



BRITISH
TRANSPORT
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Strategic Risk Register

British Transport Police Authority &
British Transport Police

19 September 2016

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Publication History

Date	Version	Author	Changes
September 2016	0.1	Risk Management Coordinator, BTP	
September 2016	0.2	Risk Management Coordinator, BTP	Incorporation of changes required by BTP COG and BTPA Chair and Chief Executive
September 2016	1.0	Deputy Treasurer to BTPA	Incorporation of changes required by member of BTPA Audit and Risk Assurance Committee

The Strategic Risk Register is jointly owned by the Chief Constable of British Transport Police and the Chief Executive to the British Transport Police Authority.

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1. Introduction and Background

Risk assessment is a capability which underpins the work of the British Transport Police Authority (BTPA) and British Transport Police (BTP). The assessment of risk contained in the Strategic Risk Register lays the foundation for the development of work to prevent, mitigate respond to and recover from the recorded risks.

The joint Strategic Risk Register is made publically available to assist stakeholders and the travelling public in understanding the significant challengers currently facing BTPA and BTP.

Just because a risk is included in the Strategic Risk Register does not mean that it will happen, or that the impact would necessarily be as serious as the description provided. However, BTPA and BTP base our response, through planning on “reasonable worst case scenarios”, informed by historical and scientific data, modelling and professional expert judgement of both the likelihood and impact of a risk on the register.

Each risk is assigned a score for impact and likelihood. Impact is ranked from Limited (1) to Catastrophic (4) and likelihood by how likely it is to happen in the next five years. These two scores are combined to give an overall risk rating.

The joint Strategic Risk Register is designed to provide a summary of the current position for the main risks affecting both BTPA and BTP. BTP operate a system of risks registers for Divisions and Sub-Divisions and Portfolios and Headquarters Departments to manage sub-Strategic risks.



2. British Transport Police Strategic Risk Register – High Level Summary

INCREASING IMPACT	Failure to engage with Infrastructure Policing Project	BTP has insufficient awareness and preparedness to mitigate the impact of a terrorist attack		
	Insufficient Number of Authority Members	Failure in Employer's Duty of Care	Non-payment of PSA Charges by PSA-Holders	
		Failure in Employer's Duty of Care	Implementation of Emergency Services Mobile Communications Technology	
		Failure to Deliver Transformation Benefits		
		Failure to engage with Joint Programme Board in relation to railway policing in Scotland Non-compliance with the Management of Police Information Requirements and Data Protection Act 1998 Ability to Identify and Respond to Changes to Jurisdictional or Oversight Arrangements	Failure to Meet Strategic Objectives	Insufficient Financial Management of the BTP Fund
Increasing LIKELIHOOD				

3. Navigating the Strategic Risk Register

The joint Strategic Risk Register currently contains 12 strategic risks. These are grouped into four areas; Governance, Jurisdiction, Operational and People.

Each risk is assigned a unique Risk ID which relates to a more detailed and protectively marked, Individual Risk Assessment held on the British Transport Police 4Risk system.

Cause & Effect	Risk Owner	Inherent Risk Priority	Risk Control	Control Updated	Residual Risk Priority	Action Required Responsible Person Due Date
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4. Strategic Risk Register – Risks

