Constable’s arrangements to consult with the public including but not limited to industry partners, passengers and passenger groups, employees of those providing rail services and organisations representing them.
- The effectiveness and efficiency of the Chief Constable’s compliance with value for money requirements set by BTPA.

¹⁵ [Policing in the 21st Century: Reconnecting Police and the People](#)

- The exercise of the Chief Constable’s duties relating to equality, diversity and inclusion.
- The exercise of the Chief Constable’s duties in relation to the safeguarding of children and the promotion of child welfare.
- The exercise of the Chief Constable’s duties relating to information management and data protection.
- The exercise of the Chief Constable’s responsibilities relating to health, safety and wellbeing.
- The effectiveness and efficiency of the Chief Constable’s arrangements for operational policing.
- The efficient delivery of operations and projects within the budget set by the Authority.

The expectations of BTPA are set out in the Strategy and Policing Plans. The key is to get the right balance between challenging constructively and supporting when holding to account.

The main mechanism for holding to account is the BTPA governance structure which includes a number of committees and working groups. The governance structure is detailed in the Code of Governance, but the basic committee structure is as follows:



BTPA meets as a full board six times a year, four are public meetings and two are private sessions focused on board development. In addition to full Authority meetings, Members will be allocated to one or more committee(s) and/or working group(s) which form part of their wider portfolio. The membership of each committee or working group is set out in Annex C of this handbook. Members will also be issued with a letter annually confirming their full portfolio responsibilities.

The full Authority and its committees must maintain a strategic focus and not be diverted by detail. The key to this is to take a risk-based approach to assurance ensuring scrutiny is focused on those areas most requiring attention. When attending meetings, Members are expected to challenge constructively in their role as critical friend and ensure that challenges are followed up with verification backed by evidence. Confidence statements and/or promises should not be accepted in lieu of assurance.

Outside of the formal governance structure, Members may become involved in specific areas of interest or be called upon in an advisory capacity by BTP/A. There will also be a programme of

informal briefings and visits to different areas within the Force, stakeholder events and consultations.

BTPA also works with several partners who provide additional support in respect of holding to account. The first of these is the use of the services of the Government Internal Audit Agency (GIAA) for internal audit purposes. The relationship between GIAA and BTPA is explained in more detail in the audit section. BTPA also works with a number of external partners who provide independent input to assist in holding the Chief Constable to account, these include:

- **National Audit Office (NAO)** – The NAO audits our Financial Statements annually and certifies to Parliament that they are “true and fair” and assesses the regularity of spending.
- **His Majesty’s Inspectorate of Constabulary, Fire and Rescue Services (HMICFRS)** - inspects police forces and fire and rescue services in England and Wales. This responsibility falls to HMICS in Scotland. HMICFRS usually conduct an annual programme of inspection as agreed between HMICFRS, DfT and BTP/A.
- **His Majesty’s Inspector of Prisons (HMIP)** who, in partnership with HMICFRS, inspect police custody facilities. BTP is subject to an unannounced inspection every five years.
- **Independent Custody Visitors (ICVs)** - ICVs make frequent unannounced checks on detained persons in police stations, ensuring policing activity is more publicly accessible, easily scrutinised and subject to greater questioning and comment. BTPA collaborates with the Mayor’s Office for Policing and Crime (MOPAC), to use their local ICV panels to service the BTP custody facilities.
- **Office of the Surveillance Commissioner** - oversees the conduct of covert surveillance and covert human intelligence sources by public authorities in accordance with the Police Act 1997 and the Regulation of Investigatory Powers Act 2000 (RIPA).

7. Funding

BTPA set the budget for BTP annually. The budget is normally agreed alongside a five-year Medium-Term Financial Plan. Via an indirect process, the Department for Transport imposes controls on the net revenue and capital spend (separate controls) of BTPA. However, the Department has little role in raising income for BTPA.

BTPA must decide how to defray the annual costs of policing across the rail industry. In broad terms, Network Rail and Transport for London have historically contributed around 50% of BTPA income between them. The remainder of the income is raised from as many of the 30 train operating companies.

