

[1 June 2023] Agenda Pack / Scottish Railways Policing Committee

MEETING
1 June 2023 11:00 BST

PUBLISHED
26 May 2023

Agenda

Location	Date	Time		
Hybrid / COSLA Conference Centre, Verity House, 19 Haymarket Yards, Edinburgh, EH12 5BH and Microsoft Teams	1 Jun 2023	11:00		
Item	Owner	Time	Page	
1 Apologies	Chair	11:00	—	
2 Declarations of Interest	All		—	
3 Minutes	Chair		3	
4 Actions	Chair		13	
5 Strategic Risk Overview	Chief Executive		16	
6 Operational Performance			—	
6.1 Policing Plan Performance Q4 2022/23	Chief Superintendent	11:15	36	
6.2 Joint Working - Police Scotland, British Transport Police and Industry	Chief Superintendent	11:35	42	
6.3 Crime Prevention Strategy 2022/2027	Assistant Chief Constable	11:40	47	
7 Strategy, Planning and Thematic Items			—	
7.1 Thematic: Transport Focus in Scotland	Transport Focus	11:55	—	
7.2 BTP Update on Passenger and Staff Survey Activity	Head of Analytics	12:15	50	
7.3 Industry Voice	Head of Strategy, Planning and Engagement	12:30	—	
7.4 [Background Paper] Policing Plan Refresh 2023/26	Head of Strategy, Planning and Engagement	12:45	51	
Recommended Break		12:50	—	
8 Audit, Inspection and Governance Items			—	
8.1 Audit and Inspection Report Q4 2022/23	Deputy Chief Constable	12:55	55	
8.2 GIAA Workplan 2023/24	Head of Internal Audit	13:15	59	
8.3 Committee Workplan 2023/24	Head of Strategy, Planning and Engagement	13:25	84	
8.4 Committee Terms of Reference	Head of Strategy, Planning and Engagement	13:30	86	
8.5 Evaluation Framework	Analyst	13:35	92	
9 Any Other Business	All		—	
10 Meeting Evaluation	Tom Halpin	13:45	—	

Minutes

Scottish Railways Policing Committee

Thursday 2 March 2023 at 11.00am at the Scottish Police Authority, 1 Pacific Quay, Glasgow, G51 1DZ and via Microsoft Teams

Present:

Bill Matthews (Chair)
Willie Gallagher
Kenna Kintrea
Tom Halpin (SPA Co-Opted Member)
Mary Pitcaithly (SPA Co-Opted Member)

Apologies:

None

In attendance:

British Transport Police Authority

Ron Barclay-Smith (BTPA Chair) (Observer)

British Transport Police Authority Executive

Hugh Ind (Chief Executive)
Sam Elvy (Head of Strategy, Planning and Engagement)
Jon Newton (Analyst)
Alistair MacLellan (Board Secretary / Minutes)

British Transport Police

Allan Gregory (Assistant Chief Constable)
Gill Murray (Chief Superintendent)
Fiona Chalmers (Researcher)
Simon Graham (Contact Manager) *from Item 6.3*
Victoria Graham (Staff Officer, D Division)
Emma Manno (Corporate Communications Manager)
Calum McNairney (External Affairs Advisor)
Vanita Patel (Head of Analytics)
Johnny Shilton (Head of External Affairs)

Scottish Police Authority Corporate

Amanda Coulthard (Head of Strategy and Performance)
Lesley Carnegie (Performance and Impact Lead)

Police Scotland

Mark Williams (Assistant Chief Constable) *from Item 6.3*

External

Martin Conroy (Caledonian Sleeper)
Stephen Elliot (ScotRail)
Mike Jackson (Scottish Government)
Brian McNulty (His Majesty's Inspectorate of Constabulary in Scotland)
Billy Menzies (Caledonian Sleeper)
Billy Newbigging (Serco)
Peter Williams (Network Rail)

Apologies

Agenda Item 1

1. There were no apologies.

Declarations of Interest

Agenda Item 2

2. There were no declarations of interest.

Minutes

Agenda Item 3

3. **RESOLVED**, that subject to correction of a term to *Strathclyde Partnership for Transport* at paragraph 20(a), the minutes of the meeting held on 13 December 2022 be approved.

Actions

Agenda Item 4

4. Members considered a report of the Board Secretary regarding actions arising from previous meetings and the following points were made.
 - a. Members noted Action 18/2022 (Cyber Attack) remained open.
 - b. Members noted that an item involving Transport Focus (Action 22/2022) had been deferred to a future meeting.
 - c. Members agreed that Action 17/2022, 19/2022, 20/2022, 21/2022 and 22/2022 (noting the comment made regarding Transport Focus) could be closed.
5. **RESOLVED**, that the report be noted.

Risk Profile

Agenda Item 5

6. Members considered the risk profile and associated cover report and the following points were made.
 - a. The Chief Executive introduced the risk profile, noting the scrutiny provided at peer BTPA Committee detailed in the cover report. The Chief Executive noted that Technology and Legitimacy were both Red rated (the latter was inaccurately recorded as Amber).
 - b. The Chief Executive continued, noting that the Legitimacy risk was addressed in part on the agenda that day through Item 7.1 (Professionalism), and the Partnership Working risk was informed by the Committee's emerging engagement with industry through Item 7.3 (Industry Voice). The Chief Executive concluded by noting that whilst the Partnership Working risk was scored Amber, it was incumbent on the Authority to ensure further mitigation activity was delivered.
 - c. Members requested that the BTPA Executive give some thought to how the Committee could better scrutinise Scotland-specific elements of the risk profile. Members acknowledged this would require careful review to ensure risk oversight remained streamlined and effective (Action 1/2023).
 - d. In response to a question, the Chief Executive noted that recruitment was a key mitigation for the red rated Technology risk, and that once recruitment had been completed that risk should be managed down to Amber.
7. **RESOLVED**, that the risk profile and associated cover report be noted.

Operational Performance

Agenda Item 6

Policing Plan Performance Q3 2022/23

Agenda Item 6.1

8. Members considered the Policing Plan Performance Q3 2022/23 report and the following points were made.
 - a. The Chief Superintendent introduced the report and noted,
 - i. The impact of reduced footfall over the Christmas period due to strike action, seen in the decrease in recorded crime and incidents.
 - ii. There was a new cohort of 17 probationers undergoing training at Scottish Police College.

- iii. Diversity of first line management had improved, with 30% of Sergeants female including 3 performing higher grade duties.
 - iv. Violent crime remained significant, with a slight increase in overall trend for violent crime against rail staff, which nevertheless had started to reduce towards end Q3.
 - v. There had been an increase in football offences for the current year albeit Q3 offences were down on year.
 - vi. 41 Members of Scottish Parliament (MSPs) had supported a motion regarding the Railway Guardian app.
 - vii. Whereas trespass incidents were down, the level of mental health-related trespass incidents had increased.
- b. In response to a question, the Chief Superintendent confirmed that she was liaising with both D-Division's Independent Advisory Group and with Police Scotland with regards to improving black and minority ethnic (BAME) recruitment.
- c. The Assistant Chief Constable noted the effectiveness of on-train CCTV in supporting effective investigations; and added that whereas a reduction in disruption incidents was heartening, Members should note that the associated minutes lost were a harder factor for the Force to control due to the complexity of some incidents.
- d. The Chair noted that British Transport Police Authority Members had recently been briefed on BTPs response to suicide and mental health and suggested this could be an item for scrutiny at a future meeting (Action 2/2023).
- e. In response to a question, the Chief Superintendent noted that there was an improved uptake on body-worn video by rail staff.
- f. The Chair noted the disproportionate percentage impact of a small number of incidents on overall performance reporting and suggested that future reporting could provide trend data for Members to mitigate this (Action 3/2023).
- g. A Member noted that recent survey activity by Transport Focus had revealed that punctuality and reliability on the network were key considerations for the travelling public, and therefore trespass should be a key focus for the Force. This observation prompted the following exchanges.

- i. The Chief Superintendent noted both the challenging geography in Scotland, with some incidents located far from police posts. Moreover, single incidents on main routes such as Edinburgh/Glasgow had disproportionate impact on minutes lost.
- ii. In response to a question, the Chief Superintendent noted that Network Rail had a drone capability, but that drones were not utilised for BTP policing purposes in Scotland.
- iii. Members acknowledged that any Force response to Trespass would require collaborative working with industry and agreed that it would perhaps be helpful for the Chair to write to industry stakeholders in support of the Force's efforts (Action 4/2023).
- iv. Members recommended that the Force bring a short plan-on-a-page – perhaps authored by the Force's disruption lead – on how the Force could with the collaboration of industry further mitigate the impact of Trespass (Action 5/2023).

9. **RESOLVED**, that the report be noted.

Joint Working – Police Scotland and British Transport Police

Agenda Item 6.2

10. **RESOLVED**, that the report on joint working between Police Scotland and British Transport Police be noted.

Force Crime Assessment and Allocation Policy

Agenda Item 6.3

11. Members considered a report sponsored by a British Transport Police Assistant Chief Constable regarding the British Transport Police Force Crime Assessment and Allocation Policy, and the following points were made.

- a. The Assistant Chief Constable acknowledged that there could be some sensitivity in some quarters to the Force's approach to screening out e.g. acquisitive crime, with a view to focusing on high threat, risk and harm offences.
- b. In response to a question, the Contact Management noted that the Force's Crime and Incident Registrar provided a degree of assurance on the Force's approach under its Force Crime Assessment and Allocation Policy, but this assurance was not independent.
- c. In response to an observation, the Chief Executive agreed there was potential to adopt artificial intelligence solutions to screening crime, albeit any such solutions would need the support of industry given the scale of

required investment. Moreover there were sensitivities in the use of AI e.g. facial recognition.

12. **RESOLVED**, that the report be noted.

Strategy, Planning and Thematic Items

Agenda Item 7

Professionalism

Agenda Item 7.1

13. Members considered a report sponsored by the BTPA Chief Executive regarding Professionalism and the following points were made.

- a. The Chief Executive introduced the report, noting there were areas of commonality between the report and reporting made to the Scottish Police Authority's Complaints and Conduct Committee on 1 March 2023 e.g. an uplift in vetting resources and activity.
- b. The Chief Executive continued, noting that where the British Transport Police Authority was distinct was that it was the legal employer and moreover had some latitude to act on professionalism matters under the Railways and Transport Safety Act 2003. That said, the BTPA had an ambition to be aligned with wider policing practice.
- c. A Member welcomed the report but noted that much of the activity described, whilst important, was transactional. He therefore queried what was being done to seek assurance that *culture* within the Force was changing for the better as a result of the activity described. In reply, both the Chief Executive and the Assistant Chief Constable acknowledged that cultural change was a key outcome of the listed activity that nevertheless risked being hard to describe without careful thought being given to appropriate metrics. That said, the Chief Executive noted that in his view Force senior leadership was giving unequivocal messaging on the prime importance of professionalism.
- d. A Member commented that it would be helpful for the Committee to monitor Force conduct and disciplinary matters in Scotland in some way e.g. dismissals, suspensions and restricted duties (Action 6/2023)
- e. A Member commented that professionalism-related issues should be discussed as far as was possible in public session.
- f. The Chair of the British Transport Police Authority (attending as an observer) noted he had visited the Force's Professional Standards Department on 1 March 2023 to discuss the data wash of previous vetting

exercises. He noted the recognition he perceived with within the Force of the importance of cultural change.

14. **RESOLVED**, that the report be noted.

***A Force on the Move* Programme Update**

Agenda Item 7.2

15. Members considered an update report sponsored by a British Transport Police Assistant Chief Constable regarding *A Force on the Move*.

16. **RESOLVED**, that the report be noted.

Industry Voice

Agenda Item 7.3

17. Members considered a report sponsored by the Chair of the Committee regarding Industry Voice and the following points were made.

- a. The Head of Strategy, Planning and Engagement introduced the report and welcomed rail industry representatives who were present as observers.
- b. The Head of Strategy, Planning and Engagement continued, noting that feedback from industry to date included the importance of resolving trespass (discussed earlier on the agenda), and the Force's *Layers and Spans* proposals regarding its senior rank structures and the potential impact that would have on command resilience in Scotland.
- c. The Chair concluded the item by noting Committee colleagues had been consulted on *Layers and Spans* on 20 January 2023 and, following internal approvals within the Force, a further stakeholder session would be held on 20 March 2023.

18. **RESOLVED**, that the report be noted.

Audit, Inspection and Governance Items

Agenda Item 8

Audit and Inspection Report Q3 2022/23

Agenda Item 8.1

19. Members considered the Audit and Inspection Report Q3 2022/23 and the following points were made.

- a. The Assistant Chief Constable noted that no open audit and inspection recommendations applied to the Force in Scotland.

- b. The Assistant Chief Constable concluded by noting that the Government Internal Audit Agency (GIAA) had been asked to ensure its 2023/24 Internal Audit activity included fieldwork in Scotland.

20. **RESOLVED**, that the report be noted.

Committee Workplan 2022/23

Agenda Item 8.2

21. Members considered the Committee Workplan 2022/23 and the following points were made.

- a. The Head of Strategy, Planning and Engagement noted that a proposed thematic involving Transport Focus had been deferred until the June 2023 meeting.

22. **RESOLVED**, that the Committee Workplan 2022/23 be noted.

Evaluation Framework

Agenda Item 8.3

23. Members considered the Evaluation Framework and the following points were made.

- a. The Chair noted that he was due to provide a written update to the Convenor of the Criminal Justice Committee and would do so prior to his term ending in April 2023 (Action 7/2023).
- b. The Committee suggested that the BTPA Executive review whether Measure 3.3 (evidence of joint working and engagement with stakeholders) was Green or Amber (Action 8/2023).

24. **RESOLVED**, that the Evaluation Framework be noted.

Any Other Business

Agenda Item 9

25. There were three items of other business.

Interim Chair – Scottish Railways Policing Committee

- a. The Chair of the British Transport Police Authority noted that Bill Matthews' term was due to finish at end of April 2023. In the event a new BTPA Member for Scotland not being recruited and onboarded in time, the Chair noted his intent to chair the Scottish Railways Policing Committee on an interim basis for its 1 June 2023 meeting.

British Transport Police Authority Member Recruitment

- b. The Chair of the British Transport Police Authority continued, noting that Department for Transport had gone out to advert for new BTPA Members. He encouraged all present to advertise the vacancies through their own networks and noted his desire for as diverse a field of candidates as possible.

Thanks to Bill Matthews

- c. Ron Barclay-Smith, Chair of the British Transport Police Authority, concluded by placing on record his thanks to Bill Matthews for his service as a Member of the British Transport Police Authority since 2012, and for being the inaugural chair of the Scottish Railways Policing Committee since its establishment in 2019. The Chair thanked Bill for his outstanding service on the British Transport Police Authority and noted on a personal level that he would miss Bill's advice and counsel once his BTPA term concluded at the end of April 2023.
- d. Tom Halpin, on behalf of the Scottish Police Authority, echoed Ron Barclay-Smith's remarks and placed on record his own thanks, noting that Bill had steered the Committee in a way that included all stakeholders involved in policing the railways in Scotland.

Meeting Evaluation

Agenda Item 10

26. Willie Gallagher delivered an evaluation of the meeting and the following points were made.
 - a. The Committee Evaluation Framework provided evidence of a mature and collaborative approach to the Committee's business.
 - b. It has been a positive meeting during which some weighty issues had been discussed.
 - c. More thought could be given to ensuring agenda items had adequate time for discussion.

Exclusion of the Public

Agenda Item 11

27. Members noted they had no substantive points to make on the non-public minutes or any other business to raise in non-public session. It was therefore not necessary to exclude the public.

Non-Public Minutes

Agenda Item 12

28. **RESOLVED**, that the non-public minutes of the meeting held on 13 December 2022 be approved.

Any Other Business in Non-Public Session

Agenda Item 13

29. There was no other business in non-public session.

The meeting ended at 1.00pm

DRAFT

ITEMS FOR ACTION

SCOTTISH RAILWAYS POLICING COMMITTEE

No.	Date	Action/Paper	Owner	Outcome
18/2022	13 December 2022	The Committee agreed it would be appropriate for BTPA/SPA and their respective Forces to liaise to determine how best to define who was responsible for policing a cyber-attack on railway infrastructure and providers	Head of Strategy, Planning and Engagement	<p>In Progress</p> <p>Initial meeting between BTP/PSOS/SPA and BTPA took place on 24 April where PSOS and BTP operational leads were introduced and explored a way forward. Follow up meeting to be arranged on next steps re;</p> <ul style="list-style-type: none"> - Ensuring maps of current roles and responsibilities with respect to cyber are up to date (for BTP/PSOS and within the wider national and international cyber intel/response structures) - A proposal to update the BTP/PSOS MOU with respect to cyber response - Establishing a refreshed system of desktop/hydra exercises - Assuring ourselves that we are working via the right for a on strategic level conversations about strategic threat and risk assessments/responses <p>Date to be confirmed for June 2023.</p>

ITEMS FOR DISCUSSION

SCOTTISH RAILWAYS POLICING COMMITTEE

1/2023	2 March 2023	Members requested that the BTPA Executive give some thought to how the Committee could better scrutinise Scotland-specific elements of the risk profile. Members acknowledged this would require careful review to ensure risk oversight remained streamlined and effective.	Chief Executive	In Progress BTPA have adopted a refreshed oversight of strategic risk from May 2023. This results in Committees seeing more detailed strategic risk register entries for the specific risks they own, rather than a general risk profile of all risks as previously. Overview of all risks is restricted to Audit and Risk Assurance Committee and Full Authority. That said, given its overview of railways policing in Scotland, Scottish Railways Policing Committee will receive a version of the overall risk product that is submitted to Audit and Risk Assurance Committee/Full Authority. BTPA Executive will continue to work to establish how this product can best reflect risk for SRPCs context.
2/2023	2 March 2023	The Chair noted that British Transport Police Authority Members had recently been briefed on BTPs response to suicide and mental health and suggested this could be an item for scrutiny at a future meeting.	Head of Strategy, Planning and Engagement	Completed Added to Committee Workplan
3/2023	2 March 2023	The Chair noted the disproportionate percentage impact of a small number of incidents on overall performance reporting and	Head of Analytics	Completed Incorporated into commissioning note for 1

ITEMS FOR DISCUSSION

SCOTTISH RAILWAYS POLICING COMMITTEE

		suggested that future reporting could provide trend data for Members to mitigate this.		June 2023 meeting. Members to advise whether they are content with end-product.
4/2023	2 March 2023	Members acknowledged that any Force response to Trespass would require collaborative working with industry and agreed that it would perhaps be helpful for the Chair to write to industry stakeholders in support of the Force's efforts.	Head of Strategy, Planning and Engagement	Recommended for Closure Chief Superintendent received industry confirmation on 30 March 2023 that revised 5-year business case to reduce disruption is in development and Force is welcome to feed into planning. Letter from Chair not required.
5/2023	2 March 2023	Members recommended that the Force bring a short plan-on-a-page – perhaps authored by the Force's disruption lead – on how the Force could with the collaboration of industry further mitigate the impact of Trespass.	Chief Superintendent	Completed Added to Committee Workplan (September 2023)
6/2023	2 March 2023	A Member commented that it would be helpful for the Committee to monitor Force conduct and disciplinary matters in Scotland in some way e.g. dismissals, suspensions and restricted duties.	Co-Head of Governance and Compliance	Completed Added to Committee Workplan
7/2023	2 March 2023	The Chair noted that he was due to provide a written update to the Convener of the Criminal Justice Committee and would do so prior to his term ending in April 2023	Head of Strategy, Planning and Engagement	Completed Final letter from outgoing Chair sent to Convener on 12 th April
8/2023	2 March 2023	The Committee suggested that the BTPA Executive review whether Measure 3.3 (evidence of joint working and engagement with stakeholders) of the Evaluation Framework was Green or Amber.	Analyst	Completed Incorporated into Evaluation Framework submitted to June 2023 meeting



BTP/A Joint Strategic Risk Register

1 June 2023

Official

OFFICIAL

Technology

Strategic Risks	Risk Scores														Risk Appetite	Next 6 Months	Next 1-3 years	Owner
	25	20	16	15	12	10	9	8	6	5	4	3	2	1				
Technology: Failure to deliver an appropriate and effective digitalised police service due to lack of a robust and well-managed strategic plan, funding, capacity and capability, leading to disengagement of staff, operational challenges and financial loss.	I				R	P/T									Cautious	↓	↓	CC

Narrative: The score for this strategic risk has reduced this quarter. This is due to a review of the controls and further actions to align them to the Fixing the Fundamentals Delivery Plan.

The operating model for technology has been enhanced by the Fixing the Fundamentals programme. The new departmental structure is now in place and recruitment is underway to effectively fully resource our new structure. We have 28 people in vetting and are progressing with the remaining vacancies. SFIA pay review is now in progress to align skills and pay to market rates, this will progress throughout 2023. This will bring the previously under resourced technology department in line with sufficient resource needed to operate at the bare baseline minimum.

Additionally, recruitment is also underway for a reduced Technology CADRE resource pool (5 of the 13 initial vacancies have been handed back) to adopt these new technologies and make improvements.