Cause & Effect	Risk Owner	Inherent Risk Priority	Risk Control	Control Updated	Residual Risk Priority	Action Required	Person Responsible	To be implemented by
Non-compliance with the management of police information requirements and Data Protection Act 1998 Cause: Non compliance with MoPI and the Data protection act could arise from an inadequate information management strategy, policy and processes. Effect: This will result in severe loss of stakeholder confidence and BTP/A reputation. Non-compliance can also lead to heavy fines.	Chief Constable	I = 3 L = 2 Moderate (6)	BTP perform internal audits at every location on the management of information	24 Aug 2016	I = 2 L = 2 Moderate (4)	Results of GIAA internal audit review of Information Management to be presented to the Audit Committee.	Treasurer to BTPA	29 Nov 2016
			Operation Canberra project put in place to respond to immediate records management required	24 Aug 2016		Any non compliance identified within Force to be communicated up to quarterly Authority Audit and Risk Assurance Committee	Director of Capability and Resources	29 Nov 2016
			Information Governance Board responsible for governance of information management issues .	24 Aug 2016				
Failure in employer's duty of care Cause: A failure in BTP/A duty of care could occur as a result of weaknesses in the health and safety governance structure and ineffective management leading to increased accidents. Effect: This could have an adverse impact on the ability of the Authority to govern and create poor decision making.	Chief Executive to BTPA	I = 3 L = 3 High (9)	Central health and safety board in place to appropriately govern	24 Aug 2016	I = 3 L = 2 Moderate (6)	GIAA to be commissioned to perform an internal audit of health and safety - this will be reported to the Audit and Risk Committee	Treasurer to BTPA	31 Aug 2016
			A health and safety policy is in place	24 Aug 2016				
			Delivery of annual plan and BTP internal audit programme for H&S	24 Aug 2016				
Insufficient Financial Management of the BTP Fund Cause: Insufficient financial management of the BTP Fund Effect: This risk could result in loss of stakeholder confidence. It could have a financial impact if additional cost for responding to the risk is required.	Chief Executive to BTPA	I = 3 L = 4 High (12)	Forensic investigation undertaken to respond to weaknesses identified. The results have concluded that there is no evidence indicating fraudulent activity.	24 Aug 2016	I = 2 L = 3 Moderate (6)	GIAA to be commissioned to perform an internal audit on financial control implementation.	Treasurer to BTPA	31 Aug 2016
			Finance Action Plan presented to DfT indicated the action being taken to respond to the issues identified. Regular updates provided on progress made.	24 Aug 2016		Effectiveness of implementation to be measured and reported upon to the Authority	Finance Director to BTP	30 Sep 2016
						Two weekly Finance Action Plan sessions to continue the scrutiny of progress.	Treasurer to BTPA	30 Sep 2016
						Stakeholder management briefing regarding overspend for 15/16 to be prepared	Chief Executive to BTPA	30 Sep 2016

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Cause & Effect	Risk Owner	Inherent Risk Priority	Risk Control	Control Updated	Residual Risk Priority	Action Required	Person Responsible	To be implemented by
<p>Insufficient number of Authority members Cause: The quorum of Members required by the Railway and Transport Safety Act 2003 is an odd number and a minimum of 11 (maximum of 18). There could be delays in the new membership proceedings. Effect: This could have an adverse impact on the ability of the Authority to govern and create poor decision making.</p>	Chief Executive to BTPA	I = 3 L = 2 Moderate (6)	New members and a deputy chair recruitment to be completed by end of 2016	24 Aug 2016	I = 3 L = 1 Low (3)	Tracking of progress for recruitment to be made regularly through correspondence with DfT	Treasurer to BTPA	30 Sep 2016
			The Authority has now filled the Chair position and renewals for previous members have been made where appropriate.	24 Aug 2016				

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Cause & Effect	Risk Owner	Inherent Risk Priority	Risk Control	Control Updated	Residual Risk Priority	Action Required	Person Responsible	To be implemented by
Non-payment of PSA charges by PSA-holders Cause: There is an increasing level of challenge from PSA holders on the basis for charges. This challenge will increase with continuing issues with the recording of crime data and the decision by the Finance Committee to recover some of the 15/16 overspend from customers. Effect: PSA holders could legally challenge the Authority upon receipt of the actual PSA charges if they believe they have been over- or incorrectly charged. This could result in a judicial review of the charging mechanism. Financially, this would cause increased legal fees and a negative cashflow impact if income suspended.	Chief Executive to BTPA	I = 4 L = 3 High (12)	Early communication of actual and provisional charges to allow customers to incorporate into their forecasts	23 Aug 2016	I = 3 L = 3 High (9)	An assessment of the integrity of the output of data and impact of the ISP project results is required	Chief Executive to BTPA	20 Sep 2016
			Regular cash flow forecasting for the coming year now incorporates any ongoing issues with PSA holders into assumptions to allow early foresight of cash flow issues.	23 Aug 2016		GIAA (Internal Audit) to be requested to perform an audit of the charging model and inputs in 16/17	Treasurer to BTPA	31 Aug 2016
			BTPA employ an auditor to review crime allocation data	23 Aug 2016		The model will be run for Q1 and Q2 for 2016/17 to provide customers with an indication of final 2016/17 actual charges.	Financial Modeller & Analyst	31 Dec 2016
			Full analysis of the actual charges to ensure that any changes are fully understood and can be articulated to the PSA holders in a meaningful way.	23 Aug 2016		The Chief Executive and the Chief Constable will prepare a briefing note to have alongside meetings with all customers regarding the recovery of the 15/16 overspend	Chief Executive to BTPA	30 Sep 2016
			PSA holders pay PSA charges via a direct debit arrangement	23 Aug 2016				
Failure to engage with Infrastructure Policing Project Cause: Insufficient involvement and preparation to impact the Home Office Infrastructure Policing Project. Effect: BTP/A governance and structure could be adversely affected from a decision to incorporate BTP into infrastructure policing.	Chief Executive to BTPA	I = 4 L = 2 Moderate (8)	A maintained continuity of services has been stipulated- this has not been defined.	23 Aug 2016	I = 4 L = 1 Moderate (4)	Influencing of discussions being held at the National Police Chiefs Council and National Policing Transformation Board	Chief Executive to BTPA	31 Oct 2016
			A project group has been established at BTPA to commence work to promote the requirement of the BTP.	23 Aug 2016		Briefing on the promotion of BTP/A to the necessary bodies will be presented to the Authority.	Chief Policy Officer to BTPA	10 Nov 2016
			The Authority Chair attends the challenge panel	23 Aug 2016		The Chief Executive will attend the Evaluation panel	Chief Executive to BTPA	31 Oct 2016