8. Strategy and plans for BTP

The BTPA strategy covers the period 2022-27 and has taken account of the risk and opportunities over this time. The years covered by the strategy will see long-term changes to passenger journeys and ways of working influenced by the pandemic, the first steps in the Government’s ambitious programme of rail reform, an increase in freight traffic, and the delivery of new services. All of these factors will influence the demand for our policing services, how those services are accessed, how we deliver them and the partnerships through which we achieve success.

9. Scotland

BTPA is a cross border public authority under s46 of the Scotland Act 2016. To ensure sufficient assurance to the BTPA and Scottish Ministers on the delivery of railway policing in Scotland, the ‘Scottish Railways Policing Committee’ (SRPC) was established in 2019. The SRPC was established as a sub-committee of the BTPA and the SRPC chair is appointed by and answers to the Chair of the BTPA.

As policing is devolved in Scotland, there a number of areas that BTPA has to have cognisance of and take decisions in respect of, such as terms and conditions of officers. The general position has been for consistency of terms and conditions agnostic of location, with the exception of London Allowance.

It is also notable that Scotland has a separate legal system to England and Wales, and that ScotRail publicly owned by the Scottish Government, acting as Operator of Last Resort.

10. Wales

Accountability in Wales is different. The Welsh Government has ‘nationalised’ the railway in Wales. An agency of the Welsh Government, Transport for Wales, commissions the majority of rail services in Wales. The same agency is responsible for a minority of the rail infrastructure in Wales. While Network Rail and some train operating companies operate in Wales in a way analogous to England, most of BTPA activity in Wales is funded from Transport for Wales and BTPA must respect that reality.

11. Legitimacy and professionalism

A police force is defined as being legitimate by His Majesty’s Inspectorate of Constabulary, Fire and Rescue Services (HMICFRS) if it has the consent of the public and those working in the force consistently behave in a way that is fair, ethical, reasonable, effective and within the law when discharging their duties¹⁶. This generates trust and cooperation from the public. Legitimacy is a key tenet of BTPA oversight and is monitored across all of BTPA’s committees as below:

- **Performance and Delivery Committee:** The elements of legitimacy related to BTP’s use of its operational policing powers and the Force’s interactions with the public and rail staff, for example stop and search, use of force, custody, passenger and rail staff confidence, and victim confidence.
- **Appointments, Appraisal and Remuneration Committee:** Ethical decision making in relation to senior appointments and pay packages, in line with statutory duties.
- **People and Culture Committee:** Employee elements, for example employee representation and progression, and progress against employee equality, diversity and inclusion strategies/plans. Professionalism in respect of complaints and conduct.
- **Audit and Risk Assurance Committee:** Professionalism with respect to areas such as fraud, bribery and corruption, and HMICFRS inspections on legitimacy related topics.
- **Strategy and Planning Committee:** The equality impact assessment of new strategies and business plans that come to the Authority for sign-off/approval and stakeholder relationships.

¹⁶ [PEEL: Police Legitimacy 2017: A national overview](#)

- **Full Authority:** Oversees all legitimacy subject areas that are reported via the BTPA Committees. In addition, oversight of the equality impact assessment of new strategies and business plans that come to the Full Authority for sign-off/approval.

The professionalism strand of legitimacy in respect of complaints and conduct is an area in which BTPA has a more in-depth role. The processes for dealing with police complaints and misconduct are made by way of regulations. These are drafted by the Home Office for the 43 forces. BTPA Executive works closely with the Home Office and Independent Office for Police Conduct (IOPC) in this space, drafting BTP versions of the regulations which take account of the unique structure and circumstances of BTP. The level of autonomy afforded through this arrangement provides BTPA with an opportunity to tailor the regulations to ensure efficiency and effectiveness for BTP.

