| Strategic Lead | Risk Owner | Original Rating: Probability | Original Rating: Impact | Original Rating: Overall | Status | Risk Description, (Date Raised) and Current Controls | Mitigating Actions, progress and completion date | Estimated Risk Closure Date | Current Rating: Probability | Current Rating: Impact | Current Rating: Overall | Changes to key indicators: Residual Rating (Increased ⇧ Unchanged ⇔ Ratings ⇩) Dates of Last Update and changes to Progress and Rating | Strategic Plan Ref. 2008-2011 |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | **SR1** | | | **Open** | **Inability to achieve sufficient alignment with the Management of Police Information (MOPI) Code of Practice by 31 December 2010 results in a denial of access to the Police National Database. (raised 2 June 2006)** | | | | | | | |
| Deputy Chief Constable | Cliff Cunningham, Chief Information Officer | 3 | 4 | 12 | | 1) IMPACT Programme Board established to oversee MOPI compliance.<br><br>2) BTP Information Management Strategy in place. | **Action 1: Produce, publish and implement an IMS:** The content of IMS was approved at IMB on 31 January and published. The IMS was presented to BTPA in December 2008. Implementation of the IMS will continue until the risk closure date with some of the work streams to be monitored via the IMPACT, in particular Retention, Review and Deletion.<br>**Action 2: Establish and monitor a Project Plan to achieve sufficient compliance with MoPI Policy and Process by 31 December 2010:** The Project Plan is in place and monitored at IMB and Project Review meetings are in place. Action complete<br>. | 31-Dec-10 | 1 | 3 | 3 | ⇔<br>**Latest Update: 2 Feb 2010 - Cliff Cunningham**<br>Description of controls updated, risk rating remains unchanged.<br>**Rating last changed:** 18 March 2008 - Impact reduced from High to Medium Rating amended 1/8/08 in light of new defintions. Despite the completion of all actions, this risk should remain open but can be considered ALARP. | CD32<br>CD33 |
| | | **SR11** | | | **Open** | **BTP's inability to provide a comprehensive policing service due to absence arising from a Flu Pandemic (January 2007)** | | | | | | | |
| Assistant Chief Constable London and Olympics | John Thompson Force Civil Contingencies and Business Continuity Manager | 4 | 3 | 12 | | A pandemic Flu Gold Group Chaired by ACC London and 2012 Olympic Games Meeting Every second Wednesday until further notice from 12th August 2009<br><br>Regular updates on situation are being placed on Force Intranet (Notices Page) and will complemented by a Media & Marketing fortnightly Pandemic Flu update special newsletter.<br><br>Horizon Scanning via Force Horizon Scanning Manager for updates from WHO and HPA and other National Information Sources being reviewed on a regular basis.<br><br>Pandemic Flu plan incorporates predetermined strategies for activation in event of increase in alert state for Pandemic Flu outbreak being confirmed in the UK. | **Action 1:** Monitor and update Pandemic Flu plan for BTP based on Health Protection Agency template for Pandemic Flu planning, supplemented by Cabinet Office guidance through the Pandemic Flu Gold Group (December 2009)<br>**Action 2:** Review Pandemic Flu plan incorporation of predetermined strategies for activation in event of increase in alert state for Pandemic Flu being confirmed in the UK to be tested. (December 2009)<br><br>**Action 3:** monitor and update the new BTP Pandemic Flu plan, to complement the Force Strategic Plan, Produce a new Policy and SOP document to support Pandemic Flu activation processes (December 2009)<br><br>**Action 4:** Pandemic Flu plan will be loaded onto external BC plan host site (Site now determined contract completion in progress). | 31-Mar-10 | 3 | 2 | 6 | ⇩<br>**Latest Update: 3 February 2009. John Thompson:** Risk rating lowered following the lowering of the alert status for pandemic flu. The Gold Group has been suspended but can be re-established if required. The HPA have already issued a warning about complacency for the 2010-11 Flu Season | CD17<br>CD22<br>PR4<br>PR5<br>PR7<br>PR13 |
| | | **SR22** | | | **Open** | **BTP loses a key Control Centre (raised 1 April 2008)** | | | | | | | |
| Assistant Chief Constable Operations | Supt Bob Pacey, Supt. Operations | 1 | 4 | 4 | | 1) Alternative facilities provided<br><br>2) Maturity of Contingency Plans checked<br><br>3) New round of Area Meetings instigated<br><br>4) Birmingham Control centre on line<br><br>5) Disaster Recovery Fallback achieved - duplicate control of 1<br><br>6) Bi-monthly Contact Handling Board incorporates Area Meetings | **Action 6: Ensure the Disaster Recovery (£300K spend) fallback is achieved (Chief Information Officer)** | 31-Mar-10 | 1 | 4 | 4 | ⇔<br>**Latest Update: 2 Feb 2010 - Cliff Cunningham**<br><br>**Rating last changed: 21 April 2008 -** Risk approved by COG for addition to SRR. Reviewed at Operations Risk Review<br><br>**Additional information received 2 February 2010 from Cliff Cunningham** The DR system failed on first install. This is being rectified and a plan has been agreed with Sungard to reinstate it, However, Sunguard have been so far unable to complete work. Remedial work is planned to take place in February . The point to point link has been installed and will be commissioned in line with the DR system being available in Birmingham. | |

| | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Assistant Chief Constable, Operations | Ch Supt Dave Wildbore | **SR32** | | | **Open** | **The demand for policing an increased number of events in the build up to the Olympic Games at the same time as maintaining the expected level of service across the rail network exceeds the capacity of BTP's resources to manage it (raised 5 May 2009)** | | | | | | | |
| | | **3** | **3** | **9** | | Operational threat and risk assessment for Public Order and Events has been completed<br>Force Mobilisation plan completed<br>Football policing SOP complete<br>Updated Intra-BTP mutal aid policy | **Action 1: Develop operational threat and risk assessments for Public Order and Events Policing requirements** (Ch Supt Wildbore) A Force Operational Threat & Risk Assessment has now been completed following input from all Areas. This is held centrally and informs the Force Strategic Assesment. **Complete**<br>**Action 2: Devise a force mobilisation plan** (Ch Supt Wildbore) Area Response plans have now been completed. This has informed and enabled a Force Mobilisation Plan to be drafted and will be reviewed annually. **Complete**<br>**Action 3: Update the football policing SOP** (Ch Supt Wildbore) SOP has been consulted on and signed off. **Complete**<br>**Action 4: Update the intra-BTP Mutual Aid policy** (Ch Supt Wildbore) New revised SOP signed off in August 2009. **Complete**<br>**Action 5: Deliver enhanced police officer training for key cadre officers** (Ch Supt Wildbore 30 Nov 09) On track to complete 95% of Silver (Tactical) training November 2009. All Gold (Strategic) training will be complete early November 2009. **In progress**<br>**Action 6: Explore options for cost recovery including obtaining funding where appropriate to reduce the impact on core policing duties, with the aim for all cost recovery options to be identified by December 2009** (Ch Supt Wildbore 31 Dec 2009) This action is ongoing. Further meeting held with Wembley Stadium 20 November 09. ACC Operations to progress with Police Authority. | **31-Aug-12** | **2** | **3** | **6** | ⇔<br>**Latest update: 3 February 2010** - Ch Supt Wildbore. Risk considered ALARP following substantial completion of actions initially identified. Estimated risk closure date extended to tie in with 2012 Olympic Games. Risk rating reduced from 9 to 6 following completion of action 30 November 2009. | |
| Assistant Chief Constable, Operations | Supt Phil Trendall | **SR33** | | | **Open** | **Inability to maintain operational delivery and performance levels in other areas in the event of a sustained level of terrorist incidents.** | | | | | | | |
| | | **4** | **3** | **12** | | 1) Specialist Counter-Terrorism Unit<br>2) Counter Terrorism Strategy in Place<br>3) Strategy of working with partners within the rail industry to deter and control the terrorist threat<br>4) Participation in the nationwide police counter-terrorism structure<br>5) Government led control strategy (CONTEST)<br>6) Internal Mutual Aid Policy<br>7) Contingency plans<br>8) Programme of participation in internal and external exercises<br>9) Specialist support available via mutual aid agreements | **Action 1. Review existing contingency and business continuity plans to ensure fitness for purpose** The review is still ongoing. The generic FHQ (Ops Dept) BC Plans are still under review, as the new BC Software is being brought on line. Estimated update finish time is early January 2010 now as the BC software is accepted and has the manual paper information loaded on to it.<br>The review for other Areas and Portfolios is being progressed by the Business Continuity Manager and is a significant piece of work.<br>**Action 2: Test Area and Portfolio ability to function with reduced resources for a sustained period (CCU)**<br>**Action 3: Review HMIC report of 1st. Sept. 2009 and affect an appropriate response/adoption of best practice** | **31-Mar-12** | **3** | **3** | **9** | ⇔<br>**Latest update: 30 November 2009** - Ch Supt Wildbore, risk rating reduced following establishment of controls. The existing contingency and business continuity plans are under review and will be entered on to the new system when it is available. **Risk Committe 16 Feb 2010, This risk considered ALARP** | |

| | | | | | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| Assistant Chief Constable, Operations | ACC Pacey, Assistant Chief Constable, Operations | **SR34** | | | **Open** | **Policing Pledge commitments reduce the ability of other police forces to respond on BTP incidents, impacting on the performance delivered to stakeholders (raised 5 May 2009)** | | | | | | | |
| | | **3** | **3** | **9** | | Implementation of new roster system from 10 January 2010<br>Full analysis of response requirements undertaken relating to response policing<br>Control Room Phase 2 Project and Process Review in place | **Action 1. Complete review of alignment and implementing recommendations between resource and demand profiles. Complete:** This major piece of work has been successfully delivered, with new standard<br>**Action 2: Improve control room processes in Control Rooms to ensure better deployment** (ACC Pacey) This is ongoing and part of the scope of the Control Rooms Phase 2 project as well as the Process Review lead by Strategic Development Department. **Complete**<br>**Action 3: Maintenance of effective relationships with other police forces by Area Commanders including discussion to get early indication of changes to current arrangements** (Area Commanders) | **31-Mar-12** | **2** | **3** | **6** | ⇔<br>**Latest Risk Update 3 February 2010-** The completion of the review of shift patterns against demand profiles for 24/7 policing has been completed and went live in January 2010. Risk rating was changed accordingly. This risk may be regarded ALARP. **Latest change to risk rating: 30 November 2009 Ch Supt Wildbore** | |
