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# Strategic Risk Register

British Transport Police Authority &  
British Transport Police

8 March 2017

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**Publication History**

Date	Version	Author	Changes
March 2017	0.1	Risk Management Coordinator	
March 2017	1.0	ACC Territorial Policing and FD to BTPA	Three closed risks and updated action and risk descriptions

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

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### **Governance Risks**

**ASR17:** Loss of stakeholder confidence arising from:

- Disputes over charges to industry;
- Failure to achieve strategic force objectives;
- Adverse publicity.

**ASR21:** There is a risk of failure to deliver benefits and efficiencies from the portfolio of programmes.

**ASR23:** Management of Police Information fails to meet with legislative obligations.

### Non-payment of PSA Charges by PSA Holders

### **Jurisdictional Risks**

**ASR14:** Scottish Devolution results in:

- Further organisational structure threats;
- Operational difficulties in policing across the border into and out of Scotland;
- Budget deficit caused by loss of revenue generated by Scottish stakeholder PSA payments.

**ASR20:** BTP/A are not cognisant of, or able to effectively influence, recommendations arising from the Home Office Infrastructure Policing Project.

### **Operational Risks**

**ASR13:** The Force lacks capability and capacity to adequately respond to the terrorist threat to the railways in mainland UK.

**ASR16:** Insufficient funding for the implementation of Emergency Services Mobile Communication Project.

## Appendix 1 – The Risk Assessment Process

## 1. Introduction and Background

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

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

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

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

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



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

INCREASING IMPACT		<p><b>ASR20:</b> BTP/A are not cognisant of, or able to effectively influence, recommendations arising from the Home Office Infrastructure Policing Project</p>		
			<p><b>ASR16:</b> Insufficient funding for the implementation of Emergency Services Mobile Communication Project</p>	
			<p><b>ASR17:</b> Loss of stakeholder confidence arising from:</p> <ul style="list-style-type: none"> <li>Disputes over charges to industry;</li> <li>Failure to achieve strategic force objectives; and</li> <li>Adverse publicity.</li> </ul>	
			<p><b>ASR21:</b> There is a risk of failure to deliver benefits and efficiencies from the portfolio of programmes.</p>	
	<p><b>ASR13:</b> The Force lacks capability and capacity to adequately respond to the terrorist threat to the railways in mainland UK.</p>		<p><b>ASR14:</b> Scottish Devolution results in:</p> <ul style="list-style-type: none"> <li>Further organisational structure threats</li> <li>Operational difficulties in policing across the border into and out of Scotland</li> <li>Budget deficit caused by loss of revenue generated by Scottish stakeholder PSA payments</li> </ul>	
	<p><b>ASR23:</b> Management of Police Information fails to meet with legislative obligations.</p>			
Increasing LIKELIHOOD				

### 3. Navigating the Strategic Risk Register

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

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

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

Cause & Effect	Risk Owner	Inherent Risk Priority	Risk Control	Control Reviewed	Residual Risk Priority	Action Required	Person Responsible	To be implemented by
<p><b>ASR13:</b> The Force lacks capability and capacity to adequately respond to the terrorist threat to the railways in mainland UK.</p> <p>This could result in:</p> <ul style="list-style-type: none"> <li>Substantial loss of life, or injury to the public and staff on the railways</li> <li>Destruction of, or damage to critical national infrastructure, which prevents the rail system from operating</li> <li>Destruction of, or damage to the wider railways which prevents the rail system from operating</li> <li>Significant national economic and social consequences.</li> <li>Significant railway stakeholders' business disruption and service interruption.</li> <li>Reputational damage</li> </ul> <p>BTP/A must ensure that it appropriately invests in a counter terrorist capability which has sufficient capacity to respond across the railways in mainland UK and that its operational response is aligned to the National Strategic Threat Risk Assessment; and this is regularly reviewed and tested.</p> <p><b>BTP/A Direct Potential Financial Impact Assessment: £Nil.</b></p>	Chief Executive to BTPA	I = 3 L = 3 High (9)	BTP maintains a Specialist Operations Department with resources specifically directed to prevent and respond to a terrorist attack on the railways in mainland UK.	08 Mar 2017	I = 2 L = 2 Moderate (4)	To develop an investment plan for the creation of a Northern CT response capability to improve capacity of response to the terrorist threat to the railways in mainland UK.	ACC Specialist Operations	30 Jun 2017
			A fully tested and assured "Go Critical" plan.	08 Mar 2017		Explore further funding options for the development of CT capabilities and capacity for BTP.	BTP Finance Director	30 June 2017
			Compliance with the National Railways Security Programme.	08 Mar 2017				
			Use of an appropriate proportion of operational resources deployed to Counter-Terrorism activities as determined by the STRA.	08 Mar 2017		BTP undertakes regular and dynamic reviews of capability and capacity to respond to the terrorist threat to the railways in mainland UK	ACC Specialist Operations	30 Jun 2017
			Dynamic assessments of the operating environment.	08 Mar 2017				
			Working in partnership with other police forces and relevant agencies to discharge BTP duties under the National Strategic Policing requirement.	08 Mar 2017				
			BTP CT Strategic Threat and Risk Assessment in place and subject to regular review.	08 Mar 2017				
			Focused operational response to locations identified by the BTP Strategic Risk and Threat Assessment (STRA)	08 Mar 2017				
			BTP is embedded in the National CT Network with regular access to national intelligence on the national terrorist threat to the UK, with a dedicated National Counter Terrorism Advisor and a network of nationally trained Counter Terrorism Search Advisors.	28 Feb 2017				