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Cause & Effect	Risk Owner	Inherent Risk Priority	Risk Control	Control Updated	Residual Risk Priority	Action Required	Person Responsible	To be implemented by
<p>Failure to engage effectively with the Joint Programme Board transferring the BTP role in Scotland to the Scottish Police Authority</p> <p>Cause: Insufficient involvement and preparation to impact the transfer of BTPs responsibility for policing that railways to Scotland to Police Scotland.</p> <p>Effect: There may be a delay in meeting the government intent. Lack of preparation could lead to an increase in costs or inability to recover income due. This could therefore cause an increase in costs to PSA holders.</p>	Chief Executive to BTPA	I = 3 L = 3 High (9)	BTP/A has membership in the Joint Improvement Team	23 Aug 2016	I = 2 L = 2 Moderate (4)	The Authority should be updated on any key communication at each quarterly meeting.	Chief Policy Officer to BTPA	10 Nov 2016
			A project manager will be employed by BTPA to manage the preparation and development phase	23 Aug 2016		Input into the legislative element of the process to avoid future costs to BTP/A is a priority for the project team.	Chief Executive to BTPA	30 Oct 2016

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Cause & Effect	Risk Owner	Inherent Risk Priority	Risk Control	Control Updated	Residual Risk Priority	Action Required	Person Responsible	To be implemented by
<p>Ability to Identify and Respond to Changes to Jurisdictional or Oversight Arrangements</p> <p>Cause: Failure to identify, recognise and engage with changes to jurisdictional and/or governance arrangements Identified current issues include: - the engagement with the Joint Programme Board transferring the BTP role in Scotland to the Scottish Police Authority -the engagement with the Infrastructure Policing Project</p> <p>Effect: Results in the failure to ensure that policing of the railway receives recognition as a specialism in its own right, with a subsequent diminution of service level or increase in costs to the rail industry and PSA holders.</p>	Chief Executive to BTPA	I = 3 L = 3 High (9)	A project group has been established at BTPA to commence work to promote the requirement of the BTP in relation to the Infrastructure Policing Project	31 Aug 2016	I = 2 L = 2 Moderate (4)	Maintain oversight and influence over the development of the transfer of responsibilities to Police Scotland in relation to the rail network in order to: protect the requirements of the rail industry ensure that costs charged to the rail industry as a result of the transfer are minimised	Chief Executive to BTPA	31 Mar 2019
			Inclusion of the Chair to the BTPA on the Infrastructure Policing Project challenge panel	31 Aug 2016		The Chief Executive will attend the Evaluation Panel on the Infrastructure Project	Chief Executive to BTPA	31 Mar 2017
			A project manager will be employed by BTPA to manage the preparation and development phase of the transfer of responsibility from BTPA to the Scottish Police Authority	31 Aug 2016		The project team to provide an immediate input into the legislative element of the Scotland process	Chief Policy Officer to BTPA	31 Mar 2017
			A maintained continuity of services has been stipulated in relation to the Infrastructure Policing Project - However, this has not been defined.	31 Aug 2016		Ensure that the view of BTP and BTPA, and the needs of the rail industry are fully considered in respect of the IPP by the National Police Chiefs Council and National Policing Transformation Board	Chief Executive to BTPA	31 Mar 2017
			BTP/A has membership in the Joint Improvement Team overseeing the transfer of responsibility of policing the rail network in Scotland to Police Scotland	31 Aug 2016				