BTPA's specific role in complaints and discipline is as below:

- **Complaints** – BTPA is the 'Appropriate Authority' for complaints against the conduct of senior officers (i.e. Assistant Chief Constable and above). This means that when complaints are made against officers of these ranks or conduct matters come to light BTPA is responsible for assessing these and managing the process for addressing these matters. Where the allegations are serious enough to require an investigation, this is usually where if proven they could result in the bringing of misconduct and/or criminal proceedings or there is a potential public confidence issue, BTPA will refer the matter to the IOPC who will conduct the investigation. Complaints against all other officer ranks and staff are dealt with by BTP.
- **Misconduct hearings** - BTPA has responsibility for appointing Panels for Misconduct Hearings for all ranks and maintains a list of legally qualified chairs and independent members to sit on these, made in collaboration with the Mayor's Office for Policing and Crime, City of London Police Authority and the Ministry of Defence Police. Misconduct hearings take place when it is considered that there is a potential case for gross misconduct, meaning the misconduct is so serious that dismissal could be justified.
- **Police Appeal Tribunals** - Where an officer wishes to appeal against a finding or sanction imposed by a misconduct hearing he or she may do so via a Police Appeal Tribunal (PAT). This is the police equivalent to an employment tribunal as police officers are not covered by standard employment law. The administrative process for PATs is managed through BTPA but the decision makers are independent of the Authority.
- **Complaint Reviews** - In 2020, BTPA took on the new role of reviewing BTP complaint outcomes to determine if they are reasonable and proportionate. BTPA is the review body for those complaints that are assessed as not likely to result in the bringing of misconduct and/or criminal proceedings and as such they tend to be the lower-level matters. The IOPC is the review body for more serious matters. The BTPA has established a Complaints Review Panel consisting of two Members and a member of the SLT to discharge this function.

12. Risk Management

Risk management is crucial to the success of any organisation, as it allows for an understanding of uncertainties that can prevent the organisation meeting its objectives, or opportunities, both of which should guide decision-making. In the public sector, risk management is driven by the principles of the [Orange Book](#). Members will be prompted to refer to the joint BTP/A Strategic Risks at each committee and to consider whether additional risks need to be recorded and managed, such that their residual or 'current' risk scores are within the organisation's Risk Appetite.

The strategic risks will be reviewed at an Authority meeting each year for approval. Horizon scanning will be undertaken to capture future potential risks. Risks may be escalated or de-escalated to or from the strategic risk register from the BTPA risk register or BTP Force risk register as required.

The Audit & Risk Assurance Committee (ARAC) oversees the Strategic Risk Register each quarter but individual risks are delegated amongst other committees to own. For each strategic risk, committees will receive the results of a Strategic Risk deep Dive to review annually; for the remainder of the year they will receive updates on those owned risks.

Members will receive Risk Management training on how BTP/A undertake risk management, the risk appetite framework and how risks are scored, using a 5 x 5 scoring matrix, according to their likelihood and probability.

BTP/A have defined several strategic numbers of strategic risks to the delivery of our strategy and objectives that are reviewed by the Full Authority and Committees.

13. Audit and Assurance

Assurance is obtained over areas using a risk-based approach, meaning the higher risk areas are prioritised for audit work. BTPA categorise audits under the 'Three Lines of Defence' model, being:

- **1st line:** Functions own and manage risks as part of day-to-day, business-as-usual activities.
- **2nd line:** Functions provide oversight or test compliance of risks. 2nd line assurance work performed by BTP's 'Audit & Assurance' function is incorporated in this, as well as other independent sources of assurance managed by BTP colleagues. For BTPA, 2nd line oversight overlays into the Executive Oversight Map (including committee oversight and Executive oversight such as the Management Assurance Return).
- **3rd line:** Functions that provide independent assurance, such as external audit, internal audit, HMICFRS and other external reviews.

The Executive maintains an 'Assurance Map' which shows, for each strategic risk, what assurance is in place across the three lines of defence. This Assurance Map is shared with the ARAC but is available to all Members.

The Executive manages the Internal Audit contract with the Government Internal Audit Agency (GIAA). The Internal Audit annual programme is agreed at every March ARAC, following discussions with key BTP/A management, a review of the organisation's risks and consideration of external risk

factors. Generally, key business areas are audited every three years, for example finance key controls, procurement and payroll. However, as risk profiles change, GIAA may seek ARAC approval to amend the plan to ensure the areas covered provide BTP/A with the most value. GIAA produce an Annual Opinion each year to advise management on the systems of governance, risk and internal control. This is used to inform the Governance Statement in the Annual Report and Accounts.

ARAC may elect to engage GIAA on additional audits or advisory pieces of work.

