



**BRITISH
TRANSPORT
POLICE**

Report to: Audit Committee
Agenda item: 5.3
Date: 4 December 2012
Subject: BTP Strategic Risk Report
Sponsor: Deputy Chief Constable
For: Information

1. PURPOSE OF PAPER

- 1.1. To advise members of changes to the British Transport Police (BTP) Strategic Risk Register (SRR) since the last submission to Audit Committee on 26 September 2012, and update members on progress in risk management generally. The SRR is attached at Appendix A and was reviewed by BTP's Service Excellence Board on 22 November 2012.

2. UPDATE ON THE MANAGEMENT OF STRATEGIC RISKS

- 2.1. The following table indicates the current ratings of all strategic risks. Risks in italics signify risks that are considered to be as low as reasonably practicable (ALARP):

↓ Probability ↑ ↑ Probability ↓	Probable and Imminent (4)				
	Probable (3)		<i>SR56</i> <i>SR64</i>		
	Possible (2)		<i>SR61</i>		
	Remote (1)			<i>SR62</i>	<i>SR41</i>
	Impact →	Minor (1)	Moderate (2)	Significant (3)	Major (4)

- 2.1.1. There are no new risks on the BTP SRR although a formerly closed entry has been re-opened. All risk ratings have been retained and significant updates to the strategic risk entries since Audit Committee in September include:

NOT PROTECTIVELY MARKED

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- SR56 – Cable Theft

The falling trend for metal theft continues with reductions of 51% for the period April to October 2012 compared with the corresponding period in 2011. BTP participated in a day of action on 11 October which involved visits to 151 scrap metal dealers (SMDs). A further day of action is planned for 4 December which will focus on educating SMDs about the switch to cashless transactions in addition to checking for the presence of stolen metal.

- SR61 – Terrorism

Following the achievement of a full complement of Authorised Firearms Officers (AFOs), the Audit Committee on 26 September discussed whether this risk should be considered ALARP. With the remaining actions for BTP employees heavily dependent on the actions of the Home Office and Department for Transport, this has been agreed by DCC Crowther.

- SR62 – One Police Force for Scotland

The Police and Fire Reform (Scotland) Bill received Royal Assent on 8 August 2012. The risk rating remains unchanged following recognition that a S104 Order under the Scotland Act would be required to protect the powers and status of BTP officers in Scotland when the Scottish Police Service is introduced on 1 April 2013. Progress on the development of the new Service is closely monitored and an Intranet page dedicated to police reform in Scotland has been created.

2.1.2. The risk SR41 relating to Disaster Recovery (DR) has been reopened on the SRR following delay to the failover test to demonstrate completion of the project. The failover test is now planned to take place in March 2013.

3. STRATEGIC ASSESSMENT AND RISK MANAGEMENT

3.1. The 2012 Strategic Assessment was reviewed by Strategy Group on 24 October, with an action to consider whether any of the entries warranted inclusion on risk registers. The themes identified in the Strategic Assessment have been circulated to Areas and Departments for consideration for inclusion on local risk registers, and where appropriate



escalation to the SRR. This is in line with the governance arrangements for the escalation of risk.

4. OTHER RISK MANAGEMENT MATTERS

4.1. Progress on other risk management matters include:

- Achievement of a full complement of Area and Departmental risk champions and/or representatives.
- Circulation to all Custody Suites of the first ALARM Police Group I-Card relating to Excited Delirium. ALARM is an association of public sector risk management professionals and the I-Card initiative is led by West Mercia Police; it aims to share common areas of organisational learning across member police forces. BTP received the first I-Cards in November, and following review by the Custody Manager and Head of Criminal Justice Directorate were disseminated to all BTP Custody suites on the same day. The I-Cards have also been shared with the Learning and Development and Professional Standards Departments.