Technology

<u>Risk Causes</u>	<u>Risk Controls</u>														
<ol style="list-style-type: none"> 1. Lack of control around FoTM programmes adhering to the relevant technology governance processes 2. Lack of Capital Investment to remove legacy assets, and modernise IT platforms & EUC Devices 3. Lack of organisational resource and/or capability to deliver and operate the FoTM strategic objectives 4. Unclear strategic direction for the DDaT functions within BTP aligned to the FoTM Strategic Intent 5. Lack of formal processes to ensure strong governance and assurance across our Programme Delivery and Operations 6. Lack of Senior Buy-In/Engagement to the relevant risks to be managed within the DDaT function 	<p>Digital Policing Board in place to prioritise digital innovations and allocate funding</p> <p>Annual ITHC in place to enable accreditation to key Home Office systems e.g. PNC, PND, Airwave</p> <p>Dedicated Digital Policing Team in place to manage digital ambition and measure the benefits of digital delivery</p> <p>Fixing the Fundamentals Strategy approved and full funding agreed by COG to stabilise and improve IT infrastructure</p> <p>Implementation of End User Compute Plan to provide officers/staff with the right technology for their needs</p> <p>IT Change Board in place to consider impact of changes to IT systems</p> <p>PCIB hold ownership of all project approvals and workload prioritisation involving technology/digital/data/IM function</p> <p>PMO cyclical replacement forecast and plan agreed and budgeted</p> <p>Proactive management of core IT suppliers (Microsoft, Vodafone, Oracle) to ensure financial control and optimisation. Contract Management Plans are in place with owners receiving Contract Management training.</p> <p>Recruitment and development strategy in place to support IT Strategy & Delivery Plan</p> <p>Reliability, Availability, Serviceability (RAS) Strategy approved by COG setting about approach to stabilise and improve IT infrastructure</p>														
<u>Risk Effects</u>	<u>Risk Further Actions</u>														
<ol style="list-style-type: none"> 1. Significant operational policing disruption due to continual IT instability/outages 2. Significant Cyber Attack causing significant impact (financially, operationally, reputationally) to BTP 3. Increasing financial challenges around the operating costs of our IT estate (licensing, consumption, replenishment) 4. Loss of core police application access (PNC/PND/Airwave) if accreditation is not sustained 5. Significant loss of IT services due to lack of business continuity maturity 6. Continual impact on employee wellbeing and sickness due to inadequate IT equipment or Service 7. Inability to recruit, retain and upskill our Digital employees at BTP 	<p>Recruit additional 13 staff to deliver change as part of the Technology Cadre</p> <p>Implement monitoring tools to proactively identify early warnings of system errors/outages Work ongoing around delivering Azure monitoring as part of the FHQ Datacentre programme</p> <p>IT Service Management proactive reporting of service delivery activity to improve contract management and increase value for money</p> <p>Implementation of SailPoint Identity Access Management</p> <p>Resourcing uplift of the revised departmental structure</p> <p>Technology Service Desk availability increase by introducing six day working</p> <p>Subscribe to the Police Digital Services Cyber National Management Centre (NMC/Sentinel)</p> <p>Deployment of the new unified communications network</p> <p>Implementation of the Application Rationalisation Programme to remove legacy applications</p> <p>Relocation of FHQ Data Centre</p> <p>Implementation of DR/BC plan for department</p> <p>To implement a centre of excellence in digital productivity and automation</p>														
		<table border="1"> <thead> <tr> <th data-bbox="1760 753 1926 789">Due</th> </tr> </thead> <tbody> <tr> <td data-bbox="1760 789 1926 825">Apr 23</td> </tr> <tr> <td data-bbox="1760 825 1926 861">Apr 23</td> </tr> <tr> <td data-bbox="1760 861 1926 896">Jun 23</td> </tr> <tr> <td data-bbox="1760 896 1926 932">Jun 23</td> </tr> <tr> <td data-bbox="1760 932 1926 968">Jul 23</td> </tr> <tr> <td data-bbox="1760 968 1926 1003">Jul 23</td> </tr> <tr> <td data-bbox="1760 1003 1926 1039">Dec 23</td> </tr> <tr> <td data-bbox="1760 1039 1926 1075">Dec 23</td> </tr> <tr> <td data-bbox="1760 1075 1926 1110">Sep 24</td> </tr> <tr> <td data-bbox="1760 1110 1926 1146">Dec 24</td> </tr> <tr> <td data-bbox="1760 1146 1926 1182">Dec 24</td> </tr> <tr> <td data-bbox="1760 1182 1926 1218">Mar 25</td> </tr> </tbody> </table>	Due	Apr 23	Apr 23	Jun 23	Jun 23	Jul 23	Jul 23	Dec 23	Dec 23	Sep 24	Dec 24	Dec 24	Mar 25
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Major Incidents

Risk Causes	Risk Controls	
<p>1. Suboptimal communication and exercising of Major incident plans</p> <p>2. Insufficient exercise and training staff to deliver exercises</p> <p>3. Insufficient numbers of JESIP trained staff and trainers</p> <p>4. Insufficient numbers of commanders trained or experienced in managing major incidents</p> <p>5. Unprepared for Major Incidents that could occur</p> <p>6. Insufficient physical command and control equipment/vehicles/ trailers to be able to manage Major incidents at the scene</p> <p>7. Not party to national and regional CT intel / CT forums</p> <p>8. Insufficient resources to respond to CT threat</p>	<p>Exercise & Testing Calendar in place to ensure maximum capacity of existing training train is utilised</p> <p>Go Critical plan including Operation Temperer capability and compliance with National Strategic Policing Requirement (NSPR)</p> <p>Key roles identified to train for the Major Incident Commander role</p> <p>Participation with exercising and testing with other forces/organisations</p> <p>Tried and tested structures in place for the receipt of appropriate intelligence and established intelligence feeds back into CT Network</p> <p>Additional JESIP trainers identified to ensure officers are fully trained</p> <p>Bimonthly Civil Contingencies Strategic Coordination meeting established to have a clear focus on planning and testing</p> <p>BTP embedded into wider NPCC National CT structures and forums at strategic and tactical levels. Seconded into Homeland Security for BTP integration into national exercises</p> <p>BTP jurisdiction clarified for major incident responses</p> <p>Conducted an external led review into BTP's current CT Establishment against current threat, harm and risk</p> <p>Counter Terrorism assets available at key hubs in London, Birmingham and Manchester to deliver Protective Security posture</p> <p>Covid Command Structure established to manage Covid-19 response, guidance and communications</p> <p>Five day CT input in place for new student officers at Spring House with emphasis on ' Vigilance</p> <p>New model for Exercise and Testing completed under a Force on the Move, linked to the CT Review</p> <p>SABRE app available for all officers to use on mobile devices (gateway to emergency plans and aide memories)</p> <p>Strategic Threat and Risk Assessment (STRA) regularly reviewed and operational response to locations identified within STRA</p> <p>Training and supporting materials for exercise and testing training for Sgts and Inspectors. This training will be based on the circulated Major Incident Response Plan MIRP which was designed in place of the previous Major Incident Manual.</p> <p>Training package delivered to SDOs and FIMs on major incident response</p>	
Risk Effects	Risk Further Actions	Due
<p>1. Ineffective on scene command and decision making</p> <p>2. Potential further loss of life or injury to staff</p> <p>3. Potential to compromise investigation or delay recovery at scene</p> <p>4. Reputational damage to BTP if we have a suboptimal response to a Major Incident</p>	<p>Identify and manage all recommendations from Manchester Arena Inquiry Reports that impact on BTP's approach to dealing with Major Incidents; oversight to be provided by Audit Committee</p> <p>Implement the new Exercise & Testing model (full force complement for CPD will take approx 24 months from implementation and then will go into a rolling programme)</p> <p>Implement the new Exercise & Testing model</p> <p>Review content of student training to ensure it remains current following any recommendations from Volume Two of Manchester Inquiry Report.</p>	<p>Jul 23</p> <p>Sep 23</p> <p>Mar 25</p> <p>Jun 23</p>

Recruitment & Retention

Strategic Risks	Risk Scores												Risk Appetite	Next 6 Months	Next 1-3 years	Owner				
	25	20	16	15	12	10	9	8	6	5	4	3					2	1		
Recruitment & Retention: Due to challenges in the recruitment market, BTP may not be able to attract, retain, and progress employees who exemplify our values, leading to a loss of confidence and trust from the public																	Flexible	➔	➔	DoP&C

Narrative: The score for this risk has remained the same this quarter.

The recruitment of the workforce planning manager has commenced and interviews are planned for May 2023 to further drive the implementation of the strategic workforce plan.

The P&C programme manager commenced during this quarter planning the activities to focus on cultural change programme including:

- The Senior Leadership Development Programme was completed during quarter 4 with 95% of Superintendents, COO2s and above attending. A review of the impact of the programme will be undertaken in Q1.
- The L&D Strategy has been signed off and being developed into phased deliverables supporting modernisation of learning. The external review has been completed to modernise recruit training and provide a more flexible learning programme and some actions implemented include the introduction of virtual reality training.
- MyLearn has added additional development courses content with the site continuing to be in regular daily use enabling opportunities to learn and develop anywhere, anytime. Apprenticeships have also been included in MyLearn to continue to develop the one-stop-shop.

The Layers & Spans project, which is looking at optimising leadership layers, has finished consultation and the changes in Supt/Inspectors roles will be delivered through Q1.

The trial of the recruitment app has proved successful so far and has already shown an increase in interest in BTP from ethnic minorities and females (those that have accessed and registered on the app). The analysis of how this translates into applications will be monitored and the full launch of the app will start in May 2023.

A review of the People policies to remove barriers cultural change is ongoing to ensure alignment with our values and include reference to the victims charter.

The newly designed PC to Sgt process which focusses on Leadership capability commenced with boards being completed in quarter 1. A programme for promotion for other ranks for the year ahead will be confirmed in Q1. Work continues on the development of Leadership Behaviours linked to BTP values; these will be to be agreed in Q1.

The Positive Action Recruitment Team (PART) are establishing Outreach activity using Divisional Positive Action Ambassadors. Divisional Commanders and Departmental leads have an action plan with a dashboard tracker to target outputs and activities. The I&D Steering Group is in place to monitor progress against the plans and will provide support, guidance and toolkits. Work on retention and exit processes is also underway with Positive Action Support Programmes for progression and retention, Stay Conversations and Exit Interviews. Inclusion and Culture Audits have just been launched with four phases that assess the environment, culture and inclusion and provide tools for improvement for all managers.



Recruitment & Retention

<p>Risk Causes</p> <p>Pay, Reward & Benefits not comparable with other forces/industry / competitors</p> <p>Lack of clarity from central gov on what we can / can't agree on pay/pensions (Lucy is going to start consultation anyway which will give us better understanding of cost and impact)</p> <p>Training only delivered in London for police officers</p> <p>No strategic workforce plan in place currently</p> <p>No understanding of what skills/experience we want/need to meet demand in future</p> <p>Unachievable targets/measures of success for recruitment</p> <p>Too many "competitors" as a national force (project uplift and ToCs)</p> <p>Shift work not attractive and not conducive to blended working</p> <p>Negative reputation of policing</p> <p>Too much internal governance/bureaucracy means we can't move quickly enough to recruit to or create new roles where needed</p> <p>Culture clash (bias)</p> <p>Poorly articulated Employee Value Proposition (EVP)</p> <p>Recruitment team establishment not sufficient</p> <p>Recruitment strategies</p> <p>Don't have Positive Action resources across all I&D workstreams</p>	<p>Risk Controls</p> <p>"Choices" benefit scheme in place for employees to take advantage of e.g. healthcare, cycle to work scheme etc</p> <p>Approval of pay award and uplift in allowances for 2022/23</p> <p>Current benefits of home/blended working in place for certain roles</p> <p>Enhanced Inclusion & Diversity resources in place to attract a more diverse range of candidates</p> <p>Initial People/eligibility checks carried out for applicants prior to vetting - this weeds out some people who don't meet BTP standards</p> <p>Linked PDR and Talent Management Process to support and develop staff</p> <p>Market supplements available for specialist roles where evidence supports we are out of kilter with others</p> <p>New Induction booklet completed & launched</p> <p>New supplier contract in place to ensure new recruits begin will full kit (one week turnaround from placing order)</p> <p>Recruiting new probationer officers at SP2 - highest in England & Wales</p> <p>Strategic Workforce Planning Board in place</p> <p>Strong online/social media presence which promotes good work of BTP</p> <p>'Trust You Gut' campaign to emphasise we care about ethical and values-based behaviour</p> <p>Vetting system in place to make vetting of new starters more efficient and effective</p> <p>Wellbeing hub in place, TRIM , and Mental health support</p> <p>Reporting on exit interviews in place (insight) through Culture Amp</p> <p>Talent Management framework being developed, including succession planning and secondment pilots</p> <p>Additional resources to be recruited into the Recruitment Team to support hiring managers</p> <p>5-year strategic workforce plan created</p> <p>EDI Strategy reviewed and published</p> <p>Senior Leadership Development Programme delivered</p>	<p>Due</p> <p>May 23</p> <p>May 23</p> <p>Jun 23</p> <p>Jun 23</p> <p>Jul 23</p> <p>Sep 23</p> <p>Sep 23</p> <p>Sep 23</p> <p>Oct 23</p> <p>Dec 23</p> <p>Dec 23</p> <p>Dec 23</p> <p>Dec 23</p> <p>Dec 23</p> <p>Dec 23</p> <p>Dec 23</p> <p>Dec 23</p> <p>Jan 24</p> <p>Jul 24</p> <p>Mar 25</p>
<p>Risk Effects</p> <p>BTP not policing provider of choice</p> <p>Damage to reputation</p> <p>Negative impact on morale of our people</p> <p>Community impact - lack of confidence</p> <p>BTP not attractive for new recruits /current staff</p>	<p>Risk Actions</p> <p>Publish, cascade and start embedding of the new Org Values in to behaviours, and recruitment and promotion activities</p> <p>Recruit Strategic Workforce Planning Lead</p> <p>Deliver Senior Leadership Development Programme</p> <p>Capability Review phase 1 & 2 delivered</p> <p>Refresh of recruitment and promotion processes to remove bias and attract a diverse and skilled range of candidates to BTP</p> <p>Delivery of OH Futures Programme</p> <p>Review of people policies to remove barriers to culture change</p> <p>Increase OH resources - A project is underway (OH Futures) to bring OH services from external contractors to an internal provision. This includes development of OH facilities across BTP estates, rescaling of OH personnel and upgrading the OH database system.</p> <p>Introduce "stay" interviews</p> <p>Delivery of People & Culture Programme to bring about cultural change</p> <p>Review of L&D strategy and delivery</p> <p>Make our current recruit training more flexible and inclusive by March 2023.</p> <p>Get agreement from DfT on changes to pay structure and pensions scheme changes and update BTPA framework document between DfT - no confirmed timescales</p> <p>Implement a Strategic Learning Requirement (5-year plan) from April 2023</p> <p>To develop career paths for officers/employees e.g. leadership Covered in draft L&D Strategy (Goal 4 Thoughtful and Effective Leaders) and Goal 6 Career Pathways and Internal Mobility.</p> <p>Clearly set out what the Employee Value Proposition (EVP) is (linked to People Modernisation Programme)</p> <p>Review entry route for Special Constables to Officer</p> <p>Police Staff pay structure project implemented - subject to DfT approval, no confirmed timescales</p> <p>Introduce PEQF entry routes for Police Officers. These will include the Police Constable Degree Apprenticeship (PCDA), Degree Holder Entry Programme (DHEP), Police Degree Graduate Programme and Detective Entry Programme by March 2025.</p>	

Legitimacy

Risk Causes	Risk Controls	
<p>Corruption goes unchecked and increase</p> <p>High profile media reporting on investigations in BTP/other forces</p> <p>Culture clash (bias)</p> <p>Poor Leadership Culture</p> <p>Negative reputation of policing</p> <p>Don't have Positive Action resources across all I&D workstreams</p> <p>Increasing workload in PSD without permanent uplift in team size leading to reliance on agency or temporary seconded officers and staff</p> <p>Recruitment strategies not fit for purpose</p> <p>LQC's lacking understanding of BTP priorities leading to poor outcomes</p> <p>Increasing complexity of investigations relying on digital evidence gathering</p> <p>Increase in Misogyny reports</p> <p>Disproportionate Use of Powers</p>	<p>Internal leads identified for gender, LGBT, travellers (related hate crime incidents), disability (neuro diversity e.g. autism etc)</p> <p>Active support groups for our Black, Asian and minority ethnic employees (SAME- Support Association for Minority Ethnic Staff) and AMP (Association of Muslim Police) as well as eight other employee networks that aim to support all those from diverse backgrounds</p> <p>All staff complete training on "Abuse of Position" - completion rates tracked by L&D</p> <p>BTP is a values-driven organisation, and this is referenced in all recruitment</p> <p>Clear reporting processes in place to report wrong doing internally</p> <p>Create strategy to reduce violence against women and girls</p> <p>Established processes in place for Business Interests, Gifts & Hospitality, and for staff to report any changes in circumstances</p> <p>Independent Scrutiny Panels in place for Stop & Search and Use of Force</p> <p>Initial People/eligibility checks carried out for applicants prior to vetting - this weeds out some people who don't meet BTP standards</p> <p>LQC/ IPM session with BTPA, PSD and DCC to ensure that they have a clear briefing on standards and for us to obtain their views on improvements we can make</p> <p>PSD policies available in bite-size form</p> <p>PSD taking appropriate action against bad behaviours and publicising this</p> <p>Strategic Inclusion & Diversity Board in place</p> <p>Strategic Independent Advisory Group in place to engage with representatives from different communities</p> <p>Strong online/social media presence which promotes good work of BTP</p> <p>Training inputs as identified from Hot Spot mapping and local leaders re PSD and force issues</p> <p>Use of Powers Board in place</p> <p>Trust your gut / speak up campaign in place</p> <p>Vetting process in line with College of Policing Authorised Professional Practice</p> <p>Vetting Team accredited to ISO 9001</p> <p>Proposal submitted on future of Independent Scrutiny Panels and IAGs to BTPA for agreement . This is now completed and approved by the Authority for ongoing work and creation of a new framework.</p> <p>EDI Strategy published</p> <p>Monitoring software purchased to give access to data more easily without having to use third parties</p>	
Risk Effects	Risk Further Actions	Due
<p>BTP not policing provider of choice</p> <p>Damage to reputation</p> <p>Negative impact on morale of our people</p> <p>Community impact - lack of confidence</p> <p>BTP not attractive for new recruits /current staff</p>	<p>PSD Team booked to do digital media investigation training by College of Policing</p> <p>Implement/Deliver Positive Action Plan</p> <p>Implement/Deliver Race Action Plan</p>	<p>Jun 23</p> <p>Dec 23</p> <p>Dec 23</p>

Partnership Working

Strategic Risks	Risk Scores											Risk Appetite	Next 6 Month	Next 1-3 years	Owner			
	#	#	#	#	#	#	9	8	6	5	4					3	2	1
Partnership Working: BTP/A may not capitalise on opportunities and relationships with external partners to deliver more effective and efficient services in response to demand, leading to financial loss and operational impacts.															Flexible			Head of Stakeholder Engagement BTPA and ACC Network Policing

Narrative: The score for this strategic risk has remained the same this quarter.

The permanent arrangements for partnership working (and thus the communications plan) are dependent on the final BTP report, the University of Cambridge assessment and industry receptiveness to the summary of outcomes and proof points. The academic report arrived this week and BTP project team are working through that currently. A BTP summary report is also in the process of being drafted which will use the University of Cambridge report as an appendix item. Once final outcomes and the assessment are socialised with COG / FEB as the way forwards, this will need to be socialised with industry and our workforce, and all risks understood before agreeing next steps. A suggested roadmap will be included within the BTP report pointing at likely easiest locations to begin to adopt this way of working.

Partnership Working

Risk Causes	Risk Controls	
<p>1. BTP/A have not fully addressed the industry ask for improved transparency around funding/resource deployments and performance. This impacts confidence to explore new ways of working together</p> <p>2. We do not have a clear picture of our partner landscape so may not be talking to the right people</p> <p>3. BTPA and BTP have not shared their individual stakeholder assessments with each other to understand nuances so we misalign opportunities to engage</p> <p>4. An up-to-date stakeholder engagement plan is not in place (BTPA and/or BTP)</p> <p>5. Communication with stakeholders is not shared between BTP/A</p> <p>6. We haven't articulated our partnership aspirations well enough to engage partners</p> <p>7. We don't have effective mechanisms for communicating our plans</p> <p>8. Unwillingness of partners to collaborate</p> <p>9. We don't make best use of current engagement routes to communicate our plans and</p> <p>10. We have not explored alternative communication routes and rely on existing mechanisms</p>	<p>Agreement from partners to move from an annual cycle to a three-year policing plan cycle to provide greater certainty on priorities to encourage more commitments to partnership working</p> <p>Good regular engagement by BTP and BTPA with industry partners via a number of existing forums – e.g. RDG P&S, IG and WTG3, NWR, TfL S&P – where multiple partners are present</p> <p>County lines – Presentations given to ToCs by the County Lines Taskforce and charity partner The Children Society; also had the Rail Minister and DfT MD for Passenger services as guest speakers. Outcome of this was that we were approached by TOCS who wanted to know more and undertake the training we offer.</p> <p>Appointment of dedicated Head of External Engagement to lead and coordinate regular communication to stakeholders on BTP work</p> <p>BTP/A continue to engage with key partners on GBR to influence the future of the security provision to the railway. There is both opportunity and risk in this area, which the residual risk score reflects</p> <p>Specifically a number of workstreams have been set up for 2022 to identify smarter ways of working between BTP and rail partners including a station pilot with Network Rail and establishment of a Working Together Group.</p> <p>BTPA continues to hold regular relationship management meetings with a number of its main partners including NWR, GTR, TfL and RDG</p> <p>CRM system in place to manage stakeholder database and enable targeting of communications</p> <p>Monthly newsletter on BTP activity sent to industry, Government and BTPA stakeholders</p> <p>Set out clear direction of travel for partnership working in 2022-27 Strategic Plan</p> <p>Stakeholder meeting tracker implemented for all who are undertaking engagement from within BTP</p> <p>Agreement on options and funding to take forward as part of BTPA GBR scoping report</p>	
Risk Effects	Risk Further Actions	Due
<p>1. We do not target our partnership engagement to maximum effect - engagement is ad hoc</p> <p>2. BTP and BTPA have different assessments of opportunity/risk and priorities but we are not sighted on them and this leads to uncoordinated activity</p> <p>3. Our engagement plans are not aligned and our activities risk creating gaps and/or being in conflict</p> <p>4. Uncoordinated activity or duplicate conversations</p> <p>5. Partners are not clear about our partnership working plans so do not 'buy in'</p> <p>6. Missed opportunities for effective joint working, cost savings and more efficient ways of working</p>	<p>Proposal for agreement on the permanent plan for the partnership working initiatives</p> <p>Ensure communication plans are in place for each new partnership project</p> <p>Share and discuss stakeholder landscape assessment to understand similarities/differences</p> <p>Refresh of BTP and BTPA stakeholder engagement strategies to highlight partnership working as a key driver</p> <p>Carry out a refresh of the operating landscape to identify key partners and broaden our view about who are critical partners in delivering our partnership aspirations (e.g. Metro Mayor teams; also consider contacts in estates/procurement etc)</p> <p>Review current communications channels to see where BTPA and BTP can include regular BAU information on key issues for partners</p>	<p>May 23</p> <p>May 23</p> <p>Jun 23</p> <p>Jun 23</p> <p>Jun 23</p> <p>Aug 23</p>



Cyber and Data Security

Strategic Risk	Risk Scores											Risk Appetite	Next 6 Months	Next 1-3 years	Owner			
	25	20	16	15	12	10	9	8	6	5	4					3	2	1
Cyber and Data Security: Failure to protect and manage our data and information may result in a significant data loss which leads to a loss in confidence, operational risk, regulatory censure and financial loss.	I			R								P/T			Averse	➔	➔	CC
Narrative: The score for this strategic risk has remained the same this quarter.																		
2023 has begun as a busier year for the Cyber function, and we have seen a number of high-profile Cyber incidents affecting a number of our core suppliers causing downtime for BTP. This is related to the ongoing geo-political situation, and we are seeing an increased number of blocked attacks. On a positive note, 3 permanent members of staff have now joined the team, and we are now moving forward on key projects and initiatives. ITHC 2023 was undertaken in Q1 2023, and the initial results are very positive with a 30% decrease year-on-year with no critical risks. Ongoing key projects including delivery the new Identity Access Management platform Sailpoint and initialising the National Enabling Programme workstreams for Cyber/EUC.																		
At the present time, the current status alert level is High – and the Cyber team is focused on ensuring that our core systems and applications are safe/secure, and that our processes especially Incident Management are robust to deal with any potential incidents. This work is a key focus in Q2 2023.																		