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Cause & Effect	Risk Owner	Inherent Risk Priority	Risk Control	Control Updated	Residual Risk Priority	Action Required	Person Responsible	To be implemented by
<p>BTP has insufficient awareness and preparedness to mitigate the impact of a terrorist attack</p> <p>Cause: The ever changing intent and attack methodology of international terrorist groups</p> <p>Effect: The result could be loss of life, damage to critical national infrastructure and the loss of public and stakeholder confidence.</p>	Chief Constable	I = 4 L = 3 High (12)	A dedicated Counter-Terrorism Support Unit	31 Aug 2016	I = 4 L = 2 Moderate (8)	Regular assessment of capability in the context of a change counter terrorism environment and threat - reported to the Authority on a quarterly basis.	ACC Operations	28 Sep 2016
			Constant dynamic review of capability and capacity	19 Sep 2016				
			The existence of a fully tested and assured Go Critical plan	31 Aug 2016				
			Compliance with National Railways Security Programme.	23 Aug 2016				
			Ensuring an appropriate proportion of operational resources is deployed to Counter-Terrorism activities as determined by the STRA	31 Aug 2016				
			A programme of dynamic assessments of the operating environment	31 Aug 2016				
			Working in partnership with other police forces and relevant agencies to discharge BTP duties under the Strategic Policing requirement	31 Aug 2016				
			CT Strategic Threat and Risk Assessment in place and subject	19 Sep 2016				
			The focus of operational response on locations identified by the Strategic Risk and Threat Assessment (STRA)	31 Aug 2016				
			Access to and the utilisation of national intelligence – embedded in the national CT network	19 Sep 2016				

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Cause & Effect	Risk Owner	Inherent Risk Priority	Risk Control	Control Updated	Residual Risk Priority	Action Required	Person Responsible	To be implemented by
<p>Failure to meet strategic objectives</p> <p>Cause: The underpinning assumptions of the 2013-2019 Strategic Plan become irrelevant as a result of changes in the operating environment. (Eg due to changes in the threat of terrorism, funding arrangements, demand and legislative changes)</p> <p>Effect: Result in a perception of a reduction in the service provided to the rail industry and consequent loss of stakeholder confidence.</p>	Chief Executive to BTPA	I = 3 L = 3 High (9)	<p>Managing the expectations of the industry via communication with RDG groups and associated heads of security.</p> <p>The Authority Chair is holding meetings with all key stakeholders</p> <p>Maintaining investment in improving productivity and effectiveness.</p> <p>Ensuring the appropriate review of the annual policing plans to deliver strategic objectives.</p>	<p>23 Aug 2016</p> <p>23 Aug 2016</p> <p>23 Aug 2016</p> <p>23 Aug 2016</p>	I = 2 L = 3 Moderate (6)	<p>Refine the strategic objectives within the governance review working group such that they meet stakeholder expectations and are achievable.</p>	Chief Executive to BTPA	31 Oct 2016

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Cause & Effect	Risk Owner	Inherent Risk Priority	Risk Control	Control Updated	Residual Risk Priority	Action Required	Person Responsible	To be implemented by
<p>Failure to deliver effective transformation diminishes operational benefit and progress against Strategic Objectives</p> <p>Cause: Failure to deliver transformation benefits and embed necessary changes</p> <p>Effect: If transformation activities are not appropriately tracked or managed, the whole or part of the transformation could fail or benefits not achieved. The result could be an increase in costs and therefore a shortfall in funding or lack of increase in frontline capability. Officer and staff morale could also be negatively affected.</p>	Chief Constable	I = 3 L = 4 High (12)	Employment of external expertise where in house skills are not available.	24 Aug 2016	I = 3 L = 3 High (9)	Method of measuring benefits to be established	Deputy Chief Constable	30 Sep 2016
			Adoption of the HM Treasury 5 stage Business Case model	31 Aug 2016		Tracking of inter-dependencies of projects	Deputy Chief Constable	30 Sep 2016
			Effective programme and project management overseen by SIB and Finance Committee	24 Aug 2016		Development of in-house skills to be performed to reduce reliance on third party consultants	Director of Capability and Resources	31 Mar 2017
			Rigorous enforcement of governance and approval processes through Service Improvement Board (SIB)	31 Aug 2016		Benefit realisation work required	Director of Capability and Resources	31 Mar 2017
			Early identification of remedy of risks to delivery	24 Aug 2016		Development of efficiency and effectiveness measurements to review performance	Director of Capability and Resources	31 Mar 2017
			Provision of training and guidance for COG and BTPA members, and Senior Responsible Owners (SRO) as to responsibilities and obligations relating to project and programme management	31 Aug 2016		HMIC to perform a review of Efficiency in the 16/17 inspection plan	Treasurer to BTPA	30 Sep 2016
			Introduction and agreement of, contingency plans for projects where there is potential for imprecise costing at the business case stage	31 Aug 2016		Preparation for the October Efficiency Plan at DfT to commence. Authority to be	Director of Capability and Resources	20 Sep 2016
			Setting, and agreement of clear parameters for projects and programmes at the initial stage	31 Aug 2016		Implementation of a more integrated MTFP progress-combining both operational and	Finance Director to BTP	31 Dec 2016
						Ensure appropriate implementation of Crime and Demand review	Director of Capability and Resources	31 Dec 2016
						Reporting of Finance Action Plan progress to the Finance Committee.	Finance Director to BTP	31 Mar 2017