BTPA also manage the contract with external auditors, the National Audit Office (NAO). The NAO perform a financial statements audit over the annual report and accounts and will also report on 'regularity' i.e. whether public money is being spent in line with '[Managing Public Money](#)' guidance and spend delegations. ARAC have access to the external auditors to raise any concerns and will endorse the annual report and accounts for Authority approval.

Other third line of defence assurance is led by His Majesty's Inspectorate of Constabulary, Fire & Rescue Services (HMICFRS). ARAC receives these reports and oversees the implementation of recommended actions.

The Executive promotes auditors as being a value-adding 'critical friend' to not only provide assurance that controls are designed and operating as needed but also to identify improvements and efficiencies.

An annual Management Assurance Return 'MAR', submitted into the DfT, provides a snapshot of assurance across the whole organisation. Functions must self-assess their assurance over internal controls, risk and governance in their areas alongside specific questions about controls. This must be supported by evidence jointly audited by BTP Audit & Assurance and BTPA (2nd line of defence). While it is an annual formal exercise, the MAR scores are assessed and updated quarterly with any changes in assurance rating presented to ARAC each quarter.

14. Equality, Diversity and Inclusion

BTPA is subject to the public sector equality duty contained within the Equality Act 2010. This means that in the exercise of the Authority's functions we must have due regard to:

- the need to eliminate unlawful discrimination;
- Advancing equality of opportunity; and
- Fostering good relations between people who share a protected characteristic and those who do not

BTP/A is also subject to the specific duty which requires us to publish equality information annually to demonstrate compliance and to publish one or more specific and measurable equality objectives every four years.

BTPA must also hold the Chief Constable to account for the exercise of her duties relating to equality, diversity and inclusion (EDI).

This is a key area for BTPA oversight. In addition to its statutory responsibilities quoted, BTPA has a keen interest in fostering an inclusive culture within BTP and in ensuring optimum community

relationships. Both are integral to assuring the 'legitimacy' of BTP and that it remains able to police by consent.

15. Health and Safety

BTPA is the legal entity and employer of officers and staff within BTP. As such, **BTPA is legally responsible for wellbeing, health and safety within the organisation covering its employees, visitors and interactions with the public. This is an unusual position that does not exist in Home Office forces where these responsibilities legally sit with Chief Constables.**

To ensure that appropriate arrangements are in place, the BTPA and Chief Constable must agree a pragmatic approach. The current approach delegates the day-to-day wellbeing, health and safety function to the Chief Constable¹⁷ to manage. This provides a practical solution. However, BTPA, as the legal entity and employer, retains the overall accountability for wellbeing, health and safety. Therefore, adequate oversight and assurance arrangements must be in place to hold the Chief Constable to account, ensuring that an effective health and safety policy, supporting arrangements and governance procedures, is in place, regularly reviewed and applied with a legally compliant, consistent and common-sense approach.

16. Information management

BTPA is subject to the Data Protection legislation (UK GDPR 2021 and the Data Protection Act 2018) and the Freedom of Information Act.

Members should be aware that all emails, WhatsApp messages, and text messages regarding BTPA business (including those on personal devices) are disclosable under the Data Protection and FOI Acts.

Any official communication, including committee papers, will be uploaded by the Executive on the Board Intelligence (BI) platform which is a secure online platform and is used for sensitive papers and the security is such that personal data can be uploaded. Members and the Executive can share comments and questions on meeting papers through the platform. BI also have a 24/7 helpline. BI can easily be downloaded onto Member's personal devices.

17. Remuneration and pensions

BTPA is the employer of all staff and officers at BTP. Police officers are currently paid on the same basis as their Home Office colleagues. This has been the case since a review of non-Home Office police officer pay by the Wright Committee in 1978. The Police Remuneration and Review Body (PRRB) considers police pay including allowances and the wider pay strategy annually following a remit from the Home Secretary. The PRRB produces a report each Spring for the Home Secretary following which the Home Secretary determines any changes to police officer remuneration that year. The BTPA then considers the Home Secretary's determination and the Appointments, Appraisal and Remuneration Committee makes a recommendation to the full Authority in respect of BTP officers.