5. RECOMMENDATIONS

5.1 That members note the amendments to the SRR and the update on risk management.

Unit/ Area	Risk Owner	Original Rating			Status	Risk Description, (Date Raised) and Current Controls	Mitigating Actions and Progress	Estimated/ Closure Date of Action	Action Owner	Estimated Risk Closure Date	Current Rating			Changes to key indicators: - Residual Rating (Increased ↑ Unchanged ⇌ Ratings ↓) - Dates of Last Update and changes to Progress and Rating - Est. cost/income
		Probability	Impact	Overall							Probability	Impact	Overall	
Assistant Chief Constable, Scotland	Dave Roney, Supt. Counter-Terrorism Support Unit	SR61			ALARP	Inability To respond adequately to a Terrorist Attack (Risk Raised 25/07/11) 1) Specialist CT Support Unit. 2) CT Strategy, tactics and plans in place and aligned with National policies. 3) CT contingency plans in place. 4) Business Continuity plans in place. 5) Internal Exercise programme for first line supervisors regarding re-emergence of the threat from Irish Republican terrorists, active shooters and specific training and tutorials for FCR(L) Duty Officers. 6) Participation in the National CT Exercise Programme.	Action 2: Explore options to change Primary legislation to give BTP the same flexibility with respect to firearms as territorial police forces CTSU have submitted an evidence pack for DFT which set out the implications of BTP officers not being authorised to carry firearms in the same way as territorial police forces.	31-Mar-13	Supt Roney	31-Mar-13	2	2	4	↔ Latest Update: 6 November 2012 Supt Roney Ratings last changed: 29 February Stephen Goldspink/Supt Trendall From 3/3(9) to 2/2(4) The risk rating was reduced on consideration of the adequacy of BTP's CTSU response capability. Work to change primary legislation has stalled following changes to ministerial positions within DFT. DFT continue to raise the issue with HO to change primary legislation. FEB also continue to raise the issue with DFT contacts on a regular basis.
		3	3	9										
Director of Corporate Resources	T/ACC Newton, Director of Corporate Resources	SR64			ALARP	Uncertainty about the state of public finances over the term of the Medium-Term Financial Plan leads to an inability to deliver service levels as planned within budgetary constraints (Risk Raised 07/02/12) 1) Current medium-term financial plan subject to annual update. 2) Programme of Finance Group and Strategy Group meetings. 3) Horizon scanning of developments within the public sector and rail industry. 4) Inclusion of break clauses and termination provisions for all contracts where standard BTP terms and conditions have been used. In addition, these are negotiated into contracts where suppliers terms and conditions are used wherever this is possible.			31-Mar-15	2	2	4	↔ Latest Update: 31 October 2012 Simon Hart Ratings last changed: N/A The Risk has been reviewed and the risk rating retained. Work has started to prepare the annual update of the Medium-Term Financial Plan for the BTPA. This risk will continue to be reviewed quarterly.	
		3	2	6										

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		Probability	Impact	Overall							Probability	Impact	Overall	
Director of Corporate Resources	Cliff Cunningham, T/Head of Information Services & Business Support	SR41			Open	The lack of disaster recovery site impacts upon BTP's ability to deliver a policing service in the event of the loss of the server room at BTP FHQ (added 16 February 2010)	1) Managed access to the Server room - monitored 24/7 and reduces the risk of direct attack. 2) Active smoke detection units, fire doors and separate air-conditioning system for the server room. 3) Back-up generator to provide an uninterrupted power supply in the event of power failure. 4) 24/7 maintenance support for the air conditioning units lessening the risk of thermal cut-outs. 5) Budget for the provision of a Disaster Recovery solution. 6) Critical systems loaded onto secondary virtualised servers at DR location 7) Unix & Windows servers installed at DR location	28-Feb-13	Cliff Cunningham, T/Head of IS&BS	28-Feb-13	1	4	4	⇌
		2	4	8	Action 5: Establish and test processes for Disaster Recovery when systems have been loaded Unit testing of servers has been carried out; a full transition ("fail over & full back") is scheduled for March 2013 Action 6: Configure C.JX (external link) and upgrade Proxy Server at DR site The initial specification and construction of the DR Server occurred prior to the upgrade and development of aspects of the main server - these need to be replicated	30-Nov-12		Cliff Cunningham, T/Head of IS&BS	Latest Update: 31 October 2012 Cliff Cunningham Risk re-escalated to Strategic Risk Register at direction of DCC following lack of failover testing to demonstrate final completion of the project. Unit testing of servers has been carried out and a full transition test will be carried out in March 2013. Rating last changed: 20 August 2010, Paul Day					
		SR56			Open	Failure to manage the expectation of the rail industry in relation to cable theft damages stakeholder confidence in BTP (18/02/11)	1) Network Rail has agreed to provide a dedicated stream of funding for Cable Theft for 2011-14. BTP has lead responsibility for governing this money. 2) The Analysis desk monitors all crime trends including Cable Theft, and their work supports two teleconferences. Hotspot locations identified by the team are the subject of operations to detect or prevent crime by both overt and covert operations, and by the work of crime reduction officers. The work of crime reduction officers also extends to liaising with the rail industry in relation to target hardening and crime reduction, and advising prior to planned improvement works on the rail network. In addition, intelligence gathering has been increased with the formation of the Fusion Intelligence Unit, further supporting the ability to target operations. 3) A longstanding operation to address Cable Theft. Operation Leopard is in place, and dedicated teams have been established across the country. They are supported by a number of initiatives and strategies including minimum standards for the investigation of cable theft, a cable theft strategy, a cable theft escalation plan, cable theft communication strategy and forensic strategy. 4) BTP is member of a number of national groups in relation to Cable Theft, including the ACPO Metal Theft Working Group (DCC) and the Network Rail Strategy Group (ACC Pacey).	31-Mar-13	T/ DCI Murray	31-Mar-15	3	2	6	⇌
Assistant Chief Constable Territorial Policing and Crime	Gill Murray, T/DCI, Territorial Policing	4	3	12	Action 2: To review the adequacy of existing strategies by the end of the financial year 2012/2013 The review of existing metal theft strategies will take place in the New Year. Action 3: Update guidance for frontline officers following the introduction of cashless payment systems for scrap metal dealers in November 2012 Guidance documentation will be updated to tie in with the introduction of cashless payment systems for SMDs and support the December 2012 day of action which will seek to educate SMD staff as well as detect stolen metal.	Complete		T/ DCI Murray	Latest update: 19 November 2012 T/DCI Murray Rating last changed: Not changed To date, 2012 has shown a reduction in metal theft of approximately 50%, both live and non-live. BTP has achieved detection rates of 38% and 23% for live and non-live offences respectively. BTP participated in a day of action on 11 October which involved visits to 151 Scrap Metal Dealers and three arrests. A further day of action is planned for 4 December which will focus on educating scrap metal dealers about the changes entailed by cashless transactions. Collaboration with HMRC continues to develop, and the dedicated member of HMRC staff provided to support the work of the Fusion Intelligence Unit (FIU) joined in the week commencing 19 November. Work continues with the Environment Agency to develop the intelligence picture across partners and support structured visits across the country. Early negotiations are taking place with Scottish Power who are also keen to integrate with the FIU. The majority of regions have signed up to Operation Tornado, and 71% of SMDs are now signed up to the volunteer scheme. The FIU also worked closely with the Olympics Intelligence Team which led to proactive operational activity which assisted in minimising disruption during the Olympic period. With regard to an update on legislation, implementation of cashless transactions system takes place on 3 December. Updated guidance on the impact of changes for front line officers was published on 22 November. Over £4million of the DFT funding to tackle metal theft has been allocated to various partners across the country which encompasses a diverse range of operational activity.					
Assistant Chief Constable Operations	ACC McCall, ACC Scotland	SR62			Open	The planned move toward one police force for Scotland reduces the powers of BTP officers to deliver a police service (Risk Raised 17/11/11)	1) Liaison with Scottish Government by ACC and Area Commander. 2) Membership of ACPOS by ACC McCall. 3) Existing links with Scottish police at local level.	30-Jun-13	ACC McCall	31-Mar-13	1	3	3	⇌
		3	3	9	Action 2: Ensure appropriate engagement at a Strategic level with the new Scottish Police Service following the disbandment of ACPOS ACPOS will continue to exist up to the formation of the new Scottish Police Service in 2013 and provide an appropriate forum for strategic engagement with Scottish partner police forces. The Chief Constable for Scotland, Stephen House, has been appointed, and development of the new structures that will deliver policing in Scotland has begun in earnest.	Latest Update: 6 November 2012 ACC McCall Ratings last changed: 6 March 2012 ACC McCall From 3/3(9) to 1/3(3) Risk requested for escalation by Scotland and agreed by FMT 17 November 2011. ACC McCall and BTPA responded to the initial consultation to The Police and Fire Reform (Scotland) Bill and recognised the need for S104 Scotland Act provisions to be invoked as and when provisions within the Bill come into effect. The new Police Service of Scotland will come into being on 1 April 2013, and appointments to the positions of Chief Constable and Scottish Police Authority have been made. ACC McCall maintains liaison with ACPOS as new policing structures continue to develop across Scotland. The risk rating remains unchanged.								