Cyber and Data Security

<p>Risk Causes</p> <ol style="list-style-type: none"> 1. Historic under investment in security 2. Lack of control and process over the implementation of new technologies 3. Insufficient resources with the appropriate skills to drive security improvements 4. Lack of clear security strategy underpinned by IT and organisational objectives 5. Lack of process & governance to assure our delivery programmes and operations 6. Failure to educate / invest in our people to retain currency of knowledge and skills 7. Legacy technologies are significant attack vectors and must be retired or replaced 8. Lack of an Enterprise Architecture function creates technology inconsistencies 	<p>Risk Controls</p> <p>Cyber Monitoring Tool in place to proactively identify IT weaknesses / threats to BTP</p> <p>Cyber Team part of national Cyber Working Group for policing to identify threats and share best practice</p> <p>Cyber incident response plan in place, including regular patching across the network</p> <p>Information Asset Owners identified for all BTP systems</p> <p>Information Assurance Board in place to provide oversight of information and technology processes and systems</p> <p>National Data Protection Impact Assessment in place for policing for Office 365 products</p> <p>Clearly defined and communicated security policy, regularly updated to reflect current trends and account for changes in the threat landscape</p> <p>Security Maturity Assessment conducted by industry experts to identify current maturity status and benchmark against like organisations</p> <p>Cyber security incident response (CSIRT) retainer in place and effective through AON. Provides support in the event of a significant cyber event</p> <p>Vulnerability management and patching processes designed to keep our technology assets up-to-date and less vulnerable to common cyber attacks</p> <p>Regular audits and health checks help to assure continuity of service and access to shared resources</p> <p>Conduct detailed assessments of IT resilience and actively perform recovery tests and dress rehearsals</p> <p>Clearly defined and communicated security policy, regularly updated to reflect current trends and account for changes in the threat landscape</p> <p>Security Maturity Assessment conducted by industry experts to identify current maturity status and benchmark against like organisations</p> <p>Undertaking and remediating our formal accreditation programmes</p> <p>Cyber Security Framework, Strategy and associated programme plan to improve the overall Cyber Security maturity across BTP - Strategy Released (Dec-21)</p> <p>Allocated security budget segregated from Technology ensures availability of cyber funding</p> <p>Two days of cyber training provided to new recruits</p> <p>Auto-complete risk mitigations to be implemented to prevent emails being sent to the wrong recipient.</p> <p>Develop awareness at Leadership level to build buy-in and enhance reporting to identify cyber risks</p> <p>Prioritised security improvement programme based on the outputs of the security maturity assessment conducted by Ernst & Young (EY)</p> <p>Creation of Cyber Target Operating Model with appropriate headcount and skills to manage current and future workload for next 3-5 years</p> <p>Cyber Team part of national Cyber Working Group for policing to identify threats and share best practice</p> <p>Create and agree a plan to prioritise cyber investment which aligns to overall technology budget</p> <p>SailPoint implemented to automate management of Active Directory, manage privilege accounts and user access controls</p>	
<p>Risk Effects</p> <ol style="list-style-type: none"> 1. Financial and operational loss and, inability to function efficiently 2. Non standard technology stack is difficult to maintain and manage, and creates risks 3. Inability to carry out cyber security duties with skill and confidence 4. Unable to recover quickly from a security breach or cyber event 5. Inability to recruit, retain and upskill security resources and provide career progression 6. Sensitive data is leaked, and results in disclosure to ICO, reputational damage & fines 7. Increased operational costs and retention of legacy skills to maintain dated systems 	<p>Risk Further Actions</p> <p>Regular user education and awareness programmes designed to sustain learning and ensure a knowledgeable and informed workforce</p> <p>Action plan is being created to improve the asset management of USB stick</p>	<p>Due May 23</p> <p>May 23</p>

Income

Strategic Risks	Risk Scores											Risk Appetite	Next 6 Months	Next 1-3 years	Owner						
	25	20	16	15	12	10	9	8	6	5	4					3	2	1			
Income: Due to economic pressures on BTP’s funders or not being able to sufficiently demonstrate we are using our resources effectively and efficiently, BTP may not be able to secure the level of income required to deliver the level of service to meet current and future demand, leading to an operational and reputational impact.		I			R					P/T								Cautious			BTPA

Narrative: The score for this strategic risk remains unchanged this quarter.

The residual risk score remains the same as pre-deep dive; this reflects the strong financial control, governance, budget management and reporting processes in place. There is a significant amount of independent, third line assurance in place which provides assurance on BTP’s strategy and financial processes.

Additional further actions have been added to focus more on a coordinated stakeholder engagement approach as well as aligning key strategy and business planning processes and identifying new income streams. These will ensure the risk is managed as effectively as possible and has resulted in a reduction in the target risk score. Overall, the risk is being managed well, but the focus on stakeholder engagement and alignment with strategy processes will help to manage this risk as effectively as possible.

There are several external financial matters which BTP/A are managing including inflationary price increases and the Police Remuneration Review Body (PRRB) annual pay settlement that may vary from original planning assumptions. There are also unfunded pressures in 2023-24 bringing total overprogramming to £9.5m (3.7%) over the approved budget of £365.3m. In addition, there are further unfunded pressures in the medium term. Prioritisation, further efficiencies and increased productivity will be required to achieve the 2023-24 budget agreed by the Authority as part of the MTFP. Monitoring of unfunded pressures through reporting to SPC, in-year reporting of financial position and forecasts allowing corrective action to be taken if needed as well as researching potential new income streams through engagement with DfT and reviewing Government funding initiatives will help mitigate the risk.



In addition, the challenging external economic environment creates an increased risk for opportunistic fraud. BTP/A are jointly exploring ways to enhance the ability to prevent and detect any such transactions, and oversight is provided at the Fraud Champions session and the Finance Assurance Board.

BTP has significant ambition for organisation-wide transformation which will require careful financial/cashflow planning to ensure that the required upfront investment delivers the planned savings to ensure longer term sustainability of the Fund. BTP/A continue active engagement with DfT to manage the required budgetary cover as well as capitalise on opportunities for further grant-in-aid funding.

Income

<u>Risk Causes</u>	<u>Risk Controls</u>	
<ol style="list-style-type: none"> 1. Financial Reporting Ineffective. 2. Fragmented engagement with DfT and lack of understanding of our policing role. 3. Income generation - benefits not articulated well enough in business cases to get funding, confidence in case for change and efficiencies will get back. 4. BTP not eligible for all policing funding streams due to being part of DfT. 5. DfT and Home Office not in policing policy for funding. 6. Economic impact of TOCs. 7. Unable to recruit to some roles because of pay. 8. Unclear future strategy on EPSAs and PSAs. 9. HO PRB setting the pay award for UK policing and we have to follow suit for retention (80% of our base cost) so we don't have control over this. 10. Unable to access our reserves without permission from DfT. 11. Unable to secure funding. 12. Unable to influence GBR at right time. 13. Unable to meet current and future demand. 	<p>5-year MTFP agreed by the Authority, communicated to DfT. In addition, receive a 3-year SR settlement</p> <p>Delegated Authority and Letter of Delegation in place.</p> <p>Finance Manual published.</p> <p>2022/23 pay award has been agreed by the BTPA. This creates cost pressures which will be incorporated into the 2023/24 MTFP.</p> <p>Budget holder training provided through the Finance Leadership Workshops.</p> <p>Crown Commercial Service Procurement framework used.</p> <p>Finance Assurance board in place.</p> <p>Decision Support provide VFM opinion for all business cases .</p> <p>Pensions Working group in place.</p> <p>Third party assurance (Internal and external audit, HMICFRS, MAR).</p> <p>Finance software enhanced to provide greater oversight of purchases ('PIM').</p> <p>Periodic reporting of financial position and forecasts to FEB, PDC and DfT and communication around financial risks and opportunities.</p> <p>Updated Reserves Policy in place.</p> <p>Periodic reviews with the business and FBPs and quarterly business reviews.</p> <p>Regular meetings / engagement with key stakeholders (RDG, ToCs, DfT sponsor team).</p> <p>BTP post embedded in DfT & moving under Head of Engagement role.</p> <p>BTPA dedicated resource in place to coordinate and manage BTP engagement / response to GBR.</p> <p>Research potential new income streams through engagement with DfT and reviewing SR, Budget and Government initiatives e.g. Public Sector Decarbonisation Scheme, in order to bid for funding</p> <p>Monitoring of unfunded pressures through reporting to SPC</p> <p>Periodic reporting of financial position and forecasts to FEB, PDC and DfT and communication around financial risks and opportunities</p> <p>Research potential new income streams through reviewing SR, Budget and Government initiatives e.g. Public Sector Decarbonisation Scheme, in order to bid for funding</p>	
<u>Risk Effects</u>	<u>Risk Further Actions</u>	<u>Due</u>
<ol style="list-style-type: none"> 1. Loss of confidence from TOCs. 2. Loss of confidence from DfT. 3. Loss of public confidence. 4. Force unable to plan for future workforce due to lack of financial control. 5. Unable to protect the public. 	<p>Data analytics for both Finance expenditure being considered with the support of the DfT fraud team.</p> <p>Develop paper on future proposed approach for EPSAs</p> <p>Create a stakeholder engagement strategy for engagement with DfT</p> <p>Improved financial scenario planning and prioritisation</p> <p>Develop a "value statement" to TOCs once a year (aim of twice a year) by the Economist to demonstrate how their investment has helped us to meet our demand / activity / outcomes, as well as economic value for disruption against a baseline</p> <p>Creation of a joined-up business planning process that aligns with FMS, Strategy, Workforce Plan and MTFP</p> <p>Identify all external funding routes available to BTP/A for new projects / schemes</p>	<p>Dec 23</p> <p>Sep 23</p> <p>Sep 23</p> <p>Sep 23</p> <p>Dec 23</p> <p>Apr 24</p> <p>Apr 24</p>

Transformation

Strategic Risks	Risk Scores											Risk Appetite	Next 6 Months	Next 1-3 years	Owner					
	25	20	16	15	12	10	9	8	6	5	4					3	2	1		
Change Management: Due to emerging influences on our strategy and policy plan, BTP/A may not design and deliver a sustainably funded and resourced strategic transformation portfolio to provide an affordable, effective, and efficient service, leading to operational, reputational, and financial impacts.			I			R						P/T					Balanced			DCC

Narrative: The score for this risk remains the same this quarter.

As part of the planning for the FY23/24 MTFP the portfolio has been subject several COG level reviews shaped by a 'save first and spend later' approach maximising existing revenue and rebalancing streams. This has resulted in the Authority approving a portfolio positioned to sustain the delivery of cyclical and priority programmes and has repositioned some programmes for delivery from FY24/25 onwards. There will be an element of overprogramming for both capital and revenue but within more manageable tolerances that negates any draw on the use of reserves.

The portfolio funding arrangements remains premised in part on reinvestment of funds from 're-balancing' initiatives. Layers & Spans has been approved by FEB for implementation and the CT Review is post consultation. The financial planning to reinvest these savings is underway as part of the budget setting exercise. The most recent COG review has adjusted the savings from the Police Staff Pay Model at this stage, as they were predicated on upfront reserves financing of £4.8m. The programme will be subject to further review centred on the overall value to future recruitment and retention and the BTP offer in light of current economic and employment market conditions. Post BC approval each project will complete a detailed cashable efficiencies register with Finance, HR and PMO to confirm savings are delivered.

There remain externally funded schemes remaining outside the current cost envelope (e.g., Drones, Fleet Electrification), and that there will be a requirement to redeploy change resources to enable delivery. This position is also under assurance as part of the ongoing DCC (as portfolio Sponsor) quarterly reviews with SROs.

The GIAA real-time assurance monitoring as the portfolio progresses has finalised it's report for the last quarter and we have retained a moderate overall rating, where some improvements are required to enhance the adequacy and effectiveness of the framework of governance, risk management and control, but progress has seen the develop business case, approvals schedule and funding area mature to a substantial rating. The next stage of assurance will look to focus on programme level governance and benefits management.

Following the Capability Review 2022 activity, work has continued to refine and assure the 14 tactical recommendations. As a result, some of these are being progressed by the business (e.g. potential new FCAAP) and some have now been developed as projects in their own right. The latter have been added to the emerging programme of work which formally launched its governance on 31 March, 'Focused on the Future' steering group chaired by the DCC, with multi-SRO accountability.



The key activity in enabling a sustainable reset of capabilities is the drive to design and implement a refreshed business planning cycle under the 'Strategic Centre' project. The current 'planning gap' identified by this project is preventing the Force from using the FMS as a 'north star' to drive our annual investment and resource planning/decision making. During Q4, the project has set up and run three collaborative 'task and finish' groups to explore (1) the concept of a new strategic hub (2) a new integrated planning cycle for BTP and (3) the governance set up which underpins our current strategic planning. The project is due to present findings back to COG in May and FEB in June.

The objective is to achieve a position where we get 'ahead of the game' over the course of the next twelve months, and embed 'capability review' as an annual, evidence based process to enable the Force to flex and adapt to meet identified demand changes in a sustainable way.

Transformation

<u>Risk Causes</u>	<u>Risk Controls</u>	
<ol style="list-style-type: none"> 1. Internal and External funding is not aligned to deliver all necessary change within desired timescales. 2. Financial process is not aligned fully with change process causing delays in programme agreement and budget setting as well as artificial deadlines for change implementation. 3. Force change resources are never fully aligned to budget requirements or scope of desired change. 4. Political pressures on budget settlement impact on the ability of the Force to budget for necessary change. 5. The user requirements, scope and ask for change are not clearly defined. 6. Benefits do not drive change and the Force benefit process is not yet mature enough to track benefits of implemented change programmes effectively. 7. Design process does not effectively engage SMEs, BAU owners or SROs effectively. 8. Senior Officers are not change experts and may not have the skills or experience required to act as SROs and effectively lead change. 9. Force not able to involve or bring line managers and staff on side to effectively implement required change. 10. Lessons learned from previous change programmes are not implemented to assist the delivery of current change requirements. 11. Understanding capacity to deliver change does not mirror available resources. 12. Process for programme and project approval is not streamlined and this causes delays in agreeing change. 13. Programmes operate in silos without sufficient sight and understanding of dependencies and this isolates impact of delays and how changes can impact wider Force programme and project assumptions. 14. Force unable to recruit and retain sufficient change experts to implement required change programmes. 15. Change ambition does not match Force resources. 16. Lessons learned from previous programmes not always put into practice so that mistakes are not repeated. 17. Unclear when change projects finish and change is handed over for Force BAU management. 18. Change fatigue impacts ability to deliver, implement and embed change within Force. 19. Timescale required to embed change within Force not always taken into account or planned for. 20. Change decisions are not flexible to consider any amendments in scope, requirement, or organisational need. 	<p>PMO in place to track and report on programme/project delivery.</p> <p>Change strategy and cascade led by the Chief Constable and COG, supported by organisational leadership.</p> <p>Devolved programme architecture in place providing COG-level SROs with ownership of change within their span of command, supported by dedicated project and change resources. Dedicated Finance Business Partner in place.</p> <p>ENTERPRISE project and programme management methodology in place to govern project lifecycle through 7 x stages and provide a full suite of project controls.</p> <p>Investment planning and MTFP prioritisation process in place to align investment with affordability and strategic priorities.</p> <p>Monthly IBG working group has been established with new ToR. Meeting is bi-monthly with one session focused on investment and spending controls, and one session focused on benefits and rebalancing. This supports joint MTFP planning with Finance to track sustainability and affordability of the portfolio, benefits quantification and rebalancing plan.</p> <p>PCIB in place to review portfolio progress and approve business cases / BAU Handover Reports / Post-Implementation Reviews and Change Control.</p> <p>PMO has secured an external training budget to professionally accredit and qualify the project/programme/change delivery community within the Force, driving up standards and consistency.</p> <p>Regular SRO Portfolio delivery reviews chaired by DCC.</p> <p>Scheme of Delegation in place ensuring high value investment business cases are reviewed and approved at successively senior boards, including at BTPA level.</p> <p>Change heatmapping in place for AFOTM to understand complexity of change and when delivered - shared with internal comms (will be shared with PCIB shortly).</p> <p>Strategy and Planning Committee receive regular updates on transformation progress.</p> <p>PMO/Business change function have set out the process for the business to commission new portfolio activity, or additional activity, which is required, that has a technology element to it to alleviate pressure on the Technology Function.</p>	
<u>Risk Effects</u> <ol style="list-style-type: none"> 1. Change not embedded 2. Lack of return on investment 3. Reduced / no benefits realisation 4. Loss of confidence from stakeholders and BTPA 5. Force unable to deliver requisite services 6. Unable to meet current and future demand 7. Unable to deliver an effective policing service to the public 8. The Force will not be able to meet necessary re-balancing measures 	<u>Risk Further Actions</u> <p>Reset of Transformation portfolio: phase 2 - Bring additional vacant posts into centre, review job description; and recruit to vacancies under refreshed AFOTM campaign. Agree the service offering; set-up an Organisation Design function; and ascertain the right professional alignment within the team. Set up new commissioning process.</p> <p>Reset of Transformation portfolio: phase 3 - Create a Transformation function that acts as an internal service provider resourcing the portfolio from the centre. Move all generic transformation posts funded by cost of change into the reset model.</p>	<p style="text-align: center;">Due</p> <p style="text-align: center;">Mar 24</p> <p style="text-align: center;">Mar 24</p>

Wellbeing, Health and Safety

Strategic Risks	Risk Scores											Risk Appetite	Next 6 Months	Next 1-3 years	Owner					
	25	20	16	15	12	10	9	8	6	5	4					3	2	1		
Wellbeing, Health & Safety: Due to a lack of understanding of Health, Safety & Wellbeing responsibilities and inadequate H&S resourcing, BTP/A may fail to embed a culture where the wellbeing, health and safety of staff is engrained in everything we do. This could lead to harm to our people and the public, legislative non-compliance and enforcement action.			I	R			P	T									Cautious			DoP&C

Narrative: The score for this risk remains the same this quarter.

In Q4, we reviewed our Peer Support Programme, which now consists of a network of 73 Peer Supporters actively engaged across all divisions and 181 peer support interventions to date. We are expanding the service further through collaborations with 1. Inclusion & Diversity to recruit of additional Family Friendly buddies, Vulnerability 2. VAWG and PSD teams to train and recruit more Domestic Abuse champions. Further enhancing skills of existing Peer Supporters through provision of CPD in topics such as bereavement support, online Suicide Awareness courses delivered by Zero Suicide Alliance and for our TRiM Peer Supporters attendance at the National March On Stress conference. We have plans to develop a Power App based on the coaching model to enable our people to find and contact a Wellbeing Peer Supporter.

The psychological support through Onebright Efficacy has been enhanced with the addition of supported referral pathways for mental health issues caused by, and/or impacting our people at work. Referrals can be made via line managers, peer supporters and People Advisers.

Our collaboration with Maximus Access to Work Mental Health service has been further enhanced as we became eligible for the Partner Incentive Programme. This programme offers eligible partners free awareness sessions on topics such as depression, anxiety, or stress in the workplace. The first of these sessions will be held in Q1 23/24

The Wellbeing Hub received over 9K visits in Q4 and to date has been accessed by over 4000 employees. It is updated with relevant news articles, awareness events and webinars. In Q4 we trained colleagues in Reward and Benefits to enable them to improve the financial wellbeing offerings within the hub.