¹⁷ Code of Governance paragraph 223

The position in respect of staff pay is less well defined and it is worth noting that when talking about 'staff pay' this not only covers those working in the corporate functions but those with operational functions such as Police Community Support Officers (PCSOs), control room staff and crime scene investigators, to name a few. Police staff pay across police forces is varied with no single body setting pay unilaterally. BTP developed its current staff pay and grading system working with leading consultants in 2010. A wholesale review of police staff reward in BTP is underway to modernise the offering with a focus on improving recruitment and retention whilst also ensuring compliance with Cabinet Office requirements. BTPA approval of any new scheme is a requirement. BTPA staff are currently paid in accordance with the BTP staff reward strategy.

As outlined earlier in the handbook, BTPA is directly responsible for appointing the senior officers and staff (i.e. Assistant Chief Constable and above and director level equivalents) within BTP. BTPA sets the remuneration packages for these posts has been phasing out allowances preferring to consolidate them into a single salary. The setting of these salaries is within BTPA's gift where the total package is below £150k; above this figure, Cabinet Office approval is required.

BTPA is responsible for pension provision for police officers and police staff. Broadly, this means BTPA supports three separate private pension funds. Two pension schemes are defined benefit, however the third pension scheme is a Group Personal Pension Plan. Two are subject to triennial valuations to ensure the funds' assets match their liabilities. This process is overseen by the Pension Regulator, as with all private pension funds. Whereas, therefore, BTP pensions are of a fundamentally different nature to the public sector pensions of Home Office police officers and staff, BTPA's historic position has still been to seek to ensure parity between the pension benefits of BTP officers and staff and their Home Office equivalents.

18. Environment and sustainability

The CoP's report '*Policing in England and Wales: Future Operating Environment 2040*' identifies climate change and environmental decline as one of the top ten most significant challenges facing policing in the next 20 years.

There is also strong public interest in ensuring that policing is environmentally aware and sustainable. BTPA has a role in encouraging and supporting BTP to reduce its carbon footprint. There are key opportunities in procurement to affect change in renewable energy, estates management and agile working such as more online meetings and remote working but the key area for BTP/A, as an arm's length body of the DfT, is to pioneer sustainability in transport so a key focus will be moving to an electric fleet.

Sustainability will also become an increasingly fundamental aspect of strategic planning both from an organisational and operational perspective.

Engagement and transparency

19. Engagement with industry partners, rail staff and the travelling public

BTPA has a wide range of statutory consultees as set out in section 62 of The Act including rail operators, passengers, staff and their representatives. We engage with these consultees in various ways and at various times; for example, there is regular, formal engagement on activities such as the development of the annual Policing Plan and production of the Strategic Plan.

BTPA also hosts events on an annual basis where senior representatives from within the industry are invited to be briefed on or discuss emerging plans or receive updates on progress with existing plans. Both Members and the Executive team support those events leading elements of the debate to ensure that a range of views are heard.

The Chair and the Executive team also have regular contact with key partners from within the rail industry and policing in other settings for example through 1:1 discussion, relationship management meetings or attendance and partner hosted events. The BTPA has an ambition to work closely with BTP to ensure as many opportunities as possible are created for engagement with rail passengers and staff in the future.

20. Providing information to industry partners, rail staff and the travelling public

BTPA provides a range of information to its partners. These include:

- Publication of papers for meetings held in public (the full Authority and Scottish Railways Policing Committee) and which includes the following:
 - Strategic, operational and financial planning and delivery.
 - Performance oversight.
 - Legitimacy.
 - Management of risk.
 - Decisions on investments.
- Information provided to industry and other partners via attendance at their own meetings, for example performance and other update reports to the Rail Delivery Group, Transport for London and Network Rail.
- Information relating to the calculation of policing charges is supplied to funders on an annual basis.

BTPA's website and social media also provides a range of information including:

- The Annual Report and Accounts.
- Policies and plans.
- Register of Members' interests.
- Details of consultations.
- How to ask for other information from the Authority.