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Cause & Effect	Risk Owner	Inherent Risk Priority	Risk Control	Control Updated	Residual Risk Priority	Action Required	Person Responsible	To be implemented by
Implementation of Emergency Services Mobile Communications Technology Cause: DfT did not sign up with the Home Office and Department of Health to initiate project and consider how to fund its initial stages. The down payment required for the project must now be recovered from BTP and others. Effect: If the surcharge must be recovered from BTP/A the timing permitted for payment will have significant implications on budget and consequently operations.	Chief Executive to BTPA	I = 3 L = 3 High (9)	The impact of potential costs will be included in the MTFP workings to quantify the potential impact over the next few years.	23 Aug 2016	I = 3 L = 3 High (9)	This issue will be elevated to the Accounting Officer at DfT once the value for money exercise has been undertaken.	Chief Executive to BTPA	31 Dec 2016
			Identification required of the rationale for the surcharge in congruence with the DfT's dispute with the Home Office	23 Aug 2016		Consider not signing up to the project on offered terms (may well have operational implications)	Chief Executive to BTPA	30 Sep 2016

5. Sub-Strategic Risks held by BTP
Chief Constable

Impact of Criminal Justice (Scotland) Act

ACC Crime (B)

Funding for Suicide Prevention and Mental Health Team

Mobile Policing Project

Loss of Network Rail Funding for CCTV

Director of Capability and Resources

Disaster Recovery

Failure to Deliver PSN-P Compliance

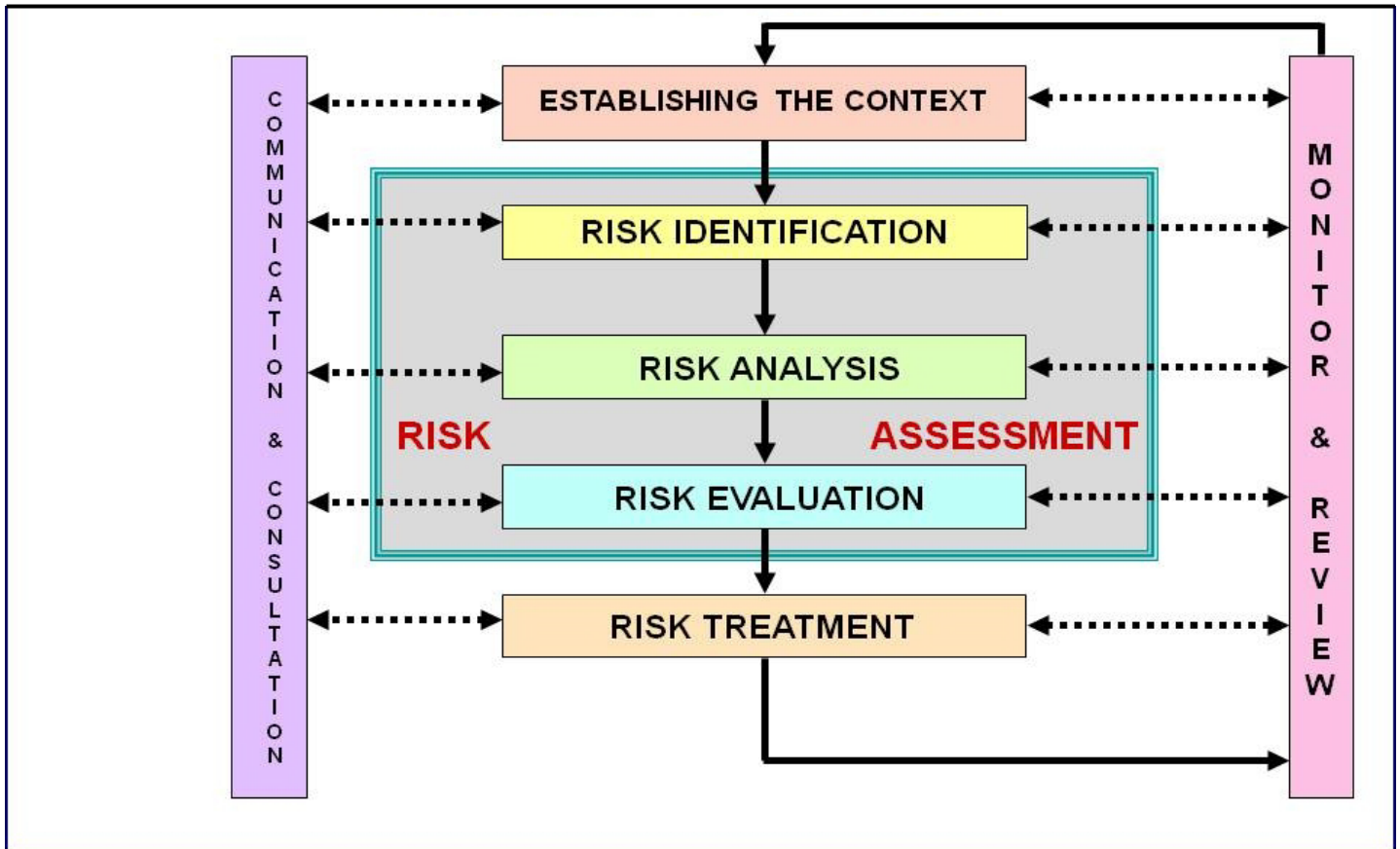
Failure of Contract Owners and SRO's to Manage Contract Risks