We have received the interim report following the second Fatigue Survey, a paper was presented to COG in Q4 outlining the findings with recommendations. We are now identifying suitable interventions to be included in the 2023/24 Health and Wellbeing Strategy

The Trauma Post Incident Desk position has been recruited to and will start in post in Q1; this will enable BTP to better support our people.

IoSH training has been delivered to senior leaders and has been well received. This combined with the addition of a H&S PDR objective for all senior leaders will help to improve H&S maturity and improve culture.

Wellbeing, Health and Safety

<u>Risk Causes</u>	<u>Risk Controls</u>	
<p>No specific training programme for line mgrs or senior leaders on responsibilities</p> <p>Roles and responsibilities not clear</p> <p>Management time (op perf always the priority)</p> <p>"Management time" for H&S and other areas is not factored into line mgr JDs and reality of roles</p> <p>Processes do not include H&S responsibilities / consideration e.g. when bringing in a new team, don't think about risk assessment, accommodation etc - always get notified after the fact, if at all</p> <p>Lack of understanding of risk posed to individuals in certain roles</p> <p>New roles / teams created with no consideration to risk to wellbeing</p> <p>No risk assessment undertaken to inform decision-making</p> <p>HSW culture not embedded into day to day working e.g. people not making/ taking time for breaks etc when needed</p>	<p>Safety Management System implemented</p> <p>Central Health & Safety Committee in place quarterly to review H&S risks/issues including officer assaults and the wider Wellbeing agenda - Currently reported on in CHSC Dashboard, however Officer assaults are classed as OP Hampshire and reported at Use of Force Board as the primary reporting</p> <p>Full H&S governance structure and framework in place with up-to-date Health and Safety Policy, legally compliant arrangements and guidance in place, with H&S Team having appropriate level of competence. Central Health and Safety Committee minutes to evidence risk reduction through review of risk assessment process, accident and injury statistics and deep dive outcomes.</p> <p>Review and monitoring arrangement available and communicated on the H&S Hub and discussed at divisional H&S committees.</p> <p>TRIM support in place for those who need support from traumatic events</p> <p>Wellbeing hub in place to support officers/staff on a range of wellbeing issues</p> <p>Wellbeing, Health & Safety Strategy published setting out our aims to improve understanding of responsibilities and support available.</p> <p>Wellbeing initiatives in place</p> <p>Action Tracking (Through SMS)</p> <p>Suitable and Sufficient Risk Assessment in place</p> <p>BTP Wellbeing projects aligned to the National Police Wellbeing Service projects and research</p> <p>Policy Process includes impact on Wellbeing</p> <p>Wellbeing Support Services in place</p> <p>Secure Optima support for OH provision to BTP in short-medium term</p> <p>Additional support agreed by COG to implement Oscar Kilo, a joint initiative from the National Police Wellbeing Service (NPWS), the College of Policing and the Police Federation on wellbeing - To commence with project 05/08/2021 with the commencement of the Peer Support Coordinator</p> <p>Develop and design Line Manager mental health training</p> <p>Effective H&S communications embedded</p> <p>H&S new into leadership training developed and delivered by the leadership academy</p> <p>H&S objectives agreed for staff PDRs</p> <p>Formal H&S training mandated and provided for all leaders within BTP</p>	
<p><u>Risk Effects</u></p> <p>Loss of life</p> <p>Ineffective incident management</p> <p>Legal non-compliance</p> <p>Reputational damage</p> <p>Financial loss</p>	<p><u>Risk Further Actions</u></p> <p>Suitable and sufficient software for Occupational Health Team to maintain data protection and confidentiality</p> <p>Occupational Health Premises are suitable and sufficient for confidential medical consultations.</p> <p>Review TRIM Support - is this the best for BTP and consider ESTIP - Emergency Service Trauma Intervention Programme (OK model)</p> <p>Develop new 5 Year H&S Strategy to implement findings of RM3</p> <p>Implement a "Post Incident Management Desk" (PIM) to track all trauma contact. (COMPLETE) Funding has been agreed for another year. Interviews have been completed and posts have been offered and start date awaited.</p> <p>Early inclusion of H&S in ALL estates project workstreams</p> <p>Suitable and sufficient software for Occupational Health Team to maintain data protection and confidentiality</p> <p>Implement Psychological Framework</p> <p>Complete review of all force risk assessments to ensure they are Suitable and Sufficient</p> <p>Full adoption of Oscar Kilo Project outcomes</p> <p>To develop and design line manager training on mental health</p>	<p>Due</p> <p>Jun-23</p> <p>May-23</p> <p>Aug-24</p> <p>May-23</p> <p>Apr 24</p> <p>Mar 23</p> <p>Jun 23</p> <p>Jun 23</p> <p>Jun 23</p> <p>Apr 24</p> <p>Jun 23</p>

BTP D Division Policing Plan Objectives – Q1-Q4

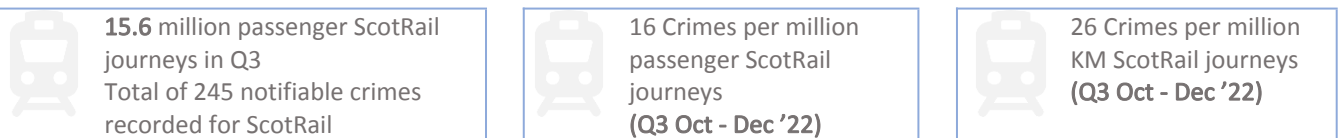
<p>Ensure passengers and staff can work and travel free from the threat of violence</p>	<p>Against passengers</p> <p>Against rail staff</p>	<table border="1"> <tr> <td>389 (+8%)</td> <td>19 (-34%)</td> <td>4 (-60%)</td> <td>92 (-2%)</td> <td>1,210 (0%)</td> </tr> <tr> <td>S.R. 51% (-4%)</td> <td>S.R. 68% (10%)</td> <td>S.R. 100% (+40%)</td> <td>S.R. 49% (-10%)</td> <td>S.R. 37% (-1%)</td> </tr> <tr> <td>Total Violence offences against passengers</td> <td>Serious violence offences</td> <td>Robbery offences</td> <td>Weapon-enabled violence offences</td> <td>Public order</td> </tr> </table> <table border="1"> <tr> <td>92 (+7%)</td> <td>1 (100%)</td> <td>204 (-8%)</td> </tr> <tr> <td>S.R. 64% (+12%)</td> <td>S.R. 0% (0%)</td> <td>S.R. 34% (+6%)</td> </tr> <tr> <td>Total Violence against staff</td> <td>Serious Violence offences</td> <td>Public order against rail staff</td> </tr> </table>	389 (+8%)	19 (-34%)	4 (-60%)	92 (-2%)	1,210 (0%)	S.R. 51% (-4%)	S.R. 68% (10%)	S.R. 100% (+40%)	S.R. 49% (-10%)	S.R. 37% (-1%)	Total Violence offences against passengers	Serious violence offences	Robbery offences	Weapon-enabled violence offences	Public order	92 (+7%)	1 (100%)	204 (-8%)	S.R. 64% (+12%)	S.R. 0% (0%)	S.R. 34% (+6%)	Total Violence against staff	Serious Violence offences	Public order against rail staff	<p>As visualised on the trends chart the increase in violence offences against passengers was due to an increase in March '23. Location patterns have changed from hub stations such as Glasgow Central and Edinburgh Waverley and to district locations. OTP is assisting in Officers attending and visible at these locations</p>									
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Scotland Performance Report 2022-23: Quarter 4 (Q4)

As the 22/23 performance year comes to an end, we can look back and reflect on our first full year without COVID restrictions since 18/19 and how or if crime patterns have changed. Overall, in 22/23 recorded crime increased by 6% compared with 21/22 and by 9% compared to 18/19. While the initial crime pattern was similar in Q1 and Q2, from around September the pattern took a different direction. Due to the strikes across the country, including those from the rail industry, Q3 recorded some of the lowest levels of crime, whilst Q4 recorded some of the highest levels. Compared to pre-pandemic, the volume crime types remain the same as Violence, Criminal Damage and Theft of Passenger Property.

Workforce Overview

Over 22/23, 33 new starters joined the division which was made up of 32 police officers and 1 special police officer. 21 employees left the division, 20 police officers and 1 police staff, with the majority being retirements. Only 5 officers handed in their resignation and 3 special officers 'left' to join as full-time officers. Average deployability for this year was 86%. The Division is made up of 20% Females and 3.2% Ethnic Minorities. To help drive up these diversity rates, the division is now benefiting from Inclusion & Diversity (I&D) Champions who are striving to make change from the bottom up and recently launched the Scottish Welfare and Inclusion Group (SWIG) which already have over 70 members. The group meet quarterly and discuss the issues or barriers to the division being inclusive and how these can be overcome. The group are engaging with several organisations relating to underrepresented groups and won the Inclusion and Diversity Award at the force's Us at Our Best Awards in November 2022.



Ensuring passengers and staff can work and travel free from the threat of violence

Violent offences continue to be a volume crime for the division and with a slight increase on last year, preventative measures are in place to help combat and drive this down. A key focus across the division within Q4 was on train policing and high visibility patrols. While the Glasgow area recorded the biggest volumes, permanent police presence at Glasgow Central and Glasgow Queen Street has allowed for on train patrols (OTP) along the Inverclyde and Balloch lines where disorder occurs. As well as improving visibility to passengers, these patrols are also helping with rail staff confidence. Feedback from staff meetings at Glasgow Central and Glasgow Queen Street stations has been positive. Officers are also providing conflict avoidance advice to staff where someone has fallen victim and work is progressing for a BTP input at Scotrail safety meetings.

While comparable serious assaults have reduced from the previous years, when they do occur the division will not only provide an immediate response but look at the wider community issues. Following a serious assault at Kilmaurs Station at the end of January, search teams were deployed to the scene and two persons were subsequently arrested and charged for their involvement. Joint working with Police Scotland developed intelligence regarding youth activity in the area linked to gang violence. Through this intelligence, resources were directed to this area with over 150 on train patrols and visibility on Friday evenings resulting in this activity being disrupted. Calls for service on a Friday reduced by 43% from January to February.

Tackling the crimes and incidents that most impact on confidence

Anti-social behaviour incidents are still within the top 3 incidents types the division attend, however, numbers have fallen continuously throughout 22/23. This is likely another positive outcome from the levels of OTP, with taskings recorded increased by 300% in Q3 and another 100% in Q4. In areas where we have seen a rise, such as youth ASB within the Falkirk and Camelon area, quick action has been taken. Officers worked alongside Police Scotland to avoid the youths being displaced from the town centre into the railway station, and vice versa, and with Scotrail's Travel Safe team. Similar tactics were used along the Kirkcaldy to Inverkeithing line where youths were travelling without tickets and being abusive to staff and passengers. BTP also worked with Police Scotland to culminate with frequent offenders and reports being highlighted to Crown Office and Procurator Fiscal Service (COPFS) so all outstanding reports concerning these offenders were put forward together to highlight the behaviour. This resulted in the most prolific offender being sent to a correctional assessment facility away from the Fife area.

To continue the positive trend in ASB, sector Inspectors are already working with Police Scotland, rail industry and local authorities around Spring/Summer plans for the areas such as Balloch and Ayr, that typically see large volumes of passengers travel to the beach in the warmer weather.

In addition to business as usual (BAU) incidents, the division also took part in a multi-agency test exercise at both a strategic and tactical level. The exercise simulated our command and emergency response to a collision involving a train and lorry at a level crossing, from the initial response to rescue phase. The divisions Operational Support Unit (OSU) played a key role in this exercise, conducting cordon duties as well as use of Policing at Heights and Method of Entry

(MoE) teams. These extra roles were supplemented due to the lack of availability of Scottish Fire & Rescue and Scottish Ambulance Service at ground level however highlighted the specialist skills BTP have available on division.

Tackling Violence Against Women and Girls (VAWG), Sexual Harassment and Hate

Crime

Total recorded Sexual Offences for 22/23 were down, however, there was an increase within Q4. While there was no particular trend for offending, the involvement of drink and/or drugs has been present for all involved parties. Areas of focus, including those with free access have been identified and conversations with Network Rail are ongoing to discuss prevention measures. Operation teams are also working alongside big events that may see an increase in women or girls travelling such as Women's Football matches. Specific VAWG briefings are also being developed to link in with operations during the Spring/Summer period where footfall increases.

In March officers worked with "I am Me Scotland" within Glasgow Central Station to promote the work they do in tackling disability hate crime. Through engagement the charity was able to take a full tin of donations and promotion of the Railway Guardian resulted in passengers downloading the app.

Protecting, supporting and safeguarding vulnerable people and those at risk of exploitation and harm

The number of concern for welfare (CFW) incidents reported have increased year or year, however, the number requiring referrals to external agencies has reduced. The sectors with the highest numbers of CFW reports are Glasgow and Edinburgh. Reports within both sectors peak late into Friday and Saturday evenings.

To help get support to those in need quicker, the Glasgow, Inverness and Dundee sectors now have access to the Scottish Ambulance Service Mental Health Triage Cars. Where available the car would attend the location and conduct a mental health assessment negating the need to attend hospital to be assessed. Where hospital admission is available this will be arranged directly by the MH Triage car. A HARM Reduction unit is also now available within the West Dunbartonshire area which provides Health and Social care support to the area.

While in Scotland the reporting and investigation of a missing person is led by Police Scotland, this can often include support from BTP. At the start of March Police Scotland requested BTP's help relating to 3 x missing persons that had run on to the railway at Langbank. The OSU were deployed and using joint airwave communications the youths were successfully located at the side of the motorway. The youths were returned to their care unit and the railway and motorway returned to normal working. This was a high-risk incident and could not have been achieved by the Police Scotland resource alone, joint working played a big part in its success.

Within Q4, there were no specific County Lines days of Action, however, joint partnership between Police Scotland, British Transport Police uniform and County Lines Task Force, Alcohol and Drugs Action, Turning Point Scotland and Aberdeen City Council was in operation to target those involved in Serious and Organised Crime, to ensure every opportunity is taken to disrupt their criminal behaviour and safeguard those who are adversely affected by the harms caused. Two days of enforcement were in place at transport hubs Aberdeen Bus station and Railway Station as well as joint execution of 18 search warrants.

There was also the launch of the Crime Stoppers County Lines 'FEARLESS' campaign. Days of action around the campaign were held at Edinburgh Waverley and Aberdeen Rail and Bus stations. The events were attended by Police Scotland Prevention, Intervention and Partnership officers and BTP Neighbourhood officers and information provided to passengers and rail companies.

Reducing disruption on the network through collaboration

The year end disruption picture was positive, with not only fatality and trespass primary delay minutes down but overall primary minutes also reduced.

Within Q4, the Problem-Solving Plan (PSP) for the Priesthill & Darnley area was closed. When the PSP was introduced due to over 100 incidents, including 2 fatalities, occurring at the station causing over 4,000 minutes of disruption between April '17 – March '22. The main cause of trespass events was identified as the lack footbridge at the station and individuals using the tracks to cross between platforms. Preventative measures were put into place including cameras and no incidents reported since 03/10/2022. Due to these measures having the desired affect BTP and NWR agreed to close this PSP. Although still open, the PSP for the Bellgrove area is also due to be closed. This PSP commenced 01/04/2022 with the issue being identified as the area under the stairs being used by the homeless community and drug users. While the recommendations of fencing were not adopted by NWR, Scotrail CCTV continue to monitor the problem area and there has been liaison with 'Simon Community' for their outreach teams to include the area in their patrols. Incidents have reduced and the PSP is awaiting final assessment before being closed.

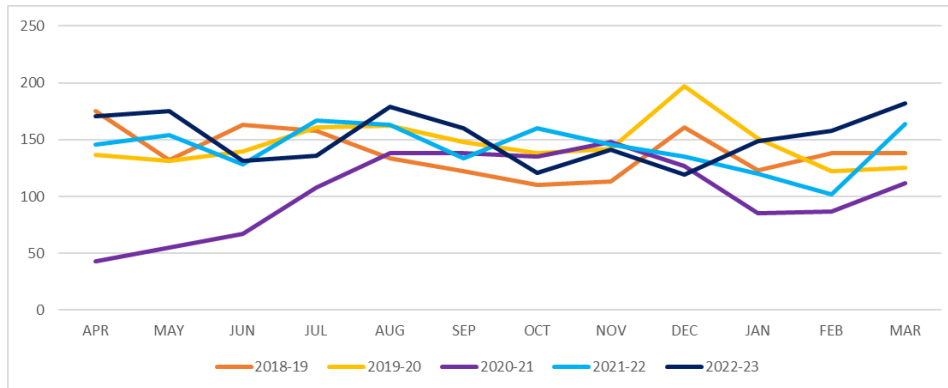
While the division continues to face the challenge of incorporating trespass and disruption patrols within BAU, a Disruption Summit is being planned with NWR to create an improvement plan that is more focused and innovative.

Appendix

1. YTD Crime Trend

1.1. Total recorded crime (all victims and crime types) for the last 5 policing years

1.1.1. Rail Industry strikes impacted recorded crime in December 2022

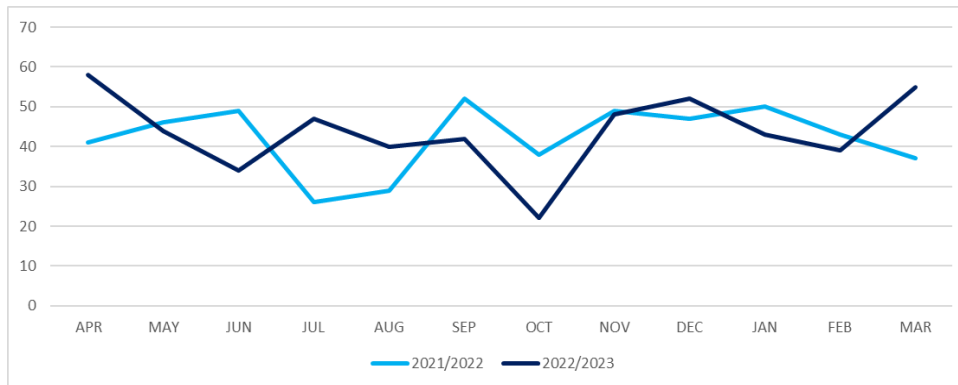


1.2. Total recorded crime (all victims and crime types) by quarter for 2018/19 (pre-pandemic), 2021/22 and 2022/23

	2018-19	2021-22	2022-23
Q1	470	428	477
Q2	414	464	475
Q3	384	441	381
Q4	399	386	489

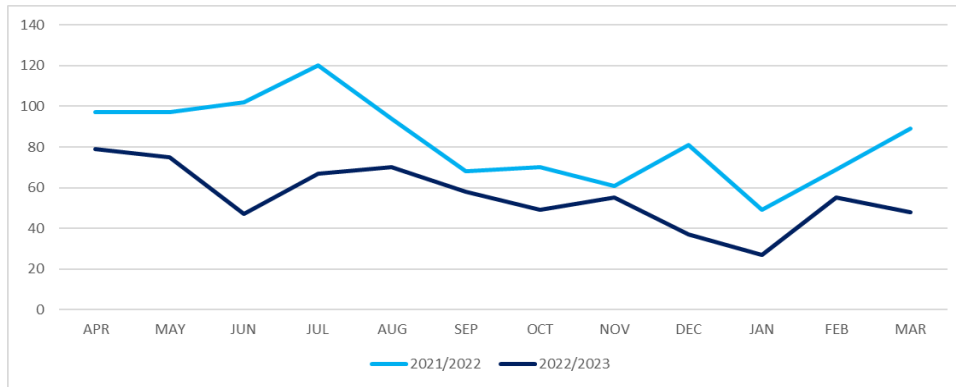
2. Violence Crime Trends

2.1. 21/22 vs 22/23 recorded Violence crimes (all victims)



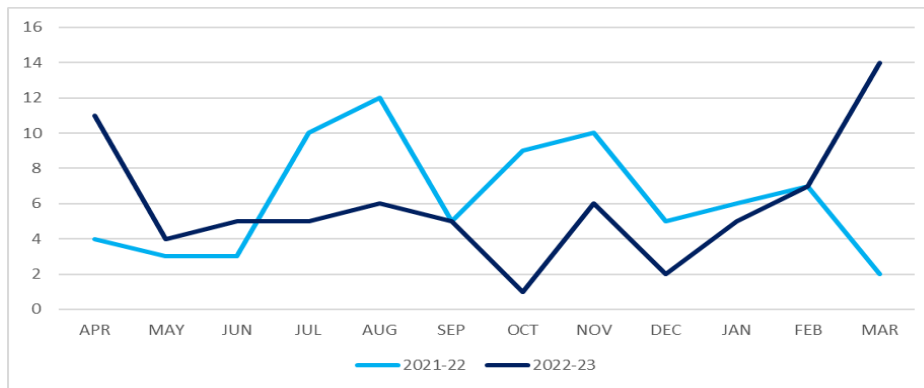
3. Anti-Social Behaviour (ASB)

3.1. 21/22 vs 22/23 Immediate and Priority grade Anti-social behaviour incidents

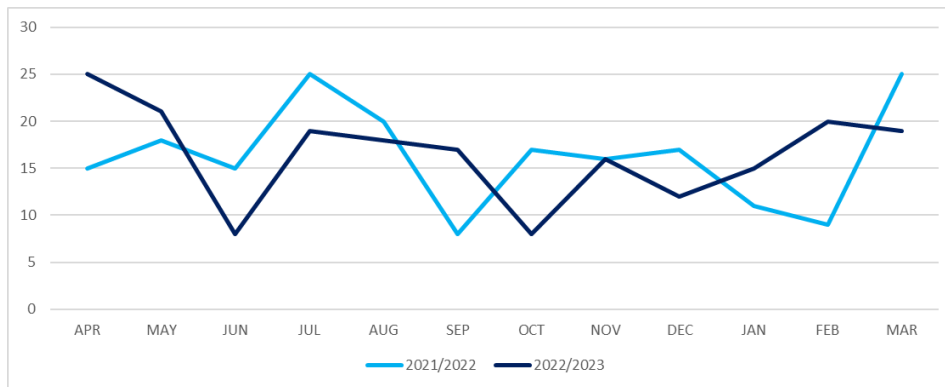


4. Sexual and VAWG Crime Trend

4.1. 21/22 vs 22/23 recorded Sexual crimes (all victims)



4.2. 21/22 vs 22/23 VAWG Offences



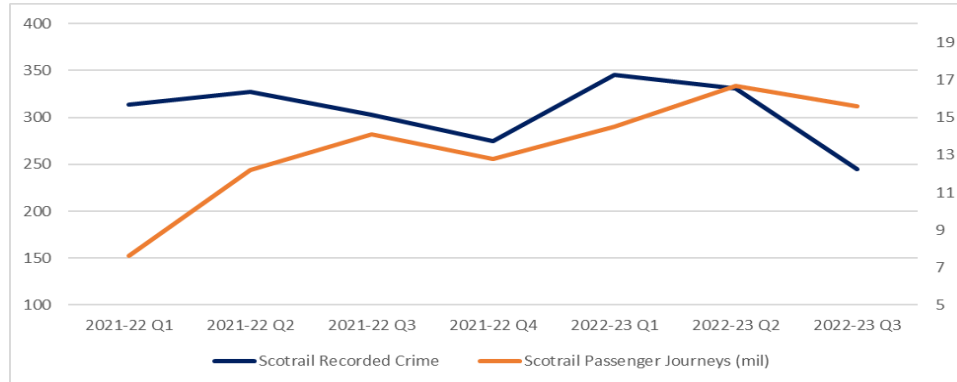
5. Crimes per Passenger Journey (CCPJ)

5.1. 21/22 vs 22/23 Scotrail Passenger Journeys and Scotrail recorded crime

5.1.1. D Division also records crimes on Glasgow SPT subway, but does not have the accompanying passenger numbers.

5.1.2. To try and account for these issues, the trend data presented is restricted to ScotRail passenger journeys and crimes where ScotRail is the relevant TOC.