Policing Governance

21. Police and Crime Commissioners

Police and Crime Commissioners (PCCs) replaced police authorities for the 43 Home Office forces in 2012. The intention was to make police more accountable through oversight by a directly elected individual. The core function of a PCC is the same as that of BTPA, which is to secure the maintenance of efficient and effective police force in their area and to hold the chief constable to account for delivery of the strategies and plans¹⁸. In addition to the constitution the other key difference between BTPA and PCCs is that PCCs have commissioning responsibilities in respect of victim services, reducing reoffending and other crime prevention and community safety services. They are also responsible for setting the precept for local taxation.

BTPA has relationships with its PCC peers through the Association of Police and Crime Commissioners of which we are an associate member and the Association of Police and Crime Commissioner Chief Executives (APACE).

BTPA also has good relationships with the other non-Home Office national oversight bodies including the Civil Nuclear Police Authority and MoD Police Committee.

22. College of Policing

The College of Policing's (CoP) purpose is to provide everyone working in policing with the skills and knowledge necessary to prevent crime, protect the public and secure trust. It does this through three key aims, which are to:

- **Support professional development** through the setting of requirements, accreditation, quality assuring and delivering learning and providing the framework for selecting the next leaders in policing.
- **Set standards** to ensure consistency across policing through the provision of authorised professional practice (APP), standards, guidance and the Code of Ethics.
- **Share knowledge and good practice** through increasing opportunities for collaboration, working with academia to assist policing research and providing knowledge networks to share knowledge, good practice and innovation.

It is an operationally independent arm's length body of the Home Office.

Annexes

Annex A: Executive Team Organogram and contact details.

Annex B: Member contact details.

Annex C: Committee/working group allocations (TBA).

Annex D: Member Competencies.

¹⁸ In the case of PCCs a Police and Crime Plan

Recommended reading

[BTPA Strategy](#)

[BTPA Policing Plans](#)

[BTP Fund Statement of Accounts](#)

[Code of Governance](#)

[Expenses Policy](#)

[Anti-Fraud, Bribery and Corruption Strategy](#)

Useful links

[Glossary of Terms and Acronyms](#)

