



**Report to:** Police Authority  
**Agenda item:** 9.3  
**Date:** 13 December 2012  
**Subject:** BTP Strategic Risk Report  
**Sponsor:** Deputy Chief Constable  
**For:** Information

**1. PURPOSE OF PAPER**

1.1 To provide members with an update on British Transport Police’s (BTP) Strategic Risk Register (SRR). The SRR is attached at Appendix A and was reviewed by Audit Committee on 1 December 2012.

**2. UPDATE ON THE MANAGEMENT OF STRATEGIC RISKS**

2.1. The following table indicates the current ratings of all strategic risks.

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

2.2 Since the SRR was last presented to Police Authority on 1 November:

- No new risks have been added to the SRR.
- Risk SR41 relating to Disaster Recovery has been reopened following delay to the failover test to demonstrate completion of the project. The failover test is now planned to take place in March 2013.

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- Following achievement of a full complement of Authorised Firearms Officers, the Audit Committee discussed whether the terrorism risk could be considered ALARP. With the remaining actions for BTP employees heavily dependent on the actions of the Home Office and Department for Transport, this was agreed by DCC Crowther and Risk SR61 has been downgraded to ALARP.

### **3. RECOMMENDATIONS**

- 3.1 That members note the quarterly update on BTP's SRR.

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Strategic Risk Register

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	
Director of Corporate Resources	Cliff Cunningham, T/Head of Information Services & Business Support	<b>SR41</b>			<b>Open</b>	<b>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)</b>								
		2	4	8		<p>1) Managed access to the Server room - monitored 24/7 and reduces the risk of direct attack.</p> <p>2) Active smoke detection units, fire doors and separate air-conditioning system for the server room.</p> <p>3) Back-up generator to provide an uninterrupted power supply in the event of power failure.</p> <p>4) 24/7 maintenance support for the air conditioning units lessening the risk of thermal cut-outs.</p> <p>5) Budget for the provision of a Disaster Recovery solution.</p> <p>6) Critical systems loaded onto secondary virtualised servers at DR location</p> <p>7) Unix &amp; Windows servers installed at DR location</p>	<p><b>Action 5: Establish and test processes for Disaster Recovery when systems have been loaded</b> Unit testing of servers has been carried out; a full transition ("fail over &amp; full back") is scheduled for March 2013</p> <p><b>Action 6: Configure C.JX (external link) and upgrade Proxy Server at DR site</b> 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</p>	28-Feb-13	Cliff Cunningham, T/Head of IS&BS					<p>↔</p> <p><b>Latest Update: 31 October 2012 Cliff Cunningham</b> 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. <b>Rating last changed: 20 August 2010, Paul Day</b></p>
		<b>SR56</b>			<b>Open</b>	<b>Failure to manage the expectation of the rail industry in relation to cable theft damages stakeholder confidence in BTP (18/02/11)</b>								
Assistant Chief Constable Territorial Policing and Crime	Gill Murray, T/DCI, Territorial Policing	4	3	12		<p>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.</p> <p>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.</p> <p>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.</p> <p>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).</p>	<p><b>Action 2: To review the adequacy of existing strategies by the end of the financial year 2012/2013</b> The review of existing metal theft strategies will take place in the New Year.</p> <p><b>Action 3: Update guidance for frontline officers following the introduction of cashless payment systems for scrap metal dealers in November 2012</b> 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.</p>	31-Mar-13	T/ DCI Murray					<p>↔</p> <p><b>Latest update: 19 November 2012 T/DCI Murray</b> <b>Rating last changed: Not changed</b> 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.</p> <p>The majority of regions have signed up to Operation Tornado, and 71% of SMDs are now signed up to the voluntary scheme.</p> <p>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.</p> <p>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.</p> <p>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.</p>
Assistant Chief Constable Operations	ACC McCall, ACC Scotland	<b>SR62</b>			<b>Open</b>	<b>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)</b>								
		3	3	9		<p>1) Liaison with Scottish Government by ACC and Area Commander.</p> <p>2) Membership of ACPOS by ACC McCall.</p> <p>3) Existing links with Scottish police at local level.</p>	<p><b>Action 2: Ensure appropriate engagement at a Strategic level with the new Scottish Police Service following the disbandment of ACPOS</b> 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.</p>	30-Jun-13	ACC McCall	31-Mar-13	1	3	3	<p>↔</p> <p><b>Latest Update: 6 November 2012 ACC McCall</b> <b>Ratings last changed: 6 March 2012 ACC McCall</b> <b>From 3/3(9) to 1/3(3)</b></p> <p>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.</p>

Strategic Risk Register

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	<b>SR61</b>			<b>ALARP</b>	<b>Inability To respond adequately to a Terrorist Attack (Risk Raised 25/07/11)</b>								↔
		3	3	9										
Director of Corporate Resources	T/ACC Newton, Director of Corporate Resources	<b>SR64</b>			<b>ALARP</b>	<b>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)</b>								↔
		3	2	6										

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

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

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

	Safety	Reputation	Performance and Service	Financial
<b>Minor</b>	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
<b>Moderate</b>	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
<b>Significant</b>	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
<b>Major</b>	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**

<b>Remote</b>	<b>Possible</b>	<b>Probable</b>	<b>Probable and Imminent</b>
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