5.1.3. Passenger Journey Data as per [ORR Data Hub](#)

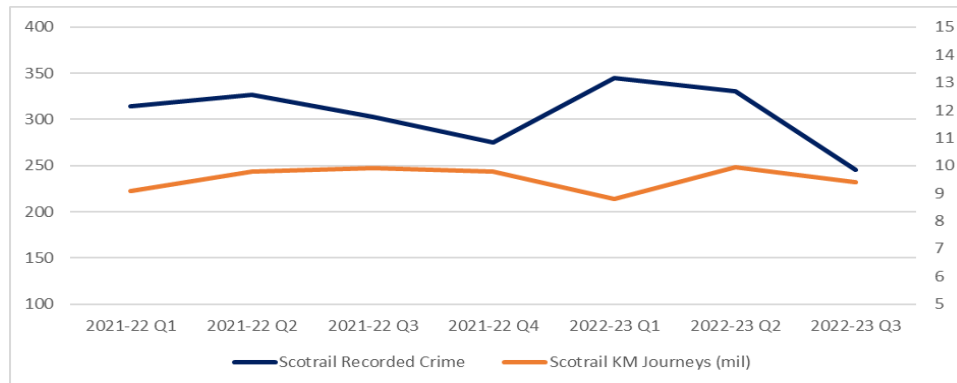


5.2. 21/22 vs 22/23 Scotrail KM Journeys and Scotrail recorded crime

5.2.1. D Division also records crimes on Glasgow SPT subway, but ORR data does not include this line of route

5.2.2. To try and account for these issues, the trend data presented is restricted to ScotRail passenger journeys and crimes where ScotRail is the relevant TOC.

5.2.3. KM Journey Data as per ORR Data Hub





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Joint Working Document British Transport Police (BTP) & Police Scotland (PSOS)

Scottish Railway Policing Committee

1st June 2023



Partnership Highlights

- Police Scotland continue to attend the Safer Transport meetings to identify opportunities to work collaboratively with BTP to tackle crime and antisocial behaviour in and around the transport network. The representation continues from Scottish Government, Scotrail, SPT, Network Rail, Stagecoach Buses and Transport Scotland. Through this meeting PSOS and BTP successfully signed the partners of the Safer Transport meetings to the Your Safety Matters initiative, to ensure all businesses involved are keeping their employees and workplaces safe, healthy and free from violence and abuse.
- As part of Operation Golden Orb, the operation name given to the Coronation of King Charles III, being held in London, forces across the UK, including Police Scotland and BTP supported the event, deploying various officers of differing specialisms between 30th April and 10th May 2023.

Criminal Justice

- Criminal Justice Services Division (CJSD) have two BTP Sergeants on a rolling secondment to CJSD Custody Operations in Scotland. Those Sergeants are currently deployed in the East and West of Scotland. Some members of the Railway Policing Committee recently met one of the BTP Sergeants on a visit to explore the work of CJSD at London Road Custody Centre, Glasgow.
- The secondment is an ongoing collaboration between BTP and PSOS and an updated MOU is in the process of being signed. The secondment of Sergeants not only helps ensure the considerations of BTP are better reflected in the Scottish custody environment, but it provides a valuable developmental opportunity for BTP staff whilst helping to improve the knowledge and appreciation of BTP priorities amongst PSOS colleagues. CJSD value this collaborative opportunity and strongly believe it brings tangible benefits for both organisations.

Crime Highlights

Organised Crime:

- The National Intelligence Bureau via the County Lines work has ongoing engagement and partnership working with BTP. In October 2022, a BTP embedded County Lines Detective Sergeant commenced their role within PSOS and works alongside the County Lines team.
- During Q4 joint working CL operations were carried out on the 17TH/18TH January 2023 in the North of Scotland. Of the 3 CL deployments over the last year BTP and PSOS have deployed 50 officers in total, plus safeguarding leads into Scotland. In terms of hours worked this was a minimum of 12-hour shifts equating to 600 hours. Both forces invested in a 3-day Scottish Law conversion course for 20 taskforce officers from BTP. This is a significant investment from the County Lines Taskforce into Scotland.
- Liaison with Crimestoppers and multi division/department planning occurred for the Fearless County Lines campaign in February. There was two days of operational activity and a publicity launch at key train stations supported by divisions and BTP Scotland.
- The National County Lines Intensification Week (27 February – 6 March) included Joint partnership working carried out by Intervention and Partnership officers and BTP Neighbourhood officers at Edinburgh Waverley and Aberdeen Railway Stations. Officers assisted with leafleting supported by Crimestoppers Fearless campaign.

Major Crime & Public Protection:

- Child Protection, on the last cohort of training for the Scottish Child Interview Model (SCIM), PSOS offered the place to BTP, who accepted the invitation. PSOS have already offered and delivered SCIM Manager training to a several BTP Detective Sergeants, so they could effectively brief interviewing teams in their cases. This previously relied on a PSOS officer acting on behalf of BTP to undertake the interview of the child or the child being interviewed in a previous model of Joint Investigative Interview (JII). On successful completion of the course, BTP should be self-sufficient for child interviews in SCIM. In order to ensure trained officer's continue to meet the standard expected, further collaboration will take place, evaluating the officer's interviews.
- In terms of Joint Training, invitations have been extended to BTP by MISCU for the upcoming Disaster Victim Identification (Foundation) Courses, and both the Family Liaison Officer and Family Liaison Coordinator courses.

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Joint Working Document British Transport Police (BTP) & Police Scotland (PSOS)	
Scottish Railway Policing Committee	1st June 2023

Local Policing West Highlights

- Event planning – BTP are a key partner in terms of event planning in Ayrshire, particularly around football fixtures featuring Kilmarnock. The Ops Planning Team have regular and ongoing contact with the BTP Dedicated Football Officer to facilitate a joint approach to delivering safe footballing events.
- Ayrshire 2023 Easter Action Plan - Local officers worked collaboratively with partners, including BTP, to ensure a safe and enjoyable Easter holiday. Officers coincided shifts to enable a joint approach to tackling anti-social behaviour in popular hotspots, including travel hubs.
- Missing People – BTP consistently assist Police Scotland in missing person enquires. Often young people will travel to Glasgow via the train network. BTP have provided quick responses to request of meeting trains at Glasgow Central and successfully securing missing people.
- BTP are also looking to plan a night of action where they will deploy with their Ferro guard scanning machines and we will also assist as a joint initiative to reduce knife carrying within the community.
- Suicide Bereavement Pilot – Ayrshire is a pilot area for Action 4 of the Scottish Government suicide prevention approach – supporting individuals who have been impacted by suicide. This service is provided by Penumbra. Through discussion at the Local Advisory Board, of which Ayrshire Division is a member, BTP has been identified as a potential key partner and are engaging with Penumbra to get involved.
- BTP are now fully integrated into shared accommodation at Dumbarton Police Office.
- Representatives from BTP and PSOS attend local partnership groups looking at ASB/ Alcohol Drug Partnerships / Community safety and school presentations in the Dumbarton area.
- BTP and PSOS conduct a multiagency operation tackling anti-social behaviour and associated issues around Balloch and the National Park. BTP participate in the Gold and Silver Group meetings, and joint patrols with Police Scotland officers and the Scotrail Travel Safe Team have been carried out as part of this operation.
- BTP are working alongside PSOS and Alzheimer Scotland in a new pilot scheme in the West Dunbartonshire area. A new safeguarding tag has been produced to easily identify a dementia sufferer, who by wearing a Dementia tags that can be scanned with a mobile device. Missing persons and CFW take up a lot of PSOS and BTP resources, and by supporting schemes such as these and working together we aim to minimise the time officers spend at a vulnerable person incident.

Local Policing East Highlights

- BTP Edinburgh Neighbourhood Policing team continues to work on its Youth Engagement Strategy with PSOS. BTP work with partner agencies in Edinburgh in relation to ASB and Violence associated with Major Events.
- BTP and Police Scotland officers regularly conduct joint patrols during times of predictable demand. BTP also worked closely with Police Scotland and partners in relation to persons travelling to and from sporting events. This included the Six Nations Rugby internationals in February and March 2023.

Local Policing North Highlights

- The relationship with North East Interventions Team and BTP has continued to develop. During specific 'Days of Action', BTP have become an integral part of the planning and deployment.
- During February 2023, North East Partnerships (PP&I) and BTP worked in partnership to launch the latest Crimestoppers 'Fearless' campaign centred around Child Criminal Exploitation and County Lines Exploitation. The operation was designed to (1) highlight and raise awareness around CCE and CL exploitation and (2) take positive action against those exploiting and using the rail network to transport drugs.
- The majority of the ASB in the Falkirk/Camelon areas appears to be youth related. Both forces, alongside the Scotrail Travel Safe Team, carry out joint patrols of the area to ensure any ASB from the town centre, is not then displaced to the railway, but dispersed instead.
- Kirkcaldy has had combined stakeholder engagement with NWR, Story Rail and BAM Nuttall in relation to the new Levenmouth Railway project. This has patrols of the line of route, general safeguarding issues and checks of the depots.

OFFICIAL

Scotland Joint Industry Working Report 2022/23

Transport Scotland & Industry Liaison

This Inspector post is 50% funded by Transport Scotland and provides a liaison between Transport Scotland and the wider rail industry with BTP. The role provides Transport Scotland with a single point of contact for any advice relating to railway policing issues and to respond to any enquiries which have been received by the directorate.

The Inspector works in partnership with Train Operating Companies, particularly Scotrail, in relation to policing matters which impact upon the industry. The inspector works closely with the Scotrail Travel Safe Team, attending tasking meetings, to tackle anti-social behaviour issues and provide advice on emerging problem locations with a joined-up approach to tackling the issue.

Through attendance at various forums, the Inspector can address matters which impact upon the industry. For example, the ASB incidents in the West Dunbartonshire area (such as train surfing and emergency handle activations) which impact disruption times. As a result, investigative emphasis has been placed on incidents in this area due to the impact on the industry. The North Clyde ASB Meeting also encourages joint working including Police Scotland in this area.

It is the responsibility of the inspector to engage with external stakeholders, working with the I Am Me charity and Police Scotland to produce resources for schools to address youth related ASB.

The Inspector also holds the portfolio for rail staff assaults. Through this portfolio, regular engagement at the Scotrail Security, Crime & Safeguarding Tactical Meeting, and the Trade Unions Partnership Working Group Meeting assists with feedback, identifying trends, and concerns. It is the intention of BTP to resume providing Conflict Management Training to Scotrail staff to reduce the risk of violence against staff. BTP staff assault reduction plan is currently being produced, which complements the Scotrail Violence Reduction Strategy.

Transport Scotland & Network Rail Decarbonisation Projects

This post is funded by Transport Scotland (TS) via Network Rail (NR), until the end of March 2024, to act as a single point of contact between British Transport Police (BTP) and projects funded from the decarbonisation portfolio of Scotland's Railway. This post, which has evolved over many railway projects, is aimed at improving communication between projects and BTP in highlighting vulnerabilities and reducing disruption.

The Officer in this post is involved in a range of projects, and at each provides a core set of services including:

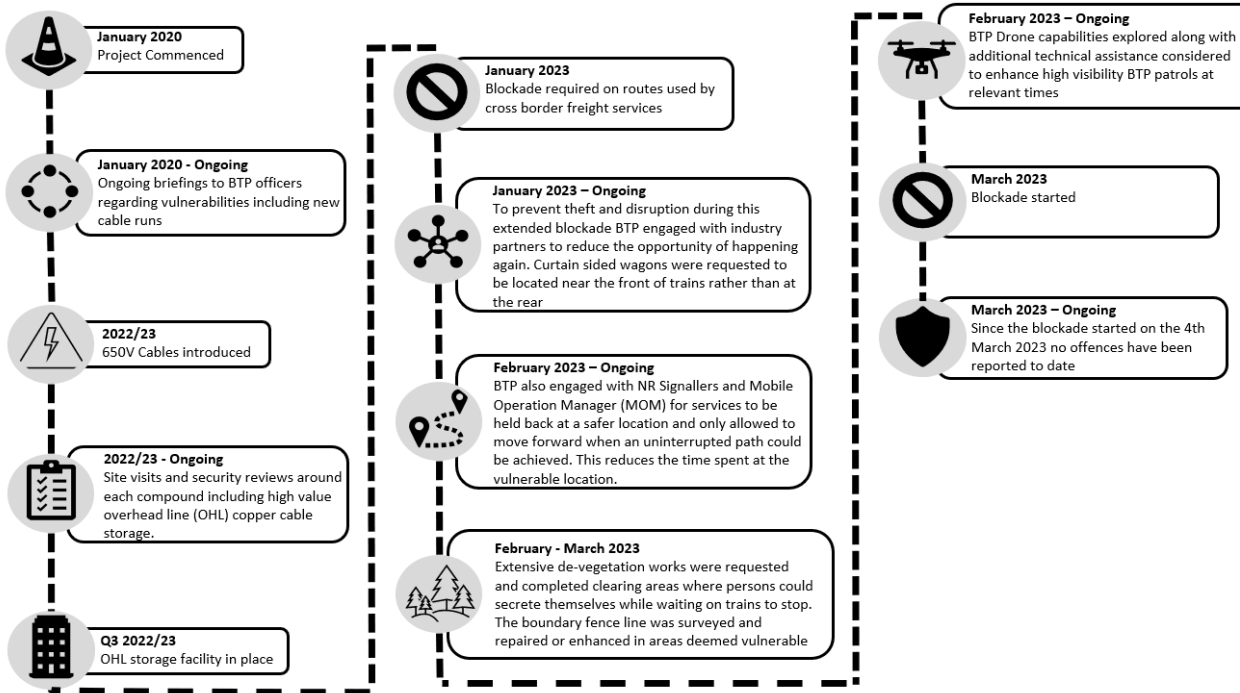
- Maintain regular contact and dialogue with each project.
- Attend cyclical project progress meetings where possible to do so
- Attend community meetings
- Liaise with the Transport Scotland and Network Rail communications teams
- Undertake site visits where appropriate
- Provide guidance in connection with trespass and vandalism prevention
- Provide guidance in connection with site security at site compounds
- Where applicable assist with crime prevention and criminal intelligence matters connected to the portfolio of the project

Over the 22/23 Policing year, Network Rail identified 22 project headings, covering approximately 35 individual projects that the officer was tasked with. These projects include:

- Barrhead and East Kilbride decarbonisation and Improvements
- Fife Phase 1 decarbonisation
- Levenmouth Branch decarbonisation and re-opening
- Decarbonisation traction power phase 1. (six new 25kV feeder stations)
- Reston Station
- East Linton Station
- Inverness Airport Station
- Far North Line Enhancements

- Carstairs Modernisation
- Dunblane, Barnhill and Hilton Enhancements
- Aberdeen to Central Belt Enhancements / Decarbonisation
- Step Free Access at six stations in Scotland during CP6. These are Croy, Johnstone, Port Glasgow, Anniesland, Uddingston, and Dumfries.
- Cadder Yard HST Depot
- Forth Bridge Experience

Below is a timeline from when the project commenced in January 2020 and the involvement BTP have had:



BTP Designing Out Crime Officer

This post is within BTP's Designing Out Crime Unit (DOCU), with a Designing Out Crime Officer (DOCO) identifying current Crime Trends with Network Rail and ScotRail. Once trends have been established the DOCO looks at potential Crime Prevention Measures, report submission processes, and Problem Solving Policing Plans to tackle the issues of Threat Harm and Risk on the Network.

This process is guided by data from the BTP Embedded Analyst at Network Rail. The data allows the DOCO to be pro-active and directed to locations on the railway where there is evidence of:

- Crime trends
- Vulnerability hotspots
- Disruption

Crime Trends

Where crime trends are identified, DOCO will gather information from BTP Neighbourhood Policing Teams (NPT) and Collators, to visit locations, and submit a findings report. DOCO work with ScotRail, Safety and Security Manager and Supervisor of ScotRail Travel Safe Team with regards to safeguarding related issues and incidents.

In addition to industry partners, DOCO has created relationships with external partners such as Community Alcohol Partnership. Conversations are taking place with other organisations such as Violence Reduction Unit and groups that can inform around 'Violence towards Women and Girls'.

Out with passenger journeys or experience, engagement also takes place with Network Rail and the Regional Freight Manager for Scotland, discussing issues relating to Freight in Scotland, specifically within depots and sidings, where freight is deemed more vulnerable to Theft/Graffiti and Fly Tipping.

Vulnerability

The DOCO work around vulnerability takes multiple routes; People in Precarious Positions (PIPP) locations can result in the DOCO making recommendations to Industry, to prevent disruption and potential loss of life on the rail network. This work is done in conjunction with BTP's Public Protection and Vulnerability (PP&V) Unit to include all aspects of vulnerability and safeguarding issues.

Incidents where a person has attempted suicide on the railway, or has committed suicide on the railway throughout Scotland, will result in the DOCO attending the location and producing a findings report with recommendations (temporary or permanent) to deter further incidents. Repeat locations are additionally subject to a multiagency site meeting.

Disruption

Incidents at Level Crossings are also reviewed by DOCO, assisting with Awareness days at pertinent locations, assisting in getting a safety messages across the public, and working in conjunction with Network Rail Local Level Crossing Managers.

Incidents related to the Sale of Railway Land (Land Disposal) includes joint working with DOCO and Network Rail Property Services Manager. From location visits, reviews of possible impact on the railway from the sale of the land, to Fly-Tipping and Parking.

The DOCO conducts regular engagement with Network Rail around Welfare Pod security, including bespoke meetings with Selecta Mark around Crime Prevention measures to protect the pods.

SECURITY CLASSIFICATION - OFFICIAL

HANDLING INSTRUCTIONS - Management

DISCLOSABLE (FOI / PUBLICATION SCHEME) - Yes



BTP Crime Prevention Strategy

Report to: British Transport Police Authority (BTPA) Scottish Railway Policing Committee
Date: 01/06/2023
Subject: BTP Crime Prevention Strategy 2022-26
Sponsor: Assistant Chief Constable Allan Gregory
For: Discussion

Executive Summary

British Transport Police (BTP) launched its Force Crime Prevention Strategy (2022-27) in January 2023 following internal and external consultation. The Strategy is ambitious, wide reaching and aligned to the National Police Chiefs' Council (NPCC) National Policing Prevention Strategy. BTP's Strategy centres around 6 strategic intents tailored to its unique operating environment:

1. Equipping People

- All staff will carry out crime prevention as a core function and will be equipped with the training, skills and resources to do so. This will include rail staff working in our environments.

2. Establishing what works for crime prevention

- Utilising evidence-based practices to tackle long term problems.

3. Clear ownership and accountability

- Personal, local, regional and national governance structures in place to make it clear who owns a problem.

4. Partnership working and collaboration

- A truly preventative-focused police service cannot work in isolation within the environment they police. Stakeholders are to be engaged with at all levels - national, regional and local.

5. Prevention as a core focus of communications

- Develop and produce communications when and where they effectively support the strategic objectives.

6. Environments built with prevention at the forefront

- Working with the rail industry to ensure new rail environments consider and implement crime prevention in the design stages.

This paper is intended to serve as an introduction to the strategy and a summary of the key challenges ahead.

Main Report

What does the Strategy hope to achieve?

The ambitions for the Strategy can be summarised as:

- **Reduced Offending:** tackling the causes and opportunities that facilitate offending.
- **Reduced Harm:** tackling the drivers and vulnerabilities associated with victimisation in both the physical and virtual environment.
- **Reducing Demand through Evidence-Based Problem-Solving Approaches:** reducing public harm and internal demand through a systematic, cost effective, problem-solving approach, based on what works.
- **Cultural Change:** embed preventative policing to maximise opportunities in preventing public harm and reducing demand through problem-solving approaches.