www.btpa.police.uk

www.btp.police.uk

www.legislation.gov.uk

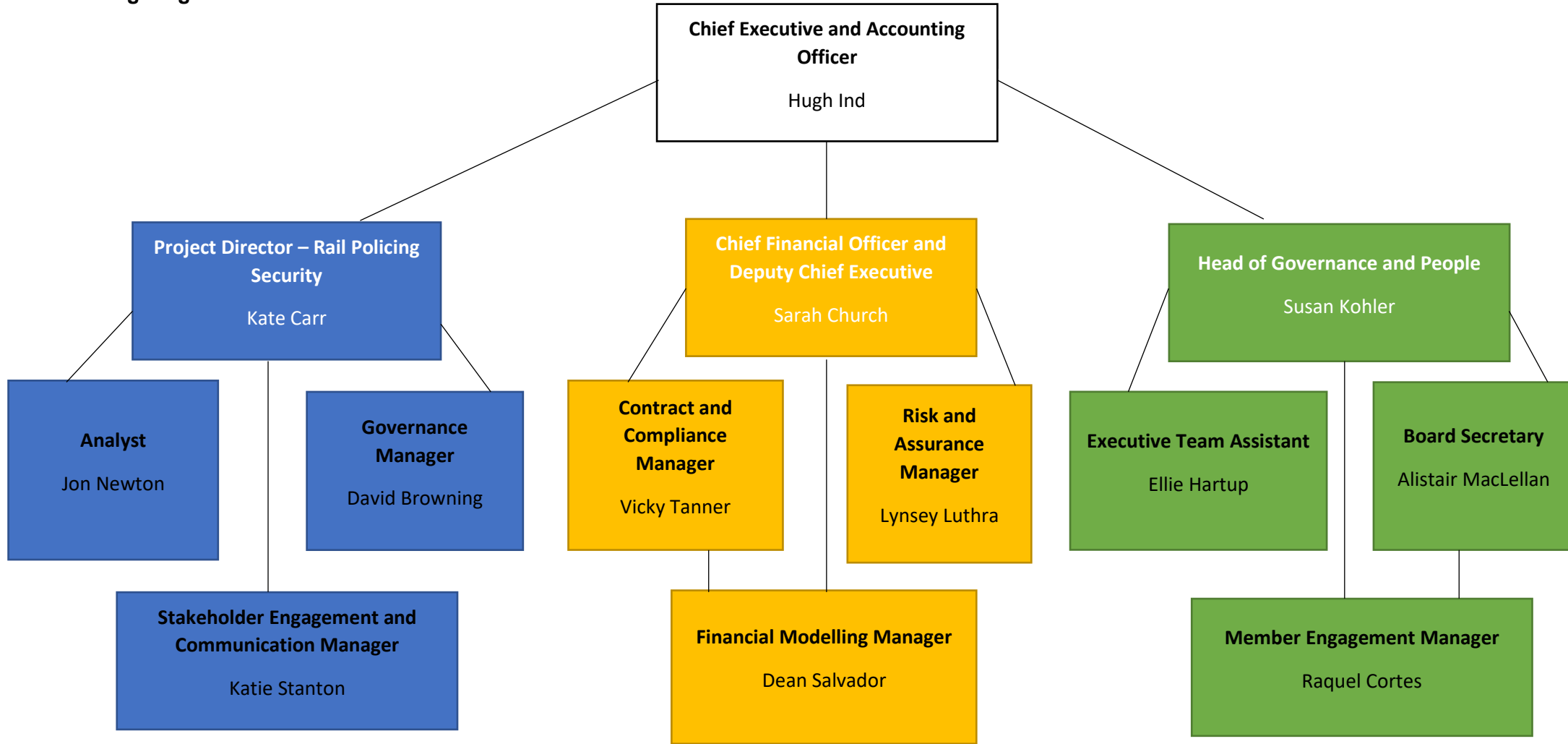
www.apccs.police.uk

www.college.police.uk

www.npcc.police.uk

Annex A Executive Team Organogram and contacts

Organogram as at October 2023



Annex A: Executive Team Organogram and contact details.

Name	Title	Contact details
BROWNING, David	Governance Manager	07917 578 574 david.browning2138@btp.police.uk
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TANNER, Vicky	Contracts and Compliance Manager	07917 782 636 victoria.tanner@btp.police.uk

Annex B: Member contact details.

Name	Contact details
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PERRY, Dyan Deputy Chair	M: 07724190418 E: dyan04@icloud.com E: dyan.perry@btp.police.uk
WHYTE, Iain	M: 07879 486 133 E: iain-whyte@outlook.com E: iain.whyte@btp.police.uk

Annex C: Committee/working group allocations (effective from 30 January 24)

Committee/Working Group	New Membership
Appointments, Remuneration and Appraisal Committee (Current membership of up to 4)	Ron Barclay-Smith (Chair)
	Dyan Perry (Deputy Chair)
	Nick Hawkins
	Paula Carter
Audit and Risk Assurance Committee (Current membership of up to 5)	Kenna Kintrea (Chair)
	Emir Feisal (Deputy Chair)
	Andy Cooper
	Brian Lynch
	Abdul Elghedafi
People and Culture Committee (Membership of up to 5)	Nick Hawkins (Chair)
	Stewart Jackson
	Tricia Hayes (Deputy Chair)
	Paula Carter
	Abdul Elghedafi
Pension Working Group (Current membership of 3)	Fiona Brunskill (Chair)
	Andy Cooper (Deputy Chair)
	Iain Whyte
Complaints Review Panel	Nick Hawkins
	Stewart Jackson
	Abdul Elghedafi
Finance, Legitimacy and Performance Committee (Current membership of up to 5)	Craig Mackey (Chair)
	Willie Gallagher
	Emir Feisal
	Brian Lynch (Deputy Chair)
	Tricia Hayes
Strategy and Planning Committee (Current membership of up to 6)	Andy Cooper (Chair)
	Dyan Perry (Deputy Chair)
	Fiona Brunskill
	Craig Mackey
	Kenna Kintrea
	Paula Carter
Policing Plan Working Group (Membership of 3)	Willie Gallagher (Chair)
	Craig Mackey (Deputy Chair)
	Iain Whyte
Scottish Railways Policing Committee (3 BTPA Members)	Iain Whyte (Chair)
	Willie Gallagher
	Kenna Kintrea

Annex D: Competency framework and training requirements

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.
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.