

Deputy Chief Constable Portfolio Risk Register

Department	Risk Owner	Original Rating			Status	Risk Description, (Date Raised) and Current Controls	Mitigating actions and progress	Estimated Action Closure Date of Action	Action Owner	Estimated Risk Closure Date	Current Rating			Changes to key indicators: - Residual Rating (increased ↑ unchanged ⇄ decreased ↓) - Dates of last update and any changes to Progress and Rating	Strategic Plan Ref. 2008-11
		Probability	Impact	Overall							Probability	Impact	Overall		
Professional Standards Department	Eamonn Carroll Detective Chief Superintendent	<b>DCC9</b>			Open	<b>Unauthorised disclosure of information held on British Transport Police (BTP) Information Technology (IT) Systems (raised 9 August 2007)</b>									
		H or 4	M or 3	12	<ol style="list-style-type: none"> <li>Rigorous controls over access to IT systems established.</li> <li>Access to BTP systems actively monitored through dip samples and audits.</li> <li>Vetting Policy adhered to.</li> </ol>	<p><b>Action 1: Establish rigorous controls over access to IT systems.</b> Review of physical access and authorisation practices being planned with a view to vulnerabilities being highlighted. A project was launched, but has now been split into 3 separate projects: (i) Tool to live-monitor desktops - currently looking into the number of licences required and funding issues (ii) Email monitoring application - currently looking at the marketplace to see what applications are available Consideration has been given to making an application to the Capital Board in regard to funding for a system called 3ami Mas. This is used by other forces and would cover i and ii. (iii) Anonymous Contact System - currently testing, aim to go live in the next few weeks.</p>	Ongoing	(i) Nick Moor (ii) Daren Maling (iii) Peter Robbins	Ongoing	3	3	9	⇄  Latest Update: 10 November 2008 Eamonn Carroll  Ratings last changed: 10 September 2008 Probability reduced from High to Probable	CC7 CC14 CD2 CD3 CD21	
					<ol style="list-style-type: none"> <li></li> <li></li> <li>Vetting Policy adhered to.</li> </ol>	<p><b>Action 2: Actively monitor access to BTP systems, through dip samples and audits.</b> Training arranged for Information Security Officers in key systems (BTP's most vulnerable including PNC and FIS) <b>Completed.</b> The first transactional monitoring on targeted individuals for use of FIS, PNC, Email and Intranet was completed in May. This will now be an ongoing monthly process. Process mapping of procedures complete. HMIC inspection of PNC held 19 May. No major issues. BTP now have access to 'PNC Guard'. <b>Completed</b></p>	Complete	Eamonn Carroll							
					<p><b>Action 3: Adherence to a robust Vetting Policy.</b> Robust vetting process now firmly established. <b>Completed</b></p>	Complete	Eamonn Carroll								
Professional Standards Department	Eamonn Carroll Detective Chief Superintendent	<b>DCC10</b>			Open	<b>Financial and resource costs of new vetting requirements (i) for officers in regular contact with children or vulnerable adults by the Independent Safeguards Authority and (ii) CTC and SC vetting no longer supplied by 'Parasol'. (raised 11 September 2008)</b>									
		4	3	12	<ol style="list-style-type: none"> <li>Costs are £64 per check. All custody officers, detention officers, child abuse investigators and schools liaison officers will need vetting.</li> <li>Costs £30 or £35 per check. Only new recruits and some existing officers/staff will need vetting.</li> </ol>	<p><b>Action 1: Monitor developments at ACPO Vetting Group (sub-group of ACPO PSD Committee)</b> Firmer indication of who needs vetting has been given.</p> <p><b>Action 2: Produce estimate of cost implications.</b> Consideration being given at whether force needs to approach Home Office regarding possible central funding.</p>	Ongoing	Gary Williams	31 Mar 09	4	3	12	⇄  Latest Update: 10 November 2008 Eamonn Carroll  Ratings last changed:	CC14 CC23	

LESSONS LEARNED (ORGANISATIONAL) RISK

D e p a r t m e n t	Risk Owner	Original (Inherent) Rating			Status	Risk Description and Mitigating Actions	Target Action Closure Date	Action Owner	Agreed Controls	Estimated Risk Closure Date	Current (Residual) Rating			Changes to key indicators:  Residual Rating - Risk Closure Date - Estimated Cost/Income	Strategic Plan Ref. 2008-11
		Probability	Impact	Overall							Probability	Impact	Overall		
Professional Standards	Eamonn Carroll Detective Chief Superintendent				Open	<p><b>Supervision of prisoners during transportation in dual purpose prisoner vans – potential ligature points identified</b></p> <p><b>Action 1: Refer to Force Custody Manager</b> This matter has still not been addressed at FMT and advice is awaited. Liaison is ongoing with the Force Vehicle Fleet Manager.</p> <p><b>Action 2: Liaise with Home Office forces</b> Having liaised with several forces around the country, this type of prisoner van is used widely across the country with no reported problems.</p> <p><b>Action 3: Searching and supervision of prisoner being transported in vehicle</b> Detainees must be searched before they are put in a police vehicle and if in the back of the vehicle should not be allowed to sit behind the driver. An officer should sit in the back of the vehicle with them. However an instruction has gone out to make sure that all prisoners are handcuffed in the back of the vans and are supervised at all times.</p>	Ongoing	Chief Insp. McMunn  Chief Insp. McMunn  Chief Insp. McMunn		Ongoing					