A shift of focus away from prevention being a core activity has occurred throughout policing in recent years, and specifically in BTP through a lack of a dedicated Strategy on prevention and through the absence of the tools required for frontline resources to be effective. The force currently has Problem-Solving Plans nationally (PSPs – owned at a local level and intended to bring all stakeholders together to solve a problem through collaboration and innovation rather than relying on uniform presence and patrolling as a panacea), and does not have empowered Force-wide owners to oversee and drive preventative activity for each volume crime type. There are some locations where the issues raised don't pass the threshold for a problem-solving plan to be created, and as such they are created as part of a patrol plan tasking. These are recorded by the officers as a tasking to evidence their work to resolving the issue.

This strategy aims to equip the organisation with the skills and knowledge to problem solve and prevent, from recruit training through to continuous professional development, supported by a crime prevention tactical options menu suitable for application against each and every crime type.

National activity for each identified crime type will be driven by a single senior individual, focusing on the top locations for that crime, and facilitating a more joined-up approach. A focus on communications will ensure innovative campaigns are created to address seasonal fluctuations in crime. National hotspot locations for each volume crime type will be identified along with Divisional hotspots, with each of these requiring a high quality and actively driven PSP.

The NPCC lead for Prevention, CC Serena Kennedy, has been approached for her team to carry out a peer review and advise on the development of an action plan whilst a Project Manager to deliver the changes required is sought.

What are the key challenges?

BTP's operating environment is wholly unique. It has an extended transient environment across three nations, a multi-billion pound national infrastructure, it has a heavily-commercialised offer, a multiple contractor supplier base, significant stakeholder interests to manage (passenger operators, freight operators, Network Rail routes, passenger interest groups, local authorities, MPs and the Mayoral community amongst them), and it is CCTV rich and heavily populated with a workforce and the public (either as passengers or non-travelling consumers). Prevention of crime therefore belongs, and is of consequence, to many parties and should not be seen purely as a responsibility of policing.

Preventing crime through environmental design is a key part of the Strategy, however there is no formal, mandated and industry-wide process in place which binds the rail industry's project teams to seek BTP designing-out-crime-advice when construction, development or refurbishment work is due to be undertaken. In the main, local relationships are relied on due to formal planning processes requiring specific engagement with Home Office forces as opposed to BTP. This will not be sufficient if this Strategy is to achieve its long-term aim.

The review of portfolios as a result of the Layers and Spans project presents an opportunity to shape the new ownership of crime types, with a single individual responsible for overseeing national preventative activity for key allocated crime types.

What is the impact on stakeholders?

Far more engagement and activity from stakeholders will be required if this Strategy is to succeed. A Rail Crime Prevention Partnership (RCPP) group has been formed with senior stakeholders from across the rail industry (Network Rail (NR), Rail Delivery Group (RDG), Department for Transport (DfT) and Transport for London(TfL)), and once leads for each crime type are identified, these stakeholders can be engaged with to collaborate on preventative activity in hotspot locations.

END OF REPORT

Public Consultation 2022

Within Q3 22/23, BTP ran their annual Public Consultation to gather the thoughts of passengers in the communities using the rail network. Around 1,800 responses were received from across the country. Full analysis of these responses is currently underway; however, some initial headlines relating to D Division/Scotland can be drawn.

Public Consultation; D Division Headlines

From these responses, 11.3% (181) were from D Division (+1.7% compared to 2021).

Results showed an increase in Public Perception of Safety, with 67.6% (122) stating they felt safe in regards to the fear of crime whilst travelling on the railway. This is an increase from 48.9% stating they felt safe in 2021.

More D Division respondents took action such as 'Report any concern for safety to Police/transport staff' (33%) (60) than 'Avoid the train or tube for a significant period of time' (23%) (42).

While travelling, only 3.9% (7) of respondents stated they had seen a BTP police officer or PCSO 'a great deal' and 20.4% (37) have never see a BTP Officer or PCSO.

When asked around BTP Services, 80% (145) of all D Division respondents agreed that 'BTP Police Officers and PCSO use their powers appropriately' compared to the 69% of overall respondents who agreed with this statement.

The top 3 priorities to the public are

- Anti-Social Behaviour
- Violence
- Sexual Offences

When asked, 84% (152) of respondents from D Division said they would report a sexual harassment if they witnessed or experienced it on the railways

Rail Staff Survey 2022

The rail staff survey was also live in Q3 22/23 and was sent out to all Train Operating Companies (TOC), with the exception of Transport for London. Overall, just over 1,150 responses were received. Analysis of all responses is ongoing, however, some initial headlines for D Division can be extracted.

Rail Staff Survey; D Division Headlines

While multiple TOCs operate within D Division, the main TOC operating in Scotland is Scotrail and therefore focus will be around their responses. 5.8% of all responses were from Scotrail employees (62).

When asked around Safety perceptions, 16.4% (10) of respondents states they feel safe at work, which was a decrease when asked in 2021.

When asked around thoughts on BTP's presence at where they work and how effective they think BTP are as a force, responses to both were largely negative responses with 88.7% (55) of respondents stating that had little to no confidence in BTPs ability to police where they work.

The top 3 priorities to Scotrail staff are

- Anti-Social Behaviour
- Alcohol-related disorder
- Work-related verbal aggression

Action Plan

The force is currently creating an action plan to respond to this feedback.

Since these surveys were completed improvements have been made around Officer visibility and joint working with Scotrail's Travel Safe team.

D Division Scotland Introduction



Chief Superintendent Gill Murray
Divisional Commander D Division

Email gillian.murray@btp.police.uk
Follow [@BTPMurray](https://twitter.com/BTPMurray)



D Division, following public and rail staff feedback, recognised a demand for change in the post-pandemic landscape. We have focused on enhanced recruitment, a review of resource structures to ensure greater officer visibility on key routes, refreshed our neighbourhood policing model and the re-energising of Operation Alert.

Over the past year, BTP officers in Scotland have been involved in policing major events across the country, most notably those events associated with the passing of Her Majesty Queen Elizabeth II. Policing under these challenging circumstances required officer professionalism, compassion and adaptability, while continuously demonstrating a commitment to protect and serve Scotland's communities on the rail network. I am proud our officers stood up to the task.

We are clear that, in our role as Guardians of the Railway, BTP will take a no tolerance approach to violence, discrimination and sexual harassment, while also collaborating with partners to prevent crime and minimise disruption related incidents on the network.

Anti-social behaviour and violence and intimidation towards women and girls continues to cause significant concern to the travelling public and rail staff. Focusing on greater visibility and targeted patrols in hotspot routes across Scotland, such as our joint Safer Shores initiative with partners, we will continue to take decisive action to tackle anti-social behaviour, violence and intimidation toward women and girls. The County Lines Taskforce are also engaged in fantastic work through taking decisive action against criminality perpetrated by organised crime, who often exploit some of the most vulnerable in our society, to courier drugs that impact communities in Scotland.

The key to our success in delivering for passengers and rail staff across Scotland is our partnership working with stakeholders, including the rail industry, Police Scotland, government and the third sector. Collaboration with our partners is essential if we are to create a hostile environment for those individuals who wish to engage in

violence and intimidation towards women and girls and other crimes on the network.

Our partners continue to support us in these efforts by raising awareness of our Railway Guardian app and Text 61016 service, which offers passengers and staff an important tool to report incidents to BTP, where our officers will respond with decisive action. I am encouraged by the positive work BTP are engaged in with our partners in ScotRail through the Travel Safe Team Initiative, which facilitates greater visibility on trains across the rail network in Scotland to provide reassurance to passengers and staff in the event of an incident.

As we look to strengthen our partnership working further, I look forward to working with stakeholders to support Transport Scotland's recent reported recommendations on what action can be taken to improve the safety of women and girls on public transport in Scotland.

As we are all aware, there is intense public scrutiny on the work of the police. I share the deep anger, frustration and hurt of my valued colleagues following the news of PC David Carrick using his position as a police officer to manipulate and abuse women. I wholeheartedly welcome the bold leadership shown by the Chief Constable in recent weeks and months over this issue.

I am clear that BTP officers must continue to demonstrate the highest standards of professionalism when serving our communities, as we look to address the key challenges facing the rail network in Scotland.

I want to thank all the committed, hard working volunteers, staff and officers who continue to deliver a dedicated, professional policing service.

D Division Scotland

Create a hostile environment for terrorism through the CONTEST strategy

- Maintain specialist operational capabilities that provide mitigation to the plausible attack methodologies identified. Develop capabilities where they do not already exist.
- Develop the awareness and understanding of the terrorist threat amongst BTP officers and staff, including the role they play in mitigating against it.
- Increase rail industry awareness of the terrorist threat and how they are able to mitigate against it
- Maintain command capability that enables effective command and control of the BTP response to a terrorist attack
- Undertake an exercise programme which thoroughly tests response plan, commanders and responders against the highest risk and most plausible threats within the CT Strategic Threat and Risk Assessment
- Develop and train guidance documentation and prepare plans for the highest risks and most plausible threats within the CT Strategic Threat and Risk Assessment

Ensure passengers and staff can work and travel free from the threat of violence

VIOLENCE AND AGGRESSION AGAINST PASSENGERS

- Number and percentage of positive outcomes for:
 - Serious violence
 - Weapon-enabled offences
 - Robbery
 - Public Order
- Officer tasking activity output for serious violence and weapons crimes:
 - Stop and Search
 - Intelligence submissions
 - Weapons seized
 - Victim Code of Practice Compliance

VIOLENCE AND AGGRESSION AGAINST RAIL STAFF

- Number and percentage of positive outcomes for violence against person (VAP) and public order against rail staff
- Outcome types for offences against rail staff
- Through collaboration with operators, improvement in percentage of positive outcome types for rail staff
- Victim Code of Practice Compliance

D Division Scotland

Tackle those crimes and incidents that most impact on the confidence of those who work and travel

- Number and percentage of positive outcomes for volume crime at agreed key locations
- Officer activity output at agreed key locations (on and off train)
- Number of anti-social behaviour (ASB) incidents
- Satisfaction levels as determined by the Victim Crime Survey
- Incident response times, broken down by category (Priority/Immediate)
- Number and percentage of positive outcomes for football related offences

DIVISIONAL OBJECTIVES:

- Number of BTP, industry operations and interoperability working with Police Scotland and associated outcomes
- Agreed key locations – to be decided with Divisions in new performance year

Reduce disruption on the network through collaboration

- Number of disruption incidents and primary minutes at key locations broken down by category:
 - Cable theft
 - Vandalism/theft
 - Trespass
 - Drunks/disorder/trespass
 - Fatality/injuries involving a train
- Average fatality handback times
- Number of PSPs created for PiPP hotspots

DIVISIONAL OBJECTIVES:

- Disruption minutes and incidents related to red route locations
- Joint problem-solving initiatives at red route locations with industry

Protect, support and safeguard vulnerable people and those at risk of exploitation and harm

- Vulnerability concern reports by category
- Number of repeat presenters and high frequency presenters
- County Lines data by outcome category
- Number of life saving interventions
- Use of powers to protect people in crises (S136 Mental Health Act)

D Division Scotland

Tackle violence against women and girls, hate crime and sexual harassment

- Number and percentage of positive outcomes for violent crimes against women and girls (including breakdown of victim engagement)
- Number and percentage of positive outcomes for incidents involving sexual harassment (measure for public and rail staff)
- Number and percentage of positive outcomes for sex offences (including breakdown of victim engagement)
- Number of known offenders being actively monitored
- Number of applications for Sexual Harm Prevention Orders, Criminal Behaviour Orders and wider preventative orders.
- Percentage of compliance with prohibitive orders for managed offenders
- Number and percentage of positive outcomes for hate crime (broken down by factor)
- Officer tasking activity output for sexual offences and hate crimes
- Satisfaction levels as determined by the Victim Crime Survey
- Victim support of prosecutions



SCOTLAND COMMITTEE

AUDIT & INSPECTION ACTIVITY REPORT

May 2023

Audit, & Inspection Update



Audit & Inspection Compliance

- BTP is currently tracking 68 open recommendations from force-wide Government Internal Audit Agency (GIAA) audits and Her Majesty's Inspectorate of Constabularies, Fire & Rescue Services (HMICFRS) inspections – this is an increase of 18 since the last reporting in March. Taking into account the addition of 21 new recommendations, overall this shows a slight reduction in the number of recommendations for the second quarter.
- There are currently no open recommendations which are specific to activity or process in Scotland.

HMICFRS and HMICS Activity

- There are 3 reports which are awaiting publication following HMICFRS Inspections. The approximate dates for these and date of inspection is included below for information. The PEEL report and Vetting & Counter Corruption Report require approval by the Secretary of State before they can be published:
 - Serious & Organised Crime (joint inspection with City of London and MPS) – published 18 May
 - PEEL Report – expected to be published at the end of June
 - Vetting & Counter Corruption – may be published at the end of June
- The draft HMICFRS Inspection Plan 2023-26 will be presented to ARAC for endorsement at June's meeting. The draft inspection programme will contain the below areas:
 - Vetting Re-inspection
 - National Investigations and CPS Inspection (BTP has expressed interest to be part of this inspection)
 - Custody Inspection
 - PEEL Inspection
- HMICFRS will liaise with HMICS about their involvement in the PEEL inspection, planned for 2025/26.
- Audit & Assurance have their quarterly meeting with HMICS on 24 May and will share the draft inspection plan with them for information.

GIAA Activity

- The GIAA Audit Plan 2023/24 was agreed at ARAC in March. Initial discussions have taken place with the Head of Internal Audit about those audits where there is benefit in reviewing process / practices in Scotland. The Head of Internal Audit will provide more information on the Plan later on this agenda.

Governance Health Checks – D Division

- There are five main property stores in Scotland (Aberdeen, Edinburgh, Glasgow, Inverness and Perth), holding approximately 5500 items of property. All Property Stores were subject to a 100% independent audit by the governance team and all passed the inspection with very high levels of compliance, particularly around High risk items (Cash, Drugs & Firearms), Access Control & Physical Security. D-Division Property management is often highlighted as best practice at force property meetings.
- The Governance Health checks also looked at other key areas such as Station Management, Information and Security management and management of police information. The division scored very highly in these areas and evidenced good management oversight with sound practices in place.

HMICS inspection on Mental Health



- HMICS approached BTP to inform their inspection of Mental Health in early 2023.
- The scope of the HMICS Inspection on Mental Health includes:
 - How well prepared Police Scotland are to meet the needs of people who are suffering from poor mental health
 - Whether the police response to mental health related demand impacts on the efficiency and effectiveness of the force in delivering other policing services
 - Whether the force understand the demand associated with the provision of mental health related policing services
 - The effectiveness of the force's collaborative working arrangements in relation to the provision of mental health related policing services
 - The impact that the involvement of the police has on the person who is suffering from poor mental health
- BTP is not part of the inspection, but has responded to some benchmarking questions from HMICS covering areas such as resourcing, joint working, training, demand and reporting. BTP has also provided several pieces of documentation on it's work, particularly around the Harm and Reduction Teams (HaRT) who currently only work in England & Wales; and a focus group was also held with the HaRT Teams and HMICS on 24 April.
- HMICS has met with Humberside and the MPS about work they are doing to help inform the inspection.
- It is expected that the HMICS inspection report will be published in summer 2023. If the report contains any specific reference to BTP activity, HMICS have said that they will share a copy of the draft report with the force before it is published for factual accuracy checks.

Crime & Incident Audits



BRITISH
TRANSPORT
POLICE

The committee is reminded that all crime & incident audits include activity in Scotland, but that the samples sizes are small. Some findings from our force-wide audits are below. To address the low numbers of Scottish crimes and incidents in the audit samples, an all Scottish crime and incident audit is planned for June.

Victims Updates (Victims and Witnesses (Scotland) Act) – There have been two audits, the first to check the accuracy of published data which found that the methodology showed better performance than delivered owing to misunderstandings around Niche fields. A second audit looked to find the true level of compliance and found that of 212 crimes reviewed 71% had appropriate victim contact, two crimes were in Scotland both were compliant,

Since the previous update there have been the following crime and incident audits published.

Hate Crime – All 86 hate incidents reported to BTP in December were examined, only one was in Scotland with four crimes required, the incident was investigated but one of the four victim crimes was not recorded; this was recorded when the error was identified.

Stalking & Harassment – All stalking and harassment crimes and incidents reported in October, November and December were examined. Overall there was good compliance with 97% correctly recorded, there were three crimes in Scotland all correctly recorded.

ASB (Personal) - All incidents closed as ASB(P) in January were examined, overall 81% were correctly closed with ten crimes overlooked, in Scotland all four incidents were correctly recorded. Control Room supervisors were briefed and a second ASB (all) audit followed.

Public Order - 115 public order incidents and crimes reported in January were examined, overall 76% were correctly recorded, in Scotland all four incidents were correctly recorded.

Violence Against the Person - 186 public order incidents and crimes reported in February were examined 96% were correctly recorded, in Scotland there were nine incidents all were correctly recorded.

ASB (All) - A population audit of all 203 ASB incidents reported 25th March to 6th April in response to the poor ASB(P) audit found an improved performance, with overall 95% correctly recorded. In Scotland there were 16 incidents, all were correctly recorded.

Overall, crime in Scotland, while a small part of BTP's overall demand, is recorded accurately.



Government
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Scottish Railway Policing Committee

GIAA Update

V1 23/05/23

GIAA - 2023/24 Internal Audit Plan

Plan overview

GIAA have developed our 2023/24 Internal Audit Plan which is presented in full as a separate paper. This plan was approved at the March BTPA Audit Risk & Assurance Committee. The individual review we intend to deliver are detailed on pages 8 and 9 of the Plan.

GIAA's reviews are focused on providing assurance across the organisation. We have also committed to the following approach during the current year:

'We will be focusing on ensuring a geographical spread for our reviews during 23/24 in response to customer feedback. This should give richer insights and draw more clearly on areas of best practice and for improvement at Divisional level'.

Engagement with the Scottish Railway Policing Committee

As part of planning to deliver a more focused approach, we are engaging with the Committee to seek steer on where this can be best applied with D Division. Our ability to deep dive across multiple geographical areas in every review is limited by two factors:

- i. The need to look across the organisation to give appropriate assurance both at an individual engagement level and when providing our overall annual assurance opinion on the framework of governance, risk and control.
- ii. Engagement budgets - we have a set number of days for each review and resource and deliver accordingly. We aim to maximise the value from these days and plan on a risk basis.

Having reviewed the plan, we are proposing two areas where a focused approach could add most value:

- **Major incident planning & response;** our review will assess governance arrangements and the design and operation of key controls and processes in place to plan and prepare. This will include training, scenario planning and testing. Our review could consider lessons learned and ways of working in D Division.
- **Health & Safety OR Workforce planning;** these two reviews will be delivered by considering the overall framework in place, and then sample testing ways of working at a local level – for example in how the risk assessment processes or duty planning arrangements operate.

As part of the above approach, we would aim to bring out tailored findings and insight where these add value.

We welcome feedback and steer on this approach before we enter the scoping and planning phase of these individual reviews.



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British Transport Police Authority

2023/24 Internal Audit Plan

Final

Better insights, better outcomes

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This document has been prepared for British Transport Police Authority and is only for British Transport Police Authority management and staff. British Transport Police Authority must consult with GIAA (pursuant to part 3 of the Secretary of State Code of Practice issued under section 45 of the FOI Act) before disclosing information within the reports to third parties. Any unauthorised disclosure, copying, distribution or other action taken in reliance of the information contained in this document is strictly prohibited. The report is not intended for any other audience or purpose and we do not accept or assume any direct or indirect liability or duty of care to any other person to whom this report is provided or shown, save where expressly agreed by our prior consent in writing.

Overview

The mission of internal audit is to enhance and protect organisational value by providing risk-based and objective assurance, advice and insight.

Internal audit is an independent objective assurance and consulting service designed to add value and improve an organisation's operations.

Internal audit activity adds value to the organisation when it considers strategies, objectives and risks; provides objective and relevant assurance; and contributes to the effectiveness and efficiency of governance, risk management and control processes.

A professional, independent and objective internal audit service is one of the key elements of good governance, as recognised throughout the UK public sector.

As Head of Internal Audit (HIA), I am responsible for managing the internal audit service to you in accordance with:

- our Internal Audit Charter;
- our Memorandum of Understanding (MoU); and
- [the Public Sector Internal Audit Standards](#) (PSIAS, the Standards).

To do this, I have developed:

- an internal audit strategy covering the period 2023/24 to 2025/26; and
- a risk-based internal audit plan for 2023/24.

The proposed fee for our internal audit service in 2023/24 is £143,500 (22/23 - £137,700). This represents a 4% increase on prior year.

As a minimum, I will review the service and the plan with you on a six-monthly basis to keep it relevant to your needs.

Aaron Condron, Head of Internal Audit, GIAA

27/01/2023

Our internal audit strategy

Providing a service consistent with your goals

The Standards require that I must 'establish risk-based plans to determine the priorities of the internal audit service, consistent with your organisation's goals'.

I consulted with senior stakeholders to understand your organisation's strategies, business objectives and priorities, risks and risk management arrangements. A list of the senior stakeholders I consulted is at Annex 1 to this document.

To establish the risk-based plan, I undertook a risk assessment, which is at Annex 2 to this document. In undertaking the risk assessment, I considered the input of senior stakeholders and sources of information including:

- your corporate and business plans;
- your risk registers; and
- the findings of our own work and that of other assurance providers.

Providing relevant assurance

The Standards require that 'The risk-based plan must take into account the requirement to produce an annual internal audit opinion on the assurance framework.'

For assurance to be relevant, it must align to the governance, risk and control framework on which the annual opinion will be provided.

The assurance I provide will be based on the governance, risk and control frameworks set out in the following publications, which apply to central government organisations:

- Corporate governance code for central government departments (2017) (mandatory for departments, advisory for other bodies);
- Orange Book: Management of risks - principles and concepts (2020);
- Managing Public Money (2021).

I will also tailor the assurance to your organisation's specific governance, risk and control frameworks and any other requirements that apply to your organisation.