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Cause & Effect	Risk Owner	Inherent Risk Priority	Risk Control	Control Reviewed	Residual Risk Priority	Action Required	Person Responsible	To be implemented by
<p><b>ASR14:</b>  <b>Scottish Devolution results in:</b></p> <ul style="list-style-type: none"> <li>• <b>Further organisational structure threats</b></li> <li>• <b>Operational difficulties in policing across the border into and out of Scotland</b></li> <li>• <b>Budget deficit caused by loss of revenue generated by Scottish stakeholder PSA payments</b></li> </ul> <p>Implementation of the Scotland (Bill) will remove responsibility for BTP to police in Scotland and transfer the responsibility to Police Scotland.</p> <p>Transfer of policing the railways in Scotland to Police Scotland from BTP may result in further consideration of parts of BTP responsibility which could be transferred from BTP. (Wales – London Underground) Policing operations across the border on train services and infrastructure could be compromised as seamless railway policing would end. Current PSA levies attributable to Scottish Stakeholders and PSA holders would have to be absorbed by the remaining PSA holders in England and Wales</p> <p>There must be a detailed understanding of how the Scottish Government and DfT require BTP to operate post April 2019 including how jurisdictional arrangements will be managed.</p> <p><b>Financial impact: £5-£10m</b></p>	Chief Executive to BTPA	I = 3 L = 4 High (12)	BTPA Project manager in place to manage the transfer of policing responsibilities of the railways to Police Scotland.	8 March 2017	I = 2 L = 4 Moderate (8)	Review of Pre-Risks and Post Risks of transfer of policing responsibilities of the railways to Police Scotland.	Scotland Project Manager	30 June 2017
			BTP/A participation in the Cross Governmental Joint Project Board	8 March 2017		Information sharing with Joint Project Board	Scotland Project Manager	31 December 2017
			Project plan in place for all work stream areas with BTPA and BTP leads in place.	8 March 2017		Identify areas for inclusion is enabling legislation for the Scotland Bill (2016)	Scotland Project Manager	30 June 2017
						Review of residual costs arising from Scottish devolution and develop plans to minimise the impact.	BTPA Treasurer and BTP Finance Director	30 June 2017
						BTP/A to engage and provide appropriate support to the Scottish Government-led project team and provide professional guidance on any risk associated with any proposed operating model or legislative framework.	Chief Constable and BTP CEO	31 March 2017
						BTP consideration of project manager appointment	Chief Constable	30 June 2017