IMPACT - TABLE FOR BTP CONCERNS IF THE RISK WERE TO HAPPEN

	Safety	Reputation	Performance and Service	Financial
Minor	Minor injury	Minor localised specific Area damage caused by adverse local press coverage	Minimal threat to achieving key objectives; Or slight concerns over service level in a specific Area	Cost of 5% of Dept./ Area / Project budget incurred or loss of funds to that amount
Moderate	Serious injury	Major localised specific Area damage caused by adverse local press coverage	Significant threat to achieving key objectives; Or stakeholders express concern at a specific drop in service level within an Area	Cost of 5-10% of Dept./ Area / Project budget incurred or loss of funds to that amount
Significant	Single fatality	Major short-term damage caused by adverse national press coverage	Failure to achieve a key objective; Or stakeholders write/minute their concern over significant drop in service level in several Areas or Portfolios	Cost of 10-25% of Dept./ Area / Project budget incurred or loss of funds to that amount
Major	Multiple fatalities	Major damage to reputation caused by sustained adverse national press coverage. Possible resignations	Failure to achieve several key objectives; Or formal written notification of grave concern by stakeholders to the Chief Constable	Cost of £5m or more incurred or loss of funds to that amount

PROBABILITY - TABLE FOR THE LIKELIHOOD OF A RISK HAPPENING IN A 36 MONTH PERIOD

Remote	Possible	Probable	Probable and Imminent
Unlikely to happen within 3 years under normal circumstances, or requires a specific and unlikely chain of events to occur to happen	Could happen within 3 years under normal circumstances, or will happen within this timeframe unless specific action is taken to counter it	Is likely to happen within 3 years under normal circumstances, or will happen within a year unless specific action is taken to counter it	Is likely to happen within a year under normal circumstances or will happen within the next six months unless specific action is taken to prevent it

RISK MATRIX WITH CRITICALITY SCORES (1 - 16) : SCORE = PROBABILITY X IMPACT

PROBABILITY see below	Probable and Imminent (4)	4	8	12	16
	Probable (3)	3	6	9	12
	Possible (2)	2	4	6	8
	Remote (1)	1	2	3	4
		Minor (1)	Moderate (2)	Significant (3)	Major (4)
IMPACT see below					