Deploying appropriate resources

We deliver our internal audit service through a blend of resources that are appropriate, sufficient and effectively deployed.

I assessed my resource needs to ensure that my delivery team has:

- **appropriate** skills, knowledge and other competencies to deliver the internal audit service set out in the plan. Where appropriate, I will source this competence from GIAA's specialist audit teams and from its strategic partners; and
- **sufficient** quantity of resource to deliver the internal audit service set out in the plan. I used the GIAA planning principles, resourcing assumptions and my experience of delivery to assess the quantity of resource needed.

I am confident that the resources available to me are appropriate and sufficient to enable me to deliver the internal audit service set out in the plan.

I will communicate any significant changes to resources to senior management and the Audit and Risk Assurance Committee (ARAC) for review and approval.

Working with others

To optimise coverage and minimise duplication of effort, where appropriate we share information, coordinate activities and rely on the work of other assurance and consulting service providers.

To support my considerations on co-ordination and reliance and to inform our audit priorities, I used your assurance map to develop my understanding of your assurance needs and knowledge of who provides assurance to avoid gaps and overlaps in provision.

In deciding whether I could rely on the work of other assurance providers, I considered the scope, objectives and results of their work and the competency, objectivity and due professional care they deploy in undertaking their work.

Where I rely on the work of others, I am still accountable for ensuring that there is adequate evidence for our conclusions and opinions. I will rely on the work of:

- Her Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS)

Covering risks to your objectives

Covering risks within your risk register

I assessed the risks to achievement of your objectives, reviewed your risk management arrangements and your risk register, and consulted senior stakeholders. I set out in Figure 1 coverage of the risks within your risk register in the 2023/24 internal audit plan.

Figure 1: coverage of risks within your Strategic Risk Register

Risk Heading	Planned Engagements 23/24	Delivered Engagements 20/21 – 22/23
Technology	-	IT Resilience & Technology function IT asset management – C-19 response
Recruitment & Retention	Workforce planning	Recruitment Payroll Strategic Workforce Planning Diversity & Inclusion
Wellbeing, Health & Safety	Physical Security follow up Health & Safety	Physical Security Health & Safety
Major Incidents	Major Incidents	Organisational learning – Manchester Inquiry
Cyber and Data Security	-	Cyber Security Data Integrity
Partnership Working	-	EPSAs
Income	E-expenses Financial planning and efficiencies Contract Management	IFRS 16 (Leases) E-expenses Finance - period end process
Legitimacy	-	Inclusion & Diversity
Change Management	Force on the Move; specific reviews	Transformation programme benefits management Set up of Force on the Move strategy Embedded assurance – Force on the Move strategic delivery

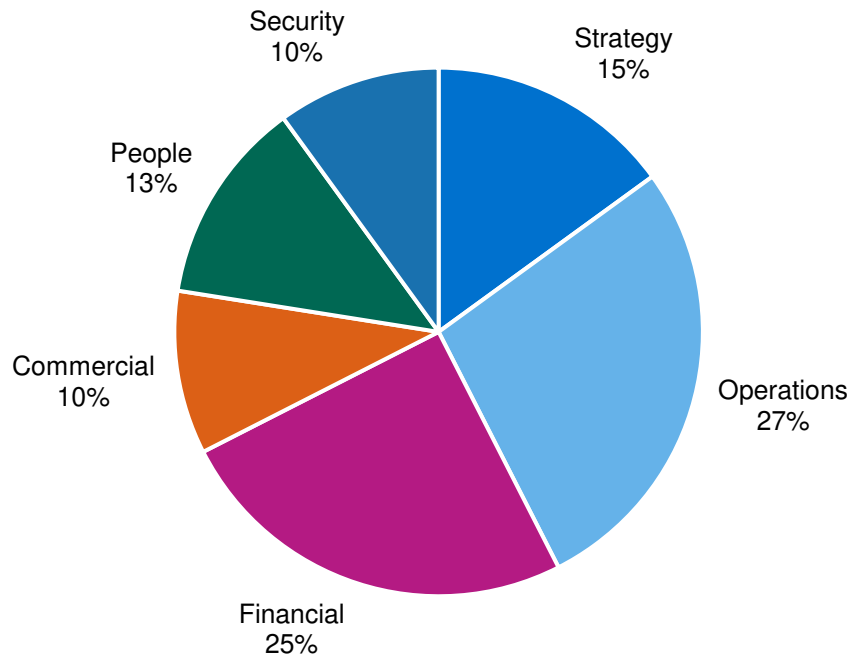
Balance of coverage in our plan

I set out in Figure 2 coverage of the risk categories set out in the Orange Book in the 2023/24 Internal Audit Plan.

This demonstrates the balance and composition of the plan. I have aimed for a blend of reviews across risk areas, key processes, and functions. The 27% focus on **Operations** (with two planned reviews – Major Incidents and Health & Safety) is maintained in the current year as this is core to BTP’s role and remit. The slight increase on **Financial areas** (financial planning & efficiencies and e-expenses) reflects the challenging external context and environment on budgets – as does our **Commercial** review of contract management. We plan to continue our focus on **People** via the re-visit of workforce planning.

As with 22/23, we will agree ‘golden threads’ that are to be assessed as themes throughout our work; we will report on these on an ongoing basis and in our Annual Report.

Figure 2: coverage of risk categories



Our internal audit plan 2023/24

The plan below sets out the reviews to be delivered over the course of the full financial year 2023/24. We will perform a formal review after 6 months to help ensure that our assurance activity is still appropriately targeted to the key risks and assurance needs of BTPA. **We will be focusing on ensuring a geographical spread for our reviews during 23/24 in response to customer feedback. This should give richer insights and draw more clearly on areas of best practice/improvement at Divisional level.**

Engagement title	BTP/A Strategic Risk assessed	Rationale for inclusion and outline scope	Qtr of delivery (timings tbc)	Target ARAC meeting date
Physical Security follow-up	Health & Safety	<p>GIAA audited this area during 22/23 and provided a ‘Limited’ assurance rating overall. As is now GIAA policy and best practice, we will re-visit this area.</p> <p>Our review will provide an independent assessment of progress made and the completion of agreed actions - designed to mitigate risk and strengthen governance and the control environment.</p>	Q1	June 22 nd 2023
Major incident planning & response	Major Incidents	<p>Failing to effectively plan, prepare for and respond to a major incident is a strategic risk to the organisation. GIAA have delivered work during 22/23 focusing on the response of BTP to the Manchester Arena Inquiry Volume 1 recommendations. This work would move to assess business as usual processes and arrangements.</p> <p>Review to assess governance arrangements and the design and operation of key controls and processes in place to plan and prepare – including training, scenario planning and testing.</p>	Q2	September 8 th 2023
Contract management	Income	<p>Effective contract management helps BTP/A to control costs and to help ensure goods and/or services are provided in accordance with agreements. GIAA last audited this area in 2019/20, and we have seen that this continues to be an area of challenge across customers.</p>	Q2	November 17 th 2023

		Scope of work to align to the Commercial Government Functional Standard which includes the contract management element of the lifecycle - to cover mobilisation, managing delivery and risk, alongside the underpinning processes of governance, policy, training and skills.		
Financial planning & efficiencies	Income	<p>The NAO have defined allocative efficiency as choosing which activities to spend on for maximum results (doing the right things), and technical efficiency as achieving good value for money from these activities (doing things right). Understanding demand is key to this. HMICFRS have recently assessed this part of BTP's activity and will report in its organisational assessment. The context to this includes the financial challenges experienced across the rail sector and beyond.</p> <p>Review to assess the planning and management of financial and non-financial efficiencies and how these are monitored, measured and built into planning and delivery.</p>	Q3	March 2024
E-expenses	People	<p>Expenses present an inherent fraud risk to the organisation – a risk which is increased in the current financial climate. GIAA previously reviewed the E-expenses system during 20/21 and gave a Limited assurance rating.</p> <p>Review to assess the design and operation of key controls and processes against policy that are designed to enable the effective operation of the system, whilst preventing and detecting fraud/error. To include a focus on the assurance and checking regime as well as data analysis.</p>	Q1	September 8 th 2023
Health & Safety	Wellbeing, Health & Safety	<p>This is a strategic risk for the organisation which has many employees, delivers complex work and is geographically dispersed. There has been some staff turnover in this area and a particular need to focus on Risk Assessments, as raised in GIAA's review in 20/21.</p> <p>Scope to focus on arrangements to plan and deliver risk assessments, but could also be extended to test governance and operation of key controls.</p>	Q4	June 2024

Force on the Move	Change Management	<p>The FoTM portfolio is nearing the end of its first year of delivery and remains a key area of strategic focus and risk. GIAA have provided Real Time Assurance focusing on the design and set-up of key governance and investment forums, also looking across some of the programmes and projects.</p> <p>During 23/24, we have agreed to perform more focused and tailored work at a programme and project level. This could be delivered in a thematic way – for example looking at benefits or planning across these targeted areas.</p>	Q1-4	TBC
Workforce planning	Recruitment & Retention	<p>GIAA reviewed Strategic Workforce Planning in 21/22 and gave a Limited Assurance rating.</p> <p>The action plan from this review is being delivered, however this review will be a full re-audit. Using the past review as a basis for inquiry into current arrangements, the scope of this exercise could be extended to operational workforce planning – covering duty planning and how this operates in practice across different areas in the organisation.</p>	Q3	March 2024

Exclusions from the plan

I set out in this section topics that I discussed with stakeholders and considered for inclusion in the plan, but which I ultimately excluded from the 2023/24 plan, for the reasons set out.

Topic area	Description	Reason for exclusion
GDPR compliance	Review of compliance with key Data Protection legislative requirements. This could focus on a discrete area on a risk bass.	Performed review of data integrity during 21/22 and have previously reviewed framework in place to manage GDPR. Retained on indicative 3-year plan
Counter fraud activity	Review of arrangements in place to identify, detect, manage and report fraudulent activity across organisation.	Arrangements being established and would welcome advisory support but prioritised specific area of fraud risk (expenses) for review in 23/24. Retained on indicative 3-year plan
Government Functional Standards	Review of plans in place to meet standards across business functions and the achievement of these.	Work assessing and documenting compliance is in infancy; to be considered as a golden thread through audits and tested where relates to area of audit. Not added to long term plan due to this approach
Asset Management	Review of how assets belonging to the organisation (IT, kit, warrant cards etc.) are managed and tracked – particularly for leavers.	Management aware of challenges in this area following GIAA review, with a long-standing High priority action reported as overdue. Systems based approach in place for IT and other options being explored for others. Added to indicative 3-year plan
Organisational culture	Review of mechanisms in place to identify poor behaviours and assess whether these are being taken forward appropriately.	Intended focus on legitimacy via other reviews including Inclusion & Diversity and financial reviews. Whistleblowing retained on indicative 3-year plan; culture not added to long term plan

MTFP/financial planning	Review of MTFP with a focus on design and delivery of processes but also prioritisation of investment.	Established process that is understood and delivered and so assessed as lower risk than current financial control item on list. Retained on indicative 3-year plan
Business Continuity	Assess the governance arrangements alongside design and operation of key processes and controls to plan and manage/test business continuity arrangements for key operational systems/databases/applications and locations.	Some of this has been tested by changes of ways to working due to the impact of C-19. However, agreed to be a priority reserve list topic. Added to indicative 3-year plan
Governance arrangements	Review of governance arrangements in place – to support planned changes to Code of Governance at BTPA and could be extended to look across arrangements in place at BTP and BTPA and how interact.	Considered as a golden thread through areas reviewed in plan. Deloitte have recently performed a corporate governance review and BTP/A will be taking forward an action plan to strengthen in key areas. To review once embedded. Retained on indicative 3-year plan
Armoury	Controls in place to manage/protect and understand the location and status of important equipment that presents inherent risk.	Whilst a risk, assurance could be better delivered by specialist functions assessing against the College of Policing standards. Not added to long term plan as any work in area to be delivered by assurance provider with set expertise
Crime processes and screening	Review of processes in place to appropriately record and report crimes.	Reliance placed on HMICFRS programme of activity and liaison has taken place with colleagues to understand work on Crime Data Integrity and Victim Service Assessment. Not added to long term plan as delivered by other assurance provider
Review, retention & deletion of records	Review of processes to review, retain and dispose of records – particularly those that are electronic. Risk of failure to comply with legislation if do not handle appropriately.	Agree risk area though not at strategic level. Due to competing priorities this will be added to indicative 3-year plan
Vetting	Review of function in place and how it performs its duties. Ongoing profile of this area has been high	GIAA proposed review was cancelled during 22/23 due to the work of other assurance providers

	and appropriate initial and ongoing vetting is crucial to identifying and managing risks to workforce and police legitimacy.	including HMICFRS. On indicative 3-year plan subject to agreeing appropriate scope
Performance reporting	Review of how performance is tracked, measured and monitored through key governance forums. To assess underlying data informing and supporting this and confidence in the processes to deliver this. Also key for charging model.	HMICFRS will be reviewing the performance framework, reporting and how it aligns to the strategy as part of their October 2022 inspection and have a framework which details what they would look for in a good or outstanding force and compare BTP to this Added to 3-year plan

Annexes



Annex 1: Stakeholders consulted

- Hugh Ind – Chief Executive, British Transport Police Authority (BTPA)
- Rubeela Qayyum – Chief Financial Officer & Deputy Chief Executive, BTPA
- Kenna Kintrea – Authority Member & Chair, Audit Risk & Assurance Committee
- Emir Feisal – Authority Member & Deputy Chair, Audit Risk & Assurance Committee
- Chief Constable Lucy D’Orsi – British Transport Police (BTP)
- Deputy Chief Constable Alistair Sutherland – BTP
- Rachael Etebar – Director of People & Culture, BTP
- BTP Finance leads; Tracey Martin – Finance Director, Harriet Andrews – Deputy Director Financial Control, Richard Dronfield – Deputy Director Decision Support
- Harriet Harvey – Head of Transformation, BTP
- Helen Edwards, Head of Information Management, BTP
- Mel Morton – Head of Audit & Assurance, BTP
- Charlene Jacobs, Audit & Inspection Lead, BTP
- DfT sponsorship team – Dan Moore, Oliver Mulvey, Steve Marshall-Camm and Mike Biskup

Annex 2: Risk assessment

- As part of audit planning, we reviewed background documents to build a view of the risk profile of the organisation and emerging risks. There were three key sources for this information.
 1. **Strategic Risk Register (as presented to ARAC on 18/11/22)**
 2. **ARIC papers and reporting via attendance during 22/23 (various risk assessments)**
 3. **Assurance map (as presented to ARAC on 18/11/22)**
- There are multiple sources of risk information across the organisation. Whilst we have directly mapped our audits to the Strategic Risk register in Figure 1 above, we also analysed and brought in reported risks from the above sources to discussions with key stakeholders/risk owners. This was to understand current controls, assurance arrangements and map to past GIAA coverage. This has helped to build both the 23/24 plan and the indicative longer terms areas of focus in Annex 4.
- Our review of BTP/A's assurance map has helped us to map and understand both recent GIAA coverage and the work of other assurance providers and lines of defence. There is good board oversight of several the risk areas; the map has helped to draw out a need to re-focus efforts on operations and commercial audits.
- The prioritisation process has been set out via the 'exclusions from the plan' and 'indicative longer-term plan'. **GIAA's plan is flexible and will adapt to emerging risks and priorities.**

Annex 3: Risk categories¹

Strategy	Risks arising from identifying and pursuing a strategy, which is poorly defined, is based on flawed or inaccurate data, assumptions and/or intelligence, and/or fails to support the delivery of commitments and/or objectives.
Governance	Risks arising from unclear plans, authorities and accountabilities and/or ineffective or disproportionate oversight of decision making and/or performance.
Operations	Risks arising from inadequate, poorly designed or ineffective/inefficient internal processes resulting in fraud, error, non-compliance with regulation or legislation, impaired customer service and/or poor value for money.
Financial	Risks arising from poor financial management and/or financial constraints resulting in poor returns from investments, failure to manage assets/liabilities or to obtain value for money from resources, non-compliance with regulation, legislation and standards.
Commercial	Risks arising from weaknesses in the management of commercial partnerships, supply chains and contractual requirements, resulting in poor performance, fraud, failure to meet requirements, non-compliance with regulation and legislation.
People	Risks arising from ineffective leadership and engagement, the unavailability of sufficient capacity and capability, industrial action, non-compliance with regulation and legislation or internal HR policies.
Technology	Technology does not deliver the expected services due to inadequate or deficient system/process development and performance.
Information	Risks arising from a failure to produce robust, suitable and appropriate data/information and to exploit data/information to its full potential.
Security	Risks arising from a failure to prevent unauthorised and/or inappropriate access to the estate or information, non-compliance with regulation and legislation.
Programme and project management	Risks that programmes and projects are not aligned with strategic priorities and do not successfully and safely deliver to time, cost and quality.
Property	Risks arising from property deficiencies or poorly designed or ineffective/ inefficient safety management resulting in non-compliance and/or harm and suffering to employees, contractors, service users or the public
Reputational	Risks arising from adverse events, including ethical violations, a lack of sustainability, systemic or repeated failures or poor quality or a lack of innovation, leading to damages to reputation and or destruction of trust and relations.
Legal	Risks arising from a defective transaction, a claim being made or some other legal event occurring that results in a liability or other loss, or a failure to take appropriate measures to meet legal or regulatory requirements or to protect assets.

¹ HMT Orange Book: Management of risks - principles and concepts (2020) Annex 4: Example risk categories

Annex 4: Indicative longer-term plan

To explain how I propose to provide assurance over your organisation’s objectives, priorities and risks during the period 23/24 to 25/26, I set out in this annex an indicative longer term plan. This is necessarily high-level and I will review the content at least annually when I undertake risk assessment.

We reviewed the indicative long-term presented in 22/23 to assess whether the planned reviews in 23/24 are still the right ones to take forward. We are taking forward 4 of the reviews from this plan, with a further 4 (governance, counter-fraud, whistleblowing and data retention) moved back to 24/25. The other 4 reviews on the current year plan were deemed to be higher priority.

Risk category ²	Your objective, priority or risk	Our audit priority	2023/24	2024/25	2025/26	Rationale
Strategy	Change Management	<i>Ongoing assurance of strategic delivery via ‘Force on the Move’ embedded assurance and project specific work</i>	Y		Y	On plan Ongoing requirement and area of focus.
Governance		Governance review		Y		Last reviewed overall BTPA governance in 18/19. Timely to re-visit in 24/25 following Deloitte review in 22/23.
		Risk management		Y		
Operations	Major Incidents	Major Incidents Demand management Asset management	Y		Y Y	On plan Work in progress though key. Potentially build on lessons activity.
Financial	Financial Control & Planning	Balance sheet controls e-Expenses MTFP Counter fraud activity	Y	Y Y	Y	Ongoing focus On plan Key tool for financial planning. Not reviewed by GIAA and could be beneficial and bring insight.

² HMT Orange Book: Management of risks - principles and concepts (2020) Annex 4: Example risk categories

Commercial	Contract Management	Supplier management & details Contract management	Y		Y	Discrete area of fraud risk. On Plan
People	People Wellbeing, Health & Safety	Workforce planning Physical Security Payroll <i>GIAA plan has focused on People areas over recent two periods.</i>	Y Y	Y		On Plan On Plan Last audited in 21/22
Technology	Technology	Legacy technology Business continuity		Y	Y	Area of risk based on architecture
Information	Cyber and Data Security	GDPR compliance Data retention Performance reporting		Y	Y Y	Adherence to retention schedules and DPA. GDPR last audited in 19/20.
Security	Cyber and Data Security	Physical Security Cyber Security	Y		Y	On Plan Last audited 20/21
Property						Estates and IFRS 16 reviewed during 2022
Reputational	Partnership Working Legitimacy	Vetting Whistleblowing		Y Y		Not audited in recent periods.

Annex 5: Our commitment to quality

Quality assurance and improvement

The Standards require GIAA to develop and maintain a quality assurance and improvement programme that covers all aspects of internal audit activity.

The quality assurance and improvement programme is designed to enable an evaluation of the internal audit activity's conformance with the Standards and an evaluation of whether internal auditors apply the Code of Ethics. It also assesses the efficiency and effectiveness of the internal audit activity and identifies opportunities for improvement.

The improvement programme must include annual internal assessments and an external assessment at least every five years.

Internal quality assessments

The Standards require that internal assessments must be undertaken by persons within the organisation with sufficient knowledge of internal audit practices include ongoing monitoring of the performance of the internal audit activity.

GIAA's Professional Practice Team undertakes annual internal quality assessments.

External quality assessments

The Standards require that external quality assessments must be conducted at least once every five years by a qualified, independent assessor or assessment team from outside the organisation.

GIAA had an external quality assessment in 2020, undertaken by the Chartered Institute of Internal Auditors UK.

Reporting the results

The Standards require that I must communicate the results of the quality assurance and improvement programme to senior management.

In my 2020/21 Annual Internal Audit Opinion and Report, I reported the conclusions of GIAA's 2020 external quality assessment and progress on implementing actions to address the conclusions.

In my 2022/23 Annual Internal Audit Opinion and Report, I will report progress on implementing the remaining actions to address the conclusions.