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<b>ASR16: Insufficient funding for the implementation of Emergency Services Mobile Communication Project</b>  BTPA are unable to levy the costs incurred in BTP implementation of the ESMCP. Without access to ESMCP, BTP's operational abilities would be severely hampered and operational policing of the railways severely limited. These would lead to the inability to implement ESMCP prior to switch off of the old system. This would lead to the operational ineffectiveness of the force.  <b>BTP/A Direct Potential Financial Impact Assessment: £5-£10m.</b>	Chief Executive to BTPA and Chief Constable	I = 4 L = 3 High (12)	Project Team and Project Board established with SRO to develop a business case and identify the financial impact of the project.	08 Mar 2017	I=3 L=3 High (9)	Review dependencies and synergies between the mobile project and ESMCP to enable the most economic approach to be implemented.	ACC – Crime	30 June 2017
			Initial costings review completed for whole life costs for ESMCP.	08 Mar 2017		Engagement with DfT to manage future financial risks and explore funding options.	Chief Executive	30 June 2017
			Appointment of a BTP Police Lead to manage the project in-house for BTP (T/Supt Evans).	08 Mar 2017		Engagement with HO project team on smoothing set up costs over the life of the project.	Chief Executive	30 June 2017

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<p><b>ASR17:</b> Loss of stakeholder confidence arising from:</p> <ul style="list-style-type: none"> <li>• Disputes over charges to industry;</li> <li>• Failure to achieve strategic force objectives; and</li> <li>• Adverse publicity.</li> </ul> <p>Stakeholders challenge charges levied by BTPA, for BTP core policing services because of the allocation of costs through the charging model, BTP operational practices where stakeholders have EPSA agreements in place as well. In addition, stakeholders lose confidence following BTP failures to meet operational policing objectives or are subject to adverse publicity caused by policy or process failures.</p> <p>BTPA have to enter into legal disputes with stakeholders for non-payment of PSA Charges. BTP cash-flow is threatened by non-payment of invoiced liabilities to stakeholders.</p> <p>BTP have increased difficulties in negotiating with stakeholders for EPSA and existing policing service delivery.</p> <p><b>BTP/A Direct Potential Financial Impact Assessment: £10m+</b></p>	Chief Executive and Chief Constable	I=4 L=3 High (12)	The PSA Charging Model.	08 March 2017	I=3 L=3 High (9)	Undertake a review of the charging model.	BTPA Treasurer	31 December 2017
						Early and regular communication with rail industry on level of charges and changes to charges.	BTPA Treasurer	31 December 2017
			Annual Policing Plan.	08 March 2017		Publication of Annual Policing Plan.	Head of Strategy and Performance	31 July 2017
			Engagement with RDG.	08 March 2017		Implement the revised performance framework.	Head of Strategy and Performance	30 June 2017
			Monitoring of achievement of strategic objectives at National Performance Meeting and Chief Constable's Strategic Briefing.	08 March 2017		Attend Rail Delivery Group (RDG) meetings.	Chief Executive	31 March 2017
			Early and regular communication with rail industry on level of charges.	08 March 2017		Regular meeting with Heads of Security of rail industry.	To be confirmed	31 March 2017
			BTPA People and Standards Committee.	08 March 2017		Develop media handling strategy plans for potential areas of adverse publicity.	Head of Corporate Communications	30 June 2017
			People and Ethics Board (BTP).	08 March 2017				

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<p><b>ASR20:</b>  <b>BTP/A are not cognisant of, or able to effectively influence, recommendations arising from the Home Office Infrastructure Policing Project</b></p> <p>The Governmental review on the potential for a national infrastructure policing organisation may result in a fundamental change to BTP existence.</p> <p>Any model from the project could detrimentally impact on interests of the travelling public and railway industry and ultimately could pose an existential risk to the force if the model impacts on the current BTP operating model to such an extent that it no longer is viable.</p> <p>Any model from the project could result in external confidence in BTP is significantly weakened.</p> <p>BTP/A must ensure that they are represented where possible in the project team and associated reference groups, that clear and accurate evidence and data is provided to the project team and that senior managers are aware of the project and possible implications.</p> <p>This will ensure that BTP/A are well positioned to assist and advise the project team so that the final recommendations are beneficial to the railway community and wider UK infrastructure.</p> <p><b>BTP/A Direct Potential Financial Impact Assessment: £Nil.</b></p>	Chief Executive to BTPA	I = 4 L = 2 Moderate (8)	The Authority Chair attends and engages with the challenge panel.	08 March 2017	I = 4 L = 2 Moderate (8)	Influencing of discussions being held at the National Police Chiefs Council and National Policing Transformation Board.	Chief Executive to BTPA and Chief Constable	On-going
			The Chief Constable is a member of the National Infrastructure Policing challenge panel.	08 March 2017		Monitoring of options being proposed to the Home Secretary and the options being produced by 2019.	Chief Executive to BTPA and Chief Constable	On-going

