



## Risk Register

|                            |                              |
|----------------------------|------------------------------|
| <b>Business area</b>       | Force                        |
| <b>Responsible officer</b> | Deputy Chief Constable (DCC) |
| <b>Period</b>              | Quarter 3, 2015/16           |



| Identifier | Category                               | Risk description  | Owner / Manager                         | Proximity | Probability | Impact | Rating    | Trend | Response plan  | Risk rating confidence |
|------------|--|---|---|-----------|-------------|--------|-----------|-------|--|------------------------|
| NPF 0016   | Operational efficiency & effectiveness | <p><b>NEW</b><br/>DIEU has suffered equipment failure of its CCTV video identification recording facility. The provision of this equipment is a requirement of PACE/case-law. Equipment was supplied by an external contractor so unsupported by Information Services or contents managed in accordance with Force requirements. Lack of a robust equipment/IT solution may render prosecutions ineffective where conduct of ID parade is key evidential requirement.</p> <p><b>Update: Solution purchased and installed through INS. Awaiting confirmation from risk owner that risk removed before closing.</b></p> | Superintendent<br>Head of Crime Support | Daily     | High        | High   | High (16) |       | <ul style="list-style-type: none"> <li>• Prioritise use of remaining stable equipment for cases where ID evidence is critical and heavily relied upon</li> <li>• Replace ageing equipment (business case to be developed)</li> <li>• Information Services to investigate/provide in-house long term solution and ensure information is managed in accordance with Force standards</li> </ul> | Reasonable             |

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|-------------|--------------------------|---|--|-------|-----------|-----------|-------------------|--|--|-------------|
| NP<br>0015  | Finances                 | Financial forecasting indicates higher spending than income. The Force currently anticipates that £9.3m of reserves will have to be utilised to balance the budget for the year end 2015/16. Reduction in resources spending will impact upon current and future activities and service delivery.   | Head of Finance  | Daily | Very High | Very High | Very High<br>(25) |  | Reduce impact: <ul style="list-style-type: none"> <li>• Use of reserves</li> <li>• Scenario modelling to enable accurate impact forecast</li> <li>• Savings plans reviewed and revised</li> <li>• Cost base reduction</li> <li>• Strategic Alliance</li> </ul> | Substantial |
| NPF<br>0014 | Crime & community safety | Due to a shortage of trained pursuit TAC advisors, and inability to provide training through EMOpSS to increase capacity, a vehicle pursuit has to be abandoned when it would have been beneficial to continue.<br><b>Update: Risk to be reassessed as part of wider review of driver training.</b> | Ch Insp Contact Management / T/Insp Contact Management | Daily | Med (4)   | High (4)  | High (16)         |  | Reduce the probability: <ul style="list-style-type: none"> <li>• <i>Decision to prioritise TAC advisor training is being pursued.</i></li> <li>• <i>Review of driver training</i></li> </ul>   | Reasonable  |

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|----------|--|---|--|--------------|---------------|---------------|-----------|--|--|-------------|
| NPF 0011 | Compliance                             | Design of custody cell basins, water dispensers and air vent grilles does not meet requirements of APP, resulting in a detained person being placed in a non-compliant cell                                     | Head of EMCJS /<br>Head of Custody (North)           | Daily        | Very high (5) | Medium (3)    | High (15) |  | Avoid the risk: <ul style="list-style-type: none"> <li>Prepare business case for replacement works (Assets dept)</li> <li>Complete installation of replacement fixtures (Assets dept)</li> </ul>   | Substantial |
| NPF 0003 | Finances                               | The Force's appeal against the employment tribunal ruling on use of Reg A19 fails, resulting in the award of compensation to c100 former officers.<br><b>Update: Hearing not to be heard until summer 2016.</b> | DCC /<br>Head of East Midlands Police Legal Services | Summer 2015  | Med (3)       | Very high (5) | High (15) |  | Avoid the risk: <ul style="list-style-type: none"> <li>Appeal process (EMPLS)</li> </ul> Contingency plan: <ul style="list-style-type: none"> <li>Contingent liability in accounts for 2015/16 (NOPCC)</li> </ul>  | Reasonable  |
| NPF 0006 | Operational efficiency & effectiveness | Closure of Bridewell custody following mechanical or electrical failure, resulting in significantly reduced custody provision   | Head of EMCJS /<br>Head of Custody (North)           | Next 2 years | Med (3)       | High (4)      | High (12) |  | Reduce probability: <ul style="list-style-type: none"> <li>Business case for replacing ageing equipment (Assets dept)</li> </ul> Reduce impact: <ul style="list-style-type: none"> <li>Custody business continuity plan to divert to other forces (EMCJS)</li> </ul> | Substantial |

