

Risk Owner	Action Lead	Original			Status	Risk Description, (Date Raised) and Current Controls	Mitigating Actions, progress and completion date	Estimated Action Closure Date	Estimated Risk Closure Date	Current			Changes to key indicators: Residual Rating (Increased, Unchanged or Reduced) Dates of Last Update and changes to Progress and Rating
		Probability	Impact	Overall						Probability	Impact	Overall	
Chief Executive to the BTPA	Chief Executive to the BTPA	ASR50			Open	<b>Failure of BTPA to have signed PSA in place by 1 April 2013 leads to PSA holders being in breach of their licence requirements (8/2/10)</b>	<b>Action 1:</b> Share agreement with PSA rail industry	31-Mar-12	31-Mar-14	3	3	9	<p><b>Update 28 February 2014:</b> The outstanding core PSA has now been signed. The PSA was amended slightly to take into account the concerns raised. No challenges have been made. It is recommended that this is closed.</p> <p><b>Update 14 November 2013:</b> No challenges have been received to date. Discussions are on-going with the DfT concerning one core PSA that is yet to be signed.</p> <p><b>Update 6 September 2013:</b> As ASR 52</p> <p><b>Update 8 May 2013:</b> The 2013 PSA have been out for signature. As at 8 May'13 one PSA are still outstanding West Coast. The first payment by direct debit is due on the 13 May and BTP are confident that the software changes will be implemented on time. A draft letter has been prepared by Weightmans in relation to non return of a PSA, but this will be cleared by DfT prior to being sent. The CEO is in regular contact with West Coast.</p> <p><b>Update 6 March 2013:</b> This risk is linked with risk ASR52. The DfT has confirmed that they will make good any payments. The 2013 PSAs have been distributed for signature and are expected back by the 21 March 2013. A contract log has been created for all queries and contact made concerning this issue. If the CEO is absent for the office when the PSA are returned the Finance Director has the delegated authority to sign them.</p> <p><b>Update January 2013:</b> The Authority has received assurance from DfT that if the new PSA is not signed that DfT will make good any budget shortfall in the short term.</p> <p><b>Update 22 November 2012:</b> The Authority has tasked Weightmans to provide some formal advice on what the risk would be if the new PSA is not agreed by 31 March 2013, and what the risk would be of the new PSA not being signed.</p> <p><b>Update 6 September 2012:</b> BTPA have had a meeting with ATOC and have received their feedback. The next steps are to review all the feedback that has been received, and to submit the new PSA to DfT by the end of September.</p> <p><b>Update 18 July 2012:</b> The new PSA has been consulted on, and the comments received have been taken into account and the PSA amended where appropriate. The new PSA will be signed off by the Authority out of Committee and submitted to the DfT by the end of September for sign off. A meeting between Liz Pike, Andrew Figures and Weightmans will take place to go through the amendments. Once the new PSA has been signed the potential risk will be the possibility of an arbitration based on the onus nature of the contract. The Authority will seek QC advice on this.</p> <p><b>Risk agreed for inclusion on SRR by BTPA Finance Director</b></p>
		1	3	3	Draft PSA submitted to DfT	<b>Action 2:</b> BTPA to agree draft with DfT.							