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Cause & Effect	Risk Owner	Inherent Risk Priority	Risk Control	Control Reviewed	Residual Risk Priority	Action Required	Person Responsible	To be implemented by
<b>ASR21:</b> <b>There is a risk of failure to deliver benefits and efficiencies from the portfolio of programmes.</b>  This may lead to: <ul style="list-style-type: none"> <li>inconsistent workforce planning arrangements</li> <li>failure to collaborate with other forces</li> <li>lack of planning for efficiency</li> <li>lack of tracking for benefits realisation</li> <li>weaknesses in back office processes and controls</li> </ul> <b>BTP/A Direct Potential Financial Impact Assessment: £1-£15m.</b>	Chief Executive and Chief Constable	I = 3 L = 4 High (12)	Efficiency Board established.	8 March 2017	I = 3 L = 3 High (9)	Review of the key milestones of the efficiency plan.	Director of Capability and Resources	31 March 2020
			Demand Review project undertaken to improve rostering arrangements	8 March 2017		Implement the Demand Review.	Deputy Director Capability and Resources	8th April 2017
			Public Consultation on Implementation of Crime Review	8 March 2017		Implement the Crime Review.	ACC - Crime	30 November 2017
			Finance and Procurement transformation programme	8 March 2017		Implement revised finance and procurement structure.	BTP Finance Director	31 March 2017
			Efficiency Programme Board established to monitor delivery of efficiencies.	8 March 2017		Undertake Review of CIPFA benchmark data.	Director of Capability and Resources	30 June 2017