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|-------------|--|---|--|--------------|---------|---------------|------------|--|--|------------|
| NPF<br>0002 | Operational<br>efficiency &<br>effectiveness | Current BEAT system is only compatible with Blackberry mobile devices, so when stocks of Blackberrys run out the Force is unable to provide replacements which removes the mobile data capability of operational officers.<br><b>Update: Contracted with HCL for replacement to BEAT software. Planned for delivery before Jan/Feb 2016 (before critical date). Risk to be lowered to medium as probability reduced to 2.</b> | Head of Information Services / Solutions Manager | Apr 2016     | Med (2) | High (4)      | Medium (8) |  | Avoid the risk <ul style="list-style-type: none"> <li>• Upgrade existing BEAT system to be “device agnostic” (IS dept)</li> <li>• Purchase alternative mobile devices (IS dept)</li> </ul> | Reasonable |
| NPF<br>0007 | Life & safety                                | Clogging of air ducting at the Bridewell impedes fire detection and containment measures, resulting in a fire safety incident which endangers the lives of officers, staff, detained persons and visitors   | Head of EMCJS / Head of Custody (North)          | Next 2 years | Low (2) | Very high (5) | Med (10)   |  | Avoid the risk: <ul style="list-style-type: none"> <li>• Prepare business case for replacement fixtures or cleaning existing ducting (Assets dept)</li> </ul>                              | Reasonable |


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|----------|--|---|--|----------------|--------------|---------------|-----------|--|---|------------|
| NPF 0001 | Operational efficiency & effectiveness | Force telephony infrastructure is nearing the end of its operational life, increasing the probability of critical failure resulting in temporary loss of internal & external communications capability.<br><b>Update: Project commenced</b> | Head of Information Services / Infrastructure & Service Delivery Manager | 2016/17        | Med (3)      | Med (4)       | High (12) |  | Reduce probability: <ul style="list-style-type: none"> <li>Replace Force-wide &amp; control room telephony (IS dept)</li> </ul> Reduce impact: <ul style="list-style-type: none"> <li>Contact Management business continuity plans to divert calls to other forces (CM dept)</li> </ul> | Reasonable |
| NPF 0012 | Life & safety                          | Design of custody cell basins, water dispensers and air vent grilles creates a potential ligature point, resulting in an incident which endangers the life of a detained person   | Head of EMCJS / Head of Custody (North)                                  | 2015           | Very low (1) | Very high (5) | Low (5)   |  | Avoid the risk: <ul style="list-style-type: none"> <li>Prepare business case for replacement works (Assets dept)</li> <li>Complete installation of replacement fixtures (Assets dept)</li> </ul>  | Reasonable |
| NPF 0010 | Environment                            | Excessive fuel spillage at one of the Force's underground storage tanks sites that does not have a fuel interceptor (Ollerton, Hucknall, Oxclose Lane & Sutton in Ashfield) results in pollution of the local watercourse                   | Head of Assets / Building Surveyor                                       | Next 12 months | High (4)     | Very low (1)  | Low (4)   |  | Reduce the probability: <ul style="list-style-type: none"> <li>Review long term options for bunkered fuel sites (Assets dept)</li> </ul> Contingency plan: <ul style="list-style-type: none"> <li>Spillage response measures in place - spill kits, notices (Assets dept)</li> </ul>    | Reasonable |

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|-------------|---------------|--|--|------|--------------------|---------------------|------------|---|--|-------------|
| NPF<br>0013 | Life & safety | The design of stainless steel WC pans in custody (70+ cells) enables a detained person to secure a ligature under the rim, resulting in an incident which endangers their life | Head of EMCJS<br>/<br>Head of Custody<br>(North) | 2015 | Very<br>low<br>(1) | Very<br>high<br>(5) | Low<br>(5) |  | Assess the risk:<br>• Review the facilities and recommend whether the risk should be accepted or avoided (Health & safety, Assets and Custody) | Substantial |
|-------------|---------------|--|--|------|--------------------|---------------------|------------|---|--|-------------|



**Closed risks**

| Identifier | Risk description | Reason for closure | Date closed | Closed by |
|------------|------------------|--------------------|-------------|-----------|
|            |                  |                    |             |           |
|            |                  |                    |             |           |
|            |                  |                    |             |           |