					Bi-monthly meetings with DfT								
Chief Executive to the BTPA	Finance Director to the BTPA	ASR56			Open	<b>LU Ltd Choose to reduce the policing level required from the BTPA or removes it completely leading to a budget deficit and a surplus of resources.</b>	<b>Action 1:</b> To determine the contractual relationship between TFL and the BTPA and assess the implications of that relationship.	31-Mar-12	30-Sep-13	2	2	4	<p><b>Update 28 February 2014:</b> The new TFL contract was signed in January 2014. Updated establishment schedules will need to be released to TFL at the start of the 2014/15 so the information remains current. It is recommended that this is closed.</p> <p><b>Update 14 November 2013:</b> The Authority is still waiting DfT approval on the revised contract. Progress has been made concerning the insurance issue and Weightmans is progressing the outstanding issues.</p> <p><b>Update 6 September 2013:</b> The Authority is still waiting for DfT approval. A meeting has taken place between TFL, Authority and Weightmans where the amendments proposed by TFL were discussed. TFL are currently considering these.</p> <p><b>Update 8 May 2013:</b> No progress since the last update. Contract is still waiting DfT approval.</p> <p><b>Update 6 March 2013:</b> The contract is still with DfT awaiting approval. The Authority is in regular contact with the DfT to discuss progress.</p> <p><b>Update 30 January 2013:</b> The contract is with DfT for approval.</p> <p><b>Update 22 November 2012:</b> The latest draft dated the 15 November has been discussed and the proposed wording will be sent to TFL by 26 November, so that the contract can be presented to the TFL Board in December for approval. The updated draft TFL PSA was circulated to Members of the Authority on the 19 October 2012.</p> <p><b>Update 6 September 2012:</b> A meeting is due on the 11 September with TFL and the Lawyers to agree the PSA except for the insurance element. BTP are due to meet their</p> <p><b>Update 18 July 2012:</b> The contract framework and the last few elements are being finalised. It is expected that this will be completed by 30 September 2012. There is a pot concerning insurance.</p> <p><b>Update 3 May 2012:</b> Further meeting held with TFL on 27 April 2012 where a couple of issues were raised and these are currently being clarified. The completion date of 30 June is still achievable subject to any further update from TFL.</p> <p><b>Risk agreed for inclusion on SRR by BTPA Finance Director</b></p>
		2	3	6	The contractual relationship between LU and BTPA is not based in statute and policing services might be, or be claimed to be provided more efficiently and effectively by another Force. This could lead to a change in policing requirement which is more rapid than the BTP/BTPA's ability to respond to it.								
					Reviewing the EPSA and ensuring implementation or processes and that processes are adequate								
					Exposing the calculation of LU overhead to the Finance Group								
Finance Director to the BTPA	Finance Director to the BTPA	ASR63			Open	<b>EPSA contracts not signed</b>	<b>Action 1:</b> Regular liaison between the Area leads and the Authority to assess progress and provide assistance as and when required.	31-Mar-13	31-Mar-14	2	3	6	<p><b>Update 28 February 2014:</b> Meetings and discussions are currently taking place between HS1, DfT, BTPA and Weightmans. A revised draft has been sent to BTPA for comments, and an extension was granted up until 31 March 2014.</p> <p><b>Update 14 November 2013:</b> Weightmans and BTPA have met with HS1 to discuss the wording of the contract and Weightmans are liaising with the DfT lawyers to progress the sign off. It current extension expires on the 31 December 2013.</p> <p><b>Update 6 September 2013:</b> The HS1 EPSA is still with DfT awaiting a response on clause 11. The current extension expires on the 30 September. DfT have confirmed that EPSA are not classed as core contract and therefore would not automatically transfer over to new franchise holders. BTP have provided assurance that resources funded this way can be absorbed into the core establishment. The two EPSA for Southern are still awaiting signature.</p> <p><b>Update 8 May 2013:</b> A two month extension has been agreed for HS1 to allow the HS1 legal team to review the agreement. The extension expires in 31 May 2013. There are currently two EPSA with no formal contract in place who are both with Southern. The draft agreements are with Southern for comment and have been since last year. The</p> <p><b>Update 6 March 2013:</b> HS1 EPSA is currently with the HS1 legal team for review as it expires on 31 March 2013. The other outstanding EPSA are moving forward and should be signed.</p> <p><b>New Risk added on 30 January 2013.</b></p> <p>There are a number of EPSA's that have been operating for considerable time, but there are no signed contracts in place supporting them. Work is progressing, with 3 EPSA</p> <p><b>Risk agreed for inclusion on SRR by BTPA Finance Director</b></p>