Failure to Maintain Expenditure within 2016-17 Budget Envelope

6. Heat Map of Operational Risks Managed Across BTP and BTPA

4	5	8	2	2	2	2	1	3	1			
3	4	17	28	30	8	17	11	13	8	9	5	
2	9	9	7		4	25	8	2	7	21	4	
1	1	7	2		10	8			37	11	1	
	1	2	3	4	1	2	3	4	1	2	3	4
	Inherent or Original Risk Rating				Residual or Current Risk Rating				Target Risk Rating			
	Likelihood Increasing on Horizontal Axis on Each Heat Map Impact Increasing Vertically											

Appendix A
The Risk Assessment Process



Impact and Likelihood scoring scales

Likelihood of risk happening in the next 3 year period or lifetime of the Project		
1	Remote	Unlikely to happen within 3 years under normal circumstances, or requires a specific and unlikely chain of events to occur to happen For Project risks, Unlikely to happen within the project lifetime under normal circumstances
2	Possible	Could happen within 3 years under normal circumstances, or will happen within this timeframe unless specific action is taken to counter it For Project risks, Could happen within the project lifetime under normal circumstances
3	Probable	Is likely to happen within 3 years under normal circumstances, or will happen within a year unless specific action is taken to counter it For Project Risks, Is likely to happen within the project lifetime under normal circumstances
4	Probable and Imminent	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 For Project risks, is almost certain to happen within the project lifetime

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Impact Scores for Identified Risks				
	Safety	Reputation	Performance and Service	Financial
1	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 department / Area / Project budget incurred or loss of funds to that amount
2	Serious injury	Major localised specific Area but short term 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	Costs of 5-10% of department / Area / Project budget incurred or loss funds to that amount.
3	Single fatality	Major short -term damage caused by adverse National press coverage	Fail to achieve a key objective, Or Stakeholders write or minute their concern over significant drop in service level in several Divisions or Portfolios	Costs of 10-25% of department / Area/ Project budget incurred or loss of funds to that amount.
4	Multiple fatalities	Major damage to reputation cause by sustained adverse national coverage. Possible Resignations	Fail to achieve several key objectives, Or Formal written notification to the Chief Constable of grave concern by stakeholders.	Costs of £5M or more incurred or loss of funds to that amount

Likelihood and Impact ratings are combined to give an overall risk rating which will be between 1 for improbable low impact risks and 16 for almost unavoidable high impact events

Risk Matrix with Criticality Scores (1 to 16): Score = Probability x Impact

←Probability ↑	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
	Impact →	Minor 1	Moderate 2	Significant 3	Major 4

High risk 9-16 criticality score
 Medium Risk 4 -8 criticality score
 Low risk 1-3 criticality score



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