| Assistant Chief Constable, Crime | T/ACC Mark Smith, Assistant Chief Constable, Crime | **SR36** | | | **Open** | **The effects of the economic recession causes an increase in the level of reported crime on the rail network in the following categories:**<br>**Acquisitive crime including petty theft**<br>**Theft of conductive metals**<br>**Fraud including credit card, rail employee, contract fraud and corruption**<br>**(raised 5 May 2009)** | | | | | | | |
| | | **3** | **4** | **12** | | Tasking process which allow priorities to be set against observed trends in crime at number of levels from local to strategic<br>Force Management Team reporting structure which highlights performance and allows Areas to quickly identify changing trends in crime | **Action 1: Engage more proactively with the rail industry to prioritise reduction measures**<br>**Action 2: increase frequency of market analyses to identify trends that will affect crime such as metal theft** | **31-Mar-12** | **3** | **4** | **12** | ⇔<br>**Latest update 16 February Risk Committee.** Current risk rating to be reviewed as the overall rating based on a worst case scenarios appears to be too high and there is little that can be done. **Risk regarded as ALARP.** | |
| Director of Human Resources | Linda Scott, Director of Human Resources | **SR39** | | | **Open** | **The ability for Police Staff in key operational roles to take industrial action may have an adverse affect on BTP as it may not be possible to provide adequate cover from officers alone if a strike took place (raised 13 May 2009)** | | | | | | | |
| | | **4** | **4** | **16** | | Use of management level meetings to raise concerns and allow plans to be prepared in response to threatened action<br>Strategy of media engagement<br>Welfare arrangements in place to support those who continue to work, including those who cross picket lines<br>Introduction of new rosters at the control rooms has resolved the original issues that led to industrial action in April 2009 | **Action 1: Review of essential functions currently split between police officers and police staff to identify exposure to threat of strike action** (Linda Scott)<br>**Action 2: Agree what functions should not be 'civilianised'** (Linda Scott)<br>**Action 3: Identify and resolve those issues identified by Control Room Staff and First Contact Centre where possible** (Supt Pacey) 31/03/10 Complete<br>**Action 4: Encourage TSSA to take those issues relating to the Control Rooms and First Contact Centre separately to unrelated issues relating to their desire to be recognised as having negotiating rights for all police staff** (HR/Supt Pacey) 31/03/10 | **31-Mar-10** | **2** | **3** | **6** | ⇩<br>**Latest update: Declan McHenry 10 Feb 2010**. This risk may be regarded as ALARP with the agreement of A&CG. **16 Feb 2010** Risk committee noted completion of additional action.<br>**Risk description amended by Linda Scott, 4 August 2009.** | |
| Director of Human Resources | Peter Ward, Head of Learning and Development | **SR40** | | | **Open** | **Failure to resolve the future of the training estate at Tadworth results in an inability to provide statutory training for police officers (raised 13 May 2009 )** | | | | | | | |
| | | **3** | **3** | **9** | | COG decision for BTP to continue to provide in-house training for student officers<br>Project manager in place<br>Project plan for replacement of Tadworth has been proc<br>Progress monitored at COG/SCT<br>Progress monitored at HR Major Projects Board<br>Progress monitored at Force Training Board<br>Interim solution for provision of training from Camden Road from November intake of student officers in place, with a proposal for a permanent solution agreed in principle | **Action 1: Review structure for the delivery of training** (Nina Noddings)<br>**Action 2: Present training delivery options paper to COG** (Peter Ward 6 July) Complete<br>**Action 3: Present a description of how the planned training delivery structure will support the training requirements of Areas and FHQ**<br>**Action 4: Implement the agreed training delivery structure and report progress to HR Major Projects Board** (Sue Brown/Martin Onley 31 December 2009)<br>**Action 5: Identify the staffing level required to deliver the new training delivery structure and recruit internally and externally as appropriate to meet this level (Sue Brown/Martin Onley 31 December 2009)** | **31-Mar-10** | **1** | **3** | **3** | ⇩<br>**Latest Update, 10 Feb 2010 Declan McHenry,** Builiding work has commenced on new training facilitity at Spring House with completion scheduled for mid-March 2010. The L&D restructuring continues. The upper tier management structure has now been filled. The overall organisation for training delivery is scheduled to be finalised by 31 January 2010. | |