		2	3	6		<b>Action 2:</b>	31-Mar-13						
						<b>Action 3:</b>	31-Mar-13						
Chief Executive to the BTPA	Chief Executive to the BTPA	ASR64			Open	<b>BTP has identified a number of legislative anomalies that, by interpretation, do not recognise BTP as a police force or the Chief Constable as a 'Chief Officer of Police'. This has an adverse operational impact and can prevent BTP from fulfilling statutory duties as required by the Railways and Transport Safety Act. (Risk Raised 18 February 2013)</b>	<b>Action 1: Raise awareness and engage with legislators, the Home Office and DfT to ensure that the status of BTP receives due recognition.</b> The issue of anomalous legislation and its impact on BTP was raised at a meeting between BTP/BTPA and DfT in April 2013. Broad agreement was that specific risks should be escalated through the existing meeting structure for DfT to address on a priority led basis. This supports the direction of Audit Committee that the specific concerns in relation to S172 of the Road Traffic Act be escalated to the BTPA Strategic Risk Register (see action 3).	01-Apr-14	31-Mar-15	4	2	8	<p><b>Update 28 February 2014:</b> The Home Office have worked-up the changes required, but at a Ministerial meeting it was decided that the new bill would concentrate on the Serious and Organised Crime only and would not include other omissions such as Police Conduct and appeals. These amendments are ready to be included when the next opportunity arises.</p> <p><b>Update 6 September 2013:</b> The issue has been raised with the DfT at a bi-monthly meeting along with the implications for BTP.</p> <p><b>Update 13 May 2013:</b> This risk was added to the register at the direction of the Deputy Chief Constable who recognised a number of instances where legislation has failed to recognise BTP adequately, and operational impacts that have been noted as a result.</p>
		4	2	8	1) A number of workarounds are in place for specific anomalies. These include but are not limited to the licensing of Authorised Firearms Officers by the issue of individual firearms certificates and the adoption of a modified form that requests rather than requires information from the registered keeper of a vehicle in relation to Section 172 of the Road Traffic Act 1988.	<b>Action 2: Review the current situation to identify key risk areas</b> Ongoing : Inspector Dixon has been assigned to review the full profile of anomalous legislation as it impacts on BTP's ability to fulfil its mandate to provide a policing service for the rail network. This work is ongoing and will be structured to allow key priorities to be easily identified.	30-Jun-13						

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						<p><b>Action 3: Escalate the specific risk relating to the Road Traffic Act to the BTPA Strategic Risk Register to allow escalation to the DfT</b></p> <p>Action directed by Audit Committee following initial entry on BTP SRR. BTPA have required that a specific description of likely risk costs should be included in risk assessment when escalated. The risk entry should highlight the financial impact of any potential claims resulting from unlawful use of powers, and the strategic risk issues associated with being unable to effectively enforce legislation to offences committed at level crossings.</p> <p><b>Action 4: Monitor progress of the Anti-Social Behaviour, Crime and Policing Bill</b></p> <p>In progress: The Anti-Social Behaviour, Crime and Policing Bill was included in the Queens Speech which sets out the legislative programme for 2013-14. The Bill includes specific measures that will allow BTP to license Authorised Firearms Officers in the same way as territorial police forces.</p>	31-May-13						<p>Following discussion at BTPA Audit Committee, escalation of the specific risk case relating to S172 of the Road Traffic Act to the BTPA SRR was agreed.</p> <p>Within BTP, work has been initiated to describe the full profile of impacts on BTP where legislation has not catered for the special status of the force. The Queen's Speech included the Anti-Social Behaviour, Crime and Policing Bill. The Bill includes specific measures that will allow BTP to license Authorised Firearms Officers in the same way as territorial police forces.</p> <p>Monitoring of the progress of the Bill through Parliament has been identified as an action and is monitored via the following web address.</p>
Finance Director to the BTPA	Finance Director to the BTPA	ASR65	4	4	16	Open	The 2014-15 charging model imposes increased charges for some PSA holders who could subsequently challenge the model	31-Mar-14	30-Jun-14	2	4	8	<p>Project meetings are being held weekly to review progress and address any issues that have occurred. A decision log is being kept tracking all the key decision being taken. External verification of the model and the data being used has begun. Re-franchise date changes have been confirmed with DfT.</p> <p>Risk agreed for inclusion on SRR by BTPA Finance Director</p>