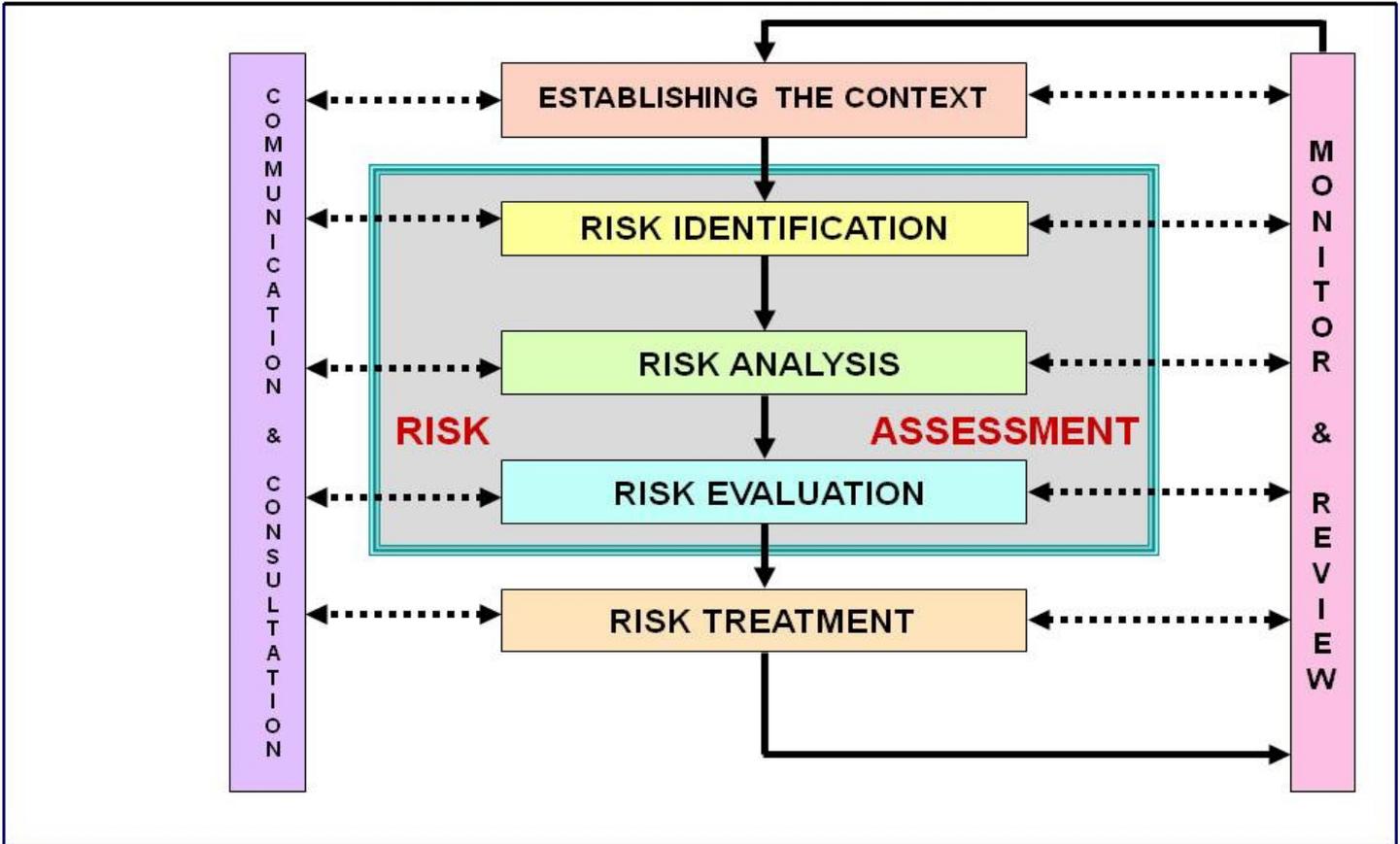
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Cause & Effect	Risk Owner	Inherent Risk Priority	Risk Control	Control Reviewed	Residual Risk Priority	Action Required	Person Responsible	To be implemented by
<p><b>ASR23:</b> <b>Management of Police Information fails to meet with legislative obligations.</b></p> <p>The BTP would be in breach of law which could lead to financial penalties, put people at risk, cause reputational damage and be detrimental to stakeholder confidence.</p> <p>Therefore, to ensure that the force remains compliant there must be effective training, staff awareness and leadership focus underpinned by suitable policies, processes and procedures across the organisation.</p> <p>This will demonstrate to independent review and audit that sufficient control mechanisms are in place and adhered to and avoid financial penalties being imposed by the Office of the Information Commissioner.</p> <p><b>BTP/A Direct Potential Financial Impact Assessment: £0.5m</b></p>	Chief Constable	I = 3 L = 2 Moderate (6)	Rolling programme of audits performed at every location on the management of police information.	08 March 2017	I = 2 L = 2 Moderate (4)	Consideration of Audit programme extension.	Director of Capability and Resources (SIRO)	31 March 2017
			Revised arrangements implemented following completion of Operation Canberra project.	08 March 2017		Review of arrangements for monitoring compliance with the management of Police Information	Head Of Information Management	31 March 2017
			Information Governance Board responsible for governance of information management issues.	08 March 2017		Review of Information Governance Board Terms of Reference.	Director of Capability and Resources (SIRO)	30 June 2017
			GIAA internal audit of Information Management.	08 March 2017		Follow up on completion of GIAA recommendations by Integrity, Compliance and Assurance Board.	DCC	21 March 2017
						Review of risk in relation to Electronic Files (Post Operation Cannbera).	Head Of Information Management	30 June 2017

5. Heat Map of All Operational Risks Managed Across BTP and BTPA

4	4	18	21	12	5	9	9	0	4	1	3	1
3	7	58	56	29	10	33	28	11	7	15	10	1
2	6	52	33	14	12	51	8	8	17	51	6	0
1	4	15	4	1	30	27	6	3	39	17	1	0
	1	2	3	4	1	2	3	4	1	2	3	4
	Inherent or Original Risk Rating				Residual or Current Risk Rating				Target Risk Rating			
	Likelihood Increasing on Horizontal Axis on Each Heat Map Impact Increasing Vertically											

**Appendix A**  
The Risk Assessment Process



**Impact and Likelihood scoring scales**

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

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

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

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

<b>Probability</b> ↑	<b>Probable and Imminent</b> 4	4	8	12	16
	<b>Probable</b> 3	3	6	9	12
	<b>Possible</b> 2	2	4	6	8
	<b>Remote</b> 1	1	2	3	4
	<b>Impact</b> →	<b>Minor</b> 1	<b>Moderate</b> 2	<b>Significant</b> 3	<b>Major</b> 4

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





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