DRAFT v0.2 Scottish Railways Policing Committee – workplan 2023/24

Meeting	Standing Items	Special Focus Items
1 June 2023	<ul style="list-style-type: none"> • Matters arising/actions outstanding • Risk profile – for information • Performance against the Strategy and Scottish Policing Plan and updates on interoperability • Industry voice • Audit and Inspection update – including update on GIAA workplan • Committee evaluation dashboard for information • Meeting reflection • Committee workplan for information • Decisions/matters taken in private 	<ul style="list-style-type: none"> • Thematic item – input from Transport Focus – their work in Scotland (action 22/2022) and BTP update on passenger and staff survey activity • BTP Crime Prevention Strategy • Development of a joint strategic risk register for Scotland – focus on partnerships (BV theme 3 effective use of resources and 4 partnerships and collaborative working) • Formal confirmation of publication of refresh and roll forward of 2023-6 railways policing plan for Scotland highlighting any further updates [for information]
14 September 2023 (Possible link to custody visit – location tbc)	<ul style="list-style-type: none"> • Matters arising/actions outstanding • Risk profile – for information • Performance against the Strategy and Scottish Policing Plan and updates on interoperability • Industry voice • Audit and Inspection update • Committee evaluation dashboard for information • Meeting reflection • Committee workplan for information • Decisions/matters taken in private (cyber briefing – action 18/2022) 	<ul style="list-style-type: none"> • 6 monthly detailed update on progress with Strategic Plan and AFOTM –focus on benefits identification as per action 21/2022 (BV theme 3 effective use of resources and 4 partnerships and collaborative working) • Annual operational thematic – Stop & Search/use of powers (including focus on use of powers on young people) • Horizon scanning 6 month update – out of committee briefing • SPMH thematic – Arlene Wilson
22 Nov 2023	<ul style="list-style-type: none"> • Conflict declaration • Minutes of previous meeting • Matters arising/actions outstanding • Risk profile – for information • Performance against the Strategy and Scottish Policing Plan and updates on interoperability response • Industry voice • Audit and Inspection update • Committee evaluation dashboard for information • 6 month report/annual report on professionalism • Meeting reflection 	<ul style="list-style-type: none"> • Policing plan refresh – feedback from local engagement (BV theme 1 vision and leadership, theme 4 partnerships and collaborative working and theme 5 working with communities) • Evidencing value for money annual update – including progress against a Best Value framework • Thematic item – major incident planning – learning from MAI (action 17/2022) (confirm alignment with BV theme) or via a pre-committee briefing

Meeting	Standing Items	Special Focus Items
	<ul style="list-style-type: none"> • Committee workplan for information • Decisions/matters taken in private 	<ul style="list-style-type: none"> • Update on trespass thematic – in response to NR request – partnership strategy
<p>Early March (tbc) 2024</p>	<ul style="list-style-type: none"> • Conflict declaration • Minutes of previous meeting • Matters arising/actions outstanding • Risk profile – for information • Performance against the Strategy and Scottish Policing Plan and updates on interoperability response • Industry voice • Audit and Inspection update • Committee evaluation dashboard for information • 6 month report/annual report on professionalism • Meeting reflection • Committee workplan for information • Decisions/matters taken in private 	<ul style="list-style-type: none"> • 6 monthly detailed update on delivery of 2022-27 strategic plan/transformation plan • Annual update on recruitment/retention/progression plans (requested March 23 meeting) • Strategic support services thematic - technology transformation (BV theme 3 effective use of resources, theme 4 partnership and collaborative working) • - Operational thematic focus – policing freight (following feedback from NR freight in Dec 2022) • Net carbon zero strategy review and refresh

Other topics proposed for consideration:

- Annual (?) professionalism update
- Policing freight
- Problem solving plans in Scotland
- Annual EDI and PRAP progress
- Follow up on trespass BTP/PSOS collaboration with industry

Report to: Scottish Railways Policing Committee
Date: 1 June 2023
Subject: Committee Terms of Reference and Memorandum of Understanding
Sponsor: Head of Governance and Compliance
Author: Board Secretary
For: Information

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1. Purpose of paper

- 1.1 To invite Members of the Scottish Railways Policing Committee to review the Committee's terms of reference and associated memorandum of understanding and provide any reflections on how they should influence the Committee's Workplan for 2023/24 elsewhere on today's agenda.

2. Background

- 2.1 Each Committee of the British Transport Police Authority is obliged to review its terms of reference as part of its work planning for the following year (BTPA Code of Governance Paragraph 10.4).
- 2.2 Scottish Railways Policing Committee's terms of reference have been agreed by both the British Transport Police Authority and the Scottish Police Authority and have been endorsed by Scottish Ministers.

3. Terms of Reference and Memorandum of Understanding

- 3.1 The Scottish Railways Policing Committee's terms of reference are provided at appendix 1 for Members to review.
- 3.2 Also provided for information, at appendix 2, is the Memorandum of Understanding between British Transport Police Authority and the Scottish Police Authority setting out the operation of the Scottish Railways Policing Committee.

4. Recommendations

- 4.1 That the Scottish Railways Policing Committee's terms of reference and associated memorandum of understanding regarding the Committee's operation be noted.

Appendix One - Scottish Railways Policing Committee's terms of reference

Appendix Two - Memorandum of Understanding between British Transport Police Authority and the Scottish Police Authority for the Operation of the Scottish Railways Policing Committee

British Transport Police Authority
The Scottish Railways Policing Committee

Terms of Reference

Definition

British Transport Police Authority	BTPA
British Transport Police	BTP
Police Service of Scotland	PSoS
Scottish Police Authority	SPA

Background

The British Transport Police Authority (BTPA) has been specified as a cross-border public authority in Section 46 of the Scotland Act 2016.

The Scottish Railways Policing Committee is established as a sub-committee of the BTPA under paragraph 12(b) of Schedule 4 of the Railways and Transport Safety Act 2003. The Committee will provide:

- accountability and transparency for railway policing in Scotland;
- oversight and scrutiny of the safe and effective management and delivery of railway policing in Scotland;
- an appropriate mechanism to assess and report to the BTPA in respect of value for money in relation to those elements of the BTPA Fund invested in railway policing in Scotland.

The Committee will operate in accordance with the Memorandum of Understanding agreed between the SPA and BTPA dated 27 June 2019 and as may be subsequently amended.

Purpose and Scope

The committee will provide oversight of the development of plans and policies, scrutinising policing performance against agreed plans and statutory requirements, and ensuring agreed improvements recommended by external inspections and reviews are implemented.

The Committee will provide assurance to the BTPA, SPA and Scottish Ministers on the delivery of railway policing in Scotland.

In performing its functions, the Committee will have regard to the UK-wide police priorities set and reviewed by the BTPA, and police priorities set and reviewed by Scottish Government.

These terms of reference have been agreed by the BTPA and SPA and are endorsed by UK and Scottish Ministers.

A copy of these Terms of Reference has been laid before each House of Parliament and the Scottish Parliament.

Responsibilities

To keep under review the delivery in Scotland of the BTP Strategic Policing Plan, Police Service Agreements and other documentary agreements relating wholly or mainly to Scotland and report progress, including concerns and observations, to the BTPA Board.

To recommend to the BTPA Board the Scottish Railways Policing Plan (hereinafter referred to as the plan), ensuring due regard has been taken of policing priorities set by Scottish Government, strategic plan set by SPA and Police Scotland, Police Scotland's annual policing plan and that effective consultation has informed the development of the plan.

To scrutinise progress and performance against the plan and to recommend to the BTPA Board any improvement required.

To scrutinise BTP's public and stakeholder engagement work.

To consider the effectiveness of interoperability between BTP and Police Scotland and recommend any improvements to the BTPA Board and the SPA.

To make recommendations and provide oversight on performance standards of railway policing in Scotland taking cognisance of stakeholder engagement and make recommendations to the BTPA Board on any changes required.

To provide visibility and oversight of the funding as it applies to rail provider(s) operating in Scotland, with a view to achieving best value and to recommend any changes to the BTPA Board.

In carrying out its functions, to take into account relevant data and research available in relation to policing, including independent evidence and benchmarking information from across the UK and internationally.

To review recommendations from Government Internal Audit Agency, Her Majesty's Inspectorate of Constabulary in Scotland and other organisations with an inspection, audit, or evaluation remit in relation to railway policing in Scotland, and ensure that action is taken within agreed timescales, subject to BTPA approval.

Meetings

The Scottish Railways Policing Committee will meet quarterly. Meetings are to be scheduled to coincide with the BTPA annual planning cycle. Prior to the beginning of each calendar year, a provisional schedule of meetings will be approved by the BTPA Board and published on its website. Notice of meetings will be advertised on both the BTPA and the SPA websites. The Chair of the Committee may vary meetings, as deemed necessary.

Meetings will usually be held in Scotland. Public meetings will be in venues that are accessible to all people.

All meetings of the Committee are open to be observed by members of the public and media, with the exception of meetings or parts of meetings where business is to be conducted in private. The circumstances in which meetings may be held in private include where:

1. information relating to identified or identifiable individuals (including members of staff) could be disclosed where there is no consent for disclosure and/or where there is a risk of harm to any individual from the disclosure;
2. public discussion of the information may prejudice any police operation or the prosecution of offenders;
3. disclosure of information could prejudice national security;
4. matters to be discussed are the subject of legal proceedings (including misconduct or disciplinary proceedings) or where information to be discussed consists of or includes legal advice provided to either Authority or to a third party;
5. an obligation of confidentiality exists in respect of the information to be discussed;
6. confidential, commercial or financial information not already in the public domain could be disclosed;
7. proposals for significant organisational change, significant changes to the terms and conditions of staff or other sensitive matters are being considered;
8. discussion in public would be likely to inhibit the free and frank provision of advice or the free and frank exchange of views for the purpose of deliberation;
9. other, exceptional, circumstances exist that would justify considering the matter in private, such circumstances to be agreed by the Committee and included in the minute of the meeting.

Stakeholder engagement

The Committee will scrutinise BTP's public and stakeholder engagement work in Scotland.

The Committee welcomes engagement with the Rail Delivery Group, rail provider(s) in Scotland and with Transport Scotland informally and formally to understand their requirements.

The Committee welcomes engagement with academia to collaborate and develop railway policing in Scotland.

Reporting

A forward-looking work plan for the year will be produced by the Committee, describing objectives, actions and proposed outcomes. This will be agreed by the BTPA with consultation, as necessary, with the SPA.

The agenda for each Committee meeting will be circulated to members at least five days prior to the meeting and will be published on the BTPA and SPA websites, excluding matters to be taken in private as outlined above.

Any member of the Committee may ask for an item to be placed on the agenda of a meeting, this to be done at least 15 days in advance of the meeting. The Chair will consider the request, taking advice from the BTPA Chief Executive as appropriate. If the Chair decides not to include the item on the agenda, the member will be advised and the Committee informed during the Chair's opening remarks.

A draft rolling action log will be available no later than five calendar days after each meeting. Draft minutes will be available to the Committee Chair no later than 14 calendar days after the meeting. Once agreed with the Committee Chair, draft minutes will be circulated to all Board Members of BTPA and SPA noting that they are still subject to formal approval at the next Committee meeting.

A summary report will be provided by the secretariat to the Chief Executives of each Authority after each Committee meeting. This will be used as the basis of reporting to the BTPA and the SPA Boards.

Committee members and BTP representatives may be required to provide evidence to Scottish Parliament Committees.

Membership and Attendees

The Committee will comprise the Chair ("the Committee Chair") and no more than four other Board Members. The Chair will be the Scotland member for the BTPA or such other member of the BTPA as nominated by the Chair of the BTPA. The Chair of the BTPA will consult and obtain approval by Scottish Ministers prior to appointing the Committee Chair.

The Committee will include up to two co-opted members from the SPA and up to two members from the BTPA. The Chair of each Authority will be responsible for the nomination of Committee members, and Committee members will be agreed by respective Boards.

The quorum for the Committee will be three Members including the Chair and must include at least one member from the SPA and at least one member from the BTPA.

All members including the Chair will have voting rights. In the event of a split decision, the Chair will have a casting vote.

Members of BTPA and SPA staff and BTP and Police Scotland representatives may be invited to attend Committee meetings. The Chairs of each Authority and Chief Executives have standing invitations to attend meetings. Any other Board Member may attend after consultation with the Committee Chair.

The Committee chair may invite representatives from external stakeholders or partner organisations for consideration of specific agenda items or subject areas.

Secretariat

The BTPA will provide secretariat support to the Committee. The Chief Executive of the BTPA will ensure that appropriate support, data and advice are provided to the Committee, and will consult as necessary with the Chief Executive of the SPA.

The Secretariat will be responsible for all arrangements associated with supporting meetings, other than venues for meetings which will be provided by the SPA.

Governance

The Committee, as a sub-Committee of the BTPA, will comply with the BTPA's Code of Governance in all relevant aspects.

Effectiveness and evaluation

The Committee will review progress against the work plan for the year.

The Committee will be open to external evaluation of its work and the extent to which accountability is enhanced for railway policing in Scotland, and against the design principles¹ and in accordance with BTPA's legislative framework.

Any changes to these terms of reference or to the operation of the Committee will be made only by mutual agreement between the BTPA and SPA.

The operation and effectiveness of the committee will be kept under the review. It is recognised that this is an administrative arrangement, and as such the committee will consider if further changes could enhance or support its role on an ongoing basis.

A Memorandum of Understanding will be agreed between the BTPA and the SPA to support the work and ethos of the Committee.

Dispute resolution and mediation

Where members are unable to reach agreement on an issue, the dispute will in the first instance be raised for discussion with the BTPA. The Chair of the BTPA will consult the Chair of the SPA as necessary. If required, mediation options will be explored by the BTPA. If disagreement between both Authorities persists, escalation of disputes can be made to relevant sponsor teams in Government and to Ministers.

¹ http://www.parliament.scot/S5_JusticeCommittee/Inquiries/20181213SGtoMM-BTP.pdf

SRPC Evaluation report card				Sep-22	Dec-22	Feb-23	Jun-23	Not Achieving	In Progress	Achieved
Design Principle Themes*	How Achieved	Measures								
1. BTP's work in Scotland reflects the priorities of service users and service providers in Scotland	1.1. Alignment of BTP's strategic direction in Scotland, where appropriate to the SG's Strategic Police Priorities	Evidence of alignment in policing plans & reflected in SRPC minutes – this is most likely to be seen when the proposed policing plan is presented to SRPC around the March meeting annually.	once per year		●					
	1.2. Reporting against the achievement of the strategic outcomes	Evidence of performance reporting @ SRPC – available via the performance report	4 times per year	●	●	●	●			
2. The performance of BTP in Scotland is reviewed and reported in public	2.1. Effective performance reporting, where appropriate, against the same outcomes as Police Scotland	Evidence of joint reporting @ SRPC and reflected in minutes – this will be included under the performance reporting section in the SRPC agenda.	4 times per year	●	●	●	●			
	2.2. Regular public reporting to SPA and Scottish Parliament	SRPC secretariat note to both SPA / BTPA - chief executives.	4 times per year	●	●	●	●			
		Report to Scottish Parliament – the SRPC chair to provide updates to the Convenor of the SP Justice Committee.	at least twice per year		●		●			
	2.3. Hold meetings in public	Meetings available to external attendees	4 times per year	●	●	●	●			
2.4. Publish papers and minutes	Meeting papers and minutes published on BTPA website	4 times per year	●	●	●	●				
3. Ensure the safe and effective management and operational delivery of railway policing in Scotland	3.1. Sharing of operational good practice between Police Scotland and BTP	Evidence of operational good practice sharing in updates to SRPC – this will be evidenced in papers presented @ SRPC by the divisional commander	4 times per year	●	●	●	●			
	3.2. Regular joint planning & management engagement	Evidence of joint planning in updates to @ SRPC – this will be evidenced in papers presented @ SRPC by the divisional commander	4 times per year	●	●	●	●			
	3.3 Effective working with stakeholders to reduce disruption and protect the most vulnerable	Evidence of joint working and engagement with stakeholders in Scotland - evidenced in papers presented to SRPC	4 times per year	N/A	●	●	●			
4. Oversee the delivery of value for money delivered by BTP in Scotland using the Best Value framework where relevant	4.1. Effective engagement with relevant inspection and oversight bodies to inform performance reporting and scrutiny	Updates on engagement and planning for audit & inspection @ SRPC – this should be included in the audit and inspection updates paper, as per the SRPC agenda	twice per year	●	●	●	●			
	4.2 Transparency and oversight of funding and delivery of best value	Annual update on value for money	once per year	N/A	●					
		Quarterly oversight of the delivery of best value in updates to SRPC	4 times per year	N/A	●	●	●			

*Based on the Design Principles: 1. Addressing the democratic deficit in Scotland. 2. Meaningful accountability and transparency for railway policing in Scotland. 3. Safe and effective management and operational delivery of railway policing in Scotland. 4. Designed on best value principle and provide an appropriate mechanism to ensure value for money

SRPC Evaluation report card			Sep-22	Dec-22	Feb-23	Jun-23
Design Principle Themes*	How Achieved					
1. BTP's work in Scotland reflects the priorities of service users and service providers in Scotland	1.1. Alignment of BTP's strategic direction in Scotland, where appropriate to the SG's Strategic Police Priorities	once per year		Agenda item 7. Refresh of Scotland Division Policing Plan 2022-25	Updates received to SRPC meetings in May and December 2022.	Update required once per year. Last received to SRPC meeting in December 2022.
	1.2. reporting against the achievement of the strategic outcomes	4 times per year	Agenda item 6 (Operational Performance)	Agenda item 6.1 Performance Report Q2	Agenda Item 6.1 Policing Plan Performance Q3 2022/23	Agenda Item 6.1 Policing Plan Performance Q4 2022/23
2. The performance of BTP in Scotland is reviewed and reported in public	2.1. Effective performance reporting, where appropriate, against the same outcomes as Police Scotland	4 times per year	Agenda item 6.2 (Joint working - Police Scotland and British Transport Police)	Agenda item 6.2 Joint Working - Police Scotland / British Transport Police	Agenda Item 6.2 Joint Working - Police Scotland and British Transport Police. Minutes of previous meeting reflect discussions in Dec 22 SRPC meeting	Agenda Item 6.2 Joint Working - Police Scotland and British Transport Police. Minutes of previous meeting reflect that the report for that meeting Agenda Item 6.2 Joint Working - Police Scotland and British Transport Police was noted
	2.2. Regular public reporting to SPA and Scottish Parliament	4 times per year	Board Secretary circulated Meeting Digest by email on 27/05/2022	BTPA Board Secretary circulated meeting Digest by email on 06/09/2022	Sent by Board Secretary on 14/12/2022	BTPA Board Secretary circulated meeting Digest by email on 13/03/2023
		at least twice per year		Letter from SRPC Chair to Convenor of Scottish Parliament Criminal Justice Committee dated 20/09/2022	Previous letters sent in January and September 2022. Consideration being given to the timings for future letters	As noted at Agenda Item 4 Actions (Action 7/2023), letter sent on 12 April
	2.3. Hold meetings in public	4 times per year	Hybrid meeting available to public to attend. Details on BTPA website	Hybrid meeting available to public to attend. Details on BTPA website	Hybrid meeting available to public to attend. Details on BTPA website	Hybrid meeting available to public to attend. Details on BTPA website
2.4. Publish papers and minutes	4 times per year	Papers published on BTPA website	Papers published on BTPA website	Papers published on BTPA website	Papers published on BTPA website	
3. Ensure the safe and effective management and operational delivery of railway policing in Scotland	3.1. Sharing of operational good practice between Police Scotland and BTP	4 times per year	Agenda item 6.2 (Joint working - Police Scotland and British Transport Police)	Agenda item 6.2 Joint Working - Police Scotland / British Transport Police	Agenda Item 6.2 Joint Working - Police Scotland and British Transport Police	Agenda Item 6.2 Joint Working - Police Scotland and British Transport Police
	3.2. Regular joint planning & management engagement	4 times per year	Agenda item 6.2 (Joint working - Police Scotland and British Transport Police)	Agenda item 6.2 Joint Working - Police Scotland / British Transport Police	Agenda Item 6.2 Joint Working - Police Scotland and British Transport Police	Agenda Item 6.2 Joint Working - Police Scotland and British Transport Police
	3.3 Effective working with stakeholders to reduce disruption and protect the most vulnerable	4 times per year	N/A - New measure for December 2022 meeting	Agenda item 7.5 Industry Voice. Agenda item 6.2 Joint Working Police Scotland / British Transport Police. Agenda item 7.3 Refresh of Scotland Division Policing Plan 2022-25	Agenda Item 6.1 Policing Plan Performance Q3 2022/23. Agenda Item 6.2 Joint Working - Police Scotland and British Transport Police. Agenda item 7.3 Industry Voice	Joint BTP and industry related update provided as part of Agenda Item 6.2 Joint Working - Police Scotland and British Transport Police. Also, planned Agenda Item 7.1 Thematic: Transport Focus in Scotland. However, no input on joint working / engagement with rail industry provided for this meeting at Agenda Item 7.4 Industry Voice
4. Oversee the delivery of value for money delivered by BTP in Scotland using the Best Value framework where relevant	4.1. Effective engagement with relevant inspection and oversight bodies to inform performance reporting and scrutiny	twice per year	Agenda item 8.1 (Audit and Inspection Report Q1 2022/23)	Agenda item 8.1 Audit and Inspections Report Q2 2022/23	Agenda item 8.1 Audit and Inspection Report Q3 2022/23	Agenda item 8.1 Audit and Inspection Report Q4 2022/23. Agenda item 8.2 GIAA Workplan 2023/24
	4.2 Transparency and oversight of funding and delivery of best value	once per year	N/A - New measure for December 2022 meeting	Agenda item 7.4 Annual Report - Best Value	Report to December 2022 SRPC meeting	Update required once per year. Last received to SRPC meeting in December 2022.
		4 times per year	N/A - New measure for December 2022 meeting	Agenda item 7.4 Annual Report - Best Value. Agenda item 7.2 A Force on the Move Programme Update	Agenda item 7.2 A Force on the Move Programme Update	Evidence for a number of Best Value themes in the meeting Agenda/papers, however no specific Agenda Item on a Best Value Theme

*Based on the Design Principles: 1. Addressing the democratic deficit in Scotland. 2. Meaningful accountability and transparency for railway policing in Scotland. 3. Safe and effective management and operational delivery of railway policing in Scotland. 4. Designed on best value principle and provide an appropriate mechanism to ensure value for money