






Force Strategic Risk Register



Business area	Force
Responsible officer	Deputy Chief Constable (DCC)
Period	Quarter 1, 2016/17

URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
NPF0018	Operational efficiency and effectiveness	<p>There is currently a backlog of Annex D and CRIMS checks dating back from January 2016 and September 2015, respectively. Due to staff sickness, retirements and resignations the organisation is unable to comply with its statutory requirements in relation to information sharing through the MASH or to civil courts. The result is that the Force is not aware of the risks that present themselves to the most vulnerable sections of society, including children.</p> <p>Update: Operation Socius commenced on 18th July. At this time there were 396 outstanding requests dating back to September 2015. As of 21st July, 147 had been completed. The task force is continuing for a further week to address the work</p>	Information Management Lead/ Head of Public Protection	Daily	Very high (5)	Very high (5)	Very high (25)		<p>Recruitment, pending HR and DTF approval</p> <p>Possible use of DV risk assessor to assist with MASH</p> <p>Move 2 x ISO roles to Information Management</p> <p>Overtime where resources available</p> <p>Use of task force – Operation Socius.</p>	Substantial


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NPF0017	Operational efficiency and effectiveness	<p>Reduction of MOSOVO and increase in the number of RSOs following Operation Hera resulting in failure to comply with offender management via MAPPA controls and inability to meet CSOD disclosure requests and ARMS assessments.</p> <p>Update: Five appointments have been made and staff are currently on specialised training. These staff will be fully operation w/c 1st August. Two staff have been moved from SEIU, 2 staff are from CAIU and one is from Section. The 2 posts from CAIU will be backfilled by 8th August.</p>	Head of Public Protection	Daily	Very high (5)	Very high (5)	Very high (25)		<p>Work commenced and agreed by ACPO under Op Kalends ensure other agencies can assist and have an impact on RSO management.</p> <p>Ensure effective intelligence structure to ensure on-going support for management of archived offenders under Op Kalends</p> <p>Recruitment process or change management process to select / backfill into identified vacancies within MOSOVO</p>	Substantial



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NPF0016	Operational efficiency and effectiveness	<p>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 it is unsupported by Information Services and contents are not managed in accordance with Force requirements. Lack of a robust equipment/IT solution may render prosecutions ineffective where conduct of an ID parade is a key evidential requirement.</p> <p>Update: The ID unit remains in operational service. Nottinghamshire Police await NAV providing an installation date.</p>	Head of Crime Support	Daily	High (4)	High (4)	High (16)		<p>Prioritise use of remaining stable equipment for cases where ID evidence is critical and heavily relied upon.</p> <p>Replace ageing equipment (business case to be developed).</p> <p>Information Services to investigate/provide in-house long term solution and ensure information is managed in accordance with Force standards.</p>	Reasonable

URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
NPF0011	Compliance	<p>Design of custody cell basins, water dispensers and air vent grilles does not meet requirements of APP as they create a potential ligature point, which may result in a detained person being placed in a non-compliant cell and may endanger life of a detained person.</p> <p>Update: A costed report has been received and a meeting is to be set up with Head of Custody to agree a way forward. Plans will be submitted to Transformation Board and Force Executive Group in August for sign off.</p>	Head of EMCJS / Head of Custody (North)	Daily	Very high (5)	Medium (3)	High (15)		<p>Prepare business case for replacement works (Assets dept)</p> <p>Complete installation of replacement fixtures (Assets dept)</p> <p>Feasibility study being progressed and examining what other forces do</p> <p>Wash basins at Bridewell and Mansfield have been replaced with Home Office approved basin.</p>	Substantial
NPF0003	Finances	<p>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.</p> <p>Update: The Forces appeal against the adverse finding was successful, but the officers appealed against the decision of the Employment Tribunal. The cases will be heard by the Court of Appeal on 31st January 2017.</p>	DCC / Head of East Midlands Police Legal Services	Jan 2017	Medium (3)	Very high (5)	High (15)		<p>Appeal process (EMPLS)</p> <p>Contingent liability in accounts for 2015/16 (NOPCC)</p>	Reasonable

URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
NPF0014	Crime and community safety	<p>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.</p> <p>Update: Around 60 members of FCR across the region including Nottingham have been trained in both the Pursuit Manager and TacAd role. However, the force is still short of sufficiently trained staff but is working with driver training and EMCHRS to address the issue.</p>	Ch Insp, Contact Management	Daily	Medium (3)	High (4)	High (12)		<p>Decision to prioritise TAC advisor training is being pursued.</p> <p>Timing of shifts to ensure cover</p> <p>Regional training coordinated by EMOpSS and EMCHRS</p>	Reasonable
NPF0006	Operational efficiency and effectiveness	<p>Closure of Bridewell custody following mechanical or electrical failure, resulting in significantly reduced custody provision</p> <p>Update: A costed report has been received and a meeting is to be set up with Head of Custody to agree a way forward. Plans will be submitted to Transformation Board and Force Executive Group in August for sign off.</p>	Head of EMCJS / Head of Custody (North)	Next 2 years	Medium (3)	High (4)	High (12)		<p>Business case to replace ageing equipment (Assets department)</p> <p>Custody business continuity plan to divert to other forces (EMCJS)</p>	Substantial

URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
NPF0001	Operational efficiency and effectiveness	<p>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.</p> <p>Update: The replacement for the Control Room telephony is scheduled to go live on 12th September 2016. Our delivery partner, BT, has created a number of issues with regard to the progress of the project due to late turnaround of tasks. Due to a number of difficulties BT have agreed to extend the support for Control Room telephone from September 2016 to January 2017.</p> <p>Support for the Siemens DX that supports the force ends in 2017. The replacement for the force-wide telephony is ongoing and will continue into next year.</p>	<p>Head of Information Services/ Infrastructure & Service Delivery Manager</p>	2016/17	Medium (3)	High (4)	High (12)		<p>Replace Force-wide & control room telephony (IS dept)</p> <p>The support for the Control Room telephony has been extended to Jan 2017.</p> <p>We have engaged the support of EMSCU to assist with delivery partner issues.</p> <p>Contact Management business continuity plans to divert calls to other forces (CM dept)</p> <p>Control Room telephony delivery is on track for 12th Sept 2016.</p>	Reasonable

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NPF0007	Life and safety	<p>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.</p> <p><i>Update: A costed report has been received and a meeting is to be set up with Head of Custody to agree a way forward. Plans will be submitted to Transformation Board and Force Executive Group in August for sign off.</i></p>	Head of EMCJS / Head of Custody (North)	Next 2 years	Low (2)	Very high (5)	Medium (10)		Prepare business case for replacement fixtures or cleaning existing ducting (Assets dept)	Reasonable

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NPF0010	Environment	<p>Excessive fuel spillage at one of the Force's underground storage tank sites that does not have a fuel interceptor (Ollerton, Hucknall, Oxclose Lane & Sutton in Ashfield) results in pollution of the local watercourse</p> <p>Update: A business case is being produced on bunkered fuel. This will be submitted to Transformation Board for approval.</p>	Head of Assets / Building Surveyor	Next 12 months	High (4)	Very low (1)	Low (4)		<p>Review long term options for bunkered fuel sites (Assets dept)</p> <p>Spillage response measures in place - spill kits, notices (Assets dept)</p>	Reasonable
NPF0013	Life & safety	<p>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</p> <p>Update: A costed report has been received and a meeting is to be set up with Head of Custody to agree a way forward. Plans will be submitted to Transformation Board and Force Executive Group in August for sign off.</p>	Head of EMCJS / Head of Custody (North)	Daily	Very (1)	Very high(5)	Low (5)		Review the facilities and recommend whether the risk should be accepted or avoided (Health & safety, Assets and Custody)	Substantial

Proposed new risks

URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Response plan	Risk rating confidence
	Operational efficiency and effectiveness	<p>The Force has produced a Police officer reduction profile to 2020. This profile shows officers leaving through retirement and natural leavers. This profile enables the force to meet its reducing financial budgets. However there is a risk that by reducing officer numbers and not replacing officers as they leave the force will not be able to operate effectively.</p> <p>In 2016/17 the Force has a saving requirement of £12M. The rate of leavers is exceeding the anticipated glide path and whilst it provides confidence in meeting financial targets it present a risk in terms of operational effectiveness.</p> <p>A reduction in Officer numbers beyond the original target may lead to the Force being unable to maintain agreed service levels.</p> <p>This may lead to operational ineffectiveness which could ultimately impact on crime levels and community safety.</p>	DCC Torr/ Supt, DtF	April 2018	Low (2)	Very high (5)	Medium (10)	<p>Each thematic lead has been asked to produce a business case outlining how their area will operate within the targeted establishment. Business cases will be completed by end of October 2016. Once complete each business case will be assessed by a third party who will carry out a priority based budgeting exercise to determine where resource is required.</p> <p>A new Cohort of 14 officers, who were previously 'on hold', will commence training in November 2016.</p> <p>Recruitment of Police Officers is proposed in April 2017.</p>	Reasonable

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	Finances	<p>Due to the significant £7.7m overspend, the Force has less reserves to rely on. Contributory factors to this risk are –</p> <ul style="list-style-type: none"> - The Force didn't deliver £3.5m efficiencies - The Force encountered £3.6m budgeting errors - The Force had general overspend in specific areas such as overtime. <p>This may impact upon current and future activity</p>	Temporary Head of Finance	April 2017	Low (2)	Very high (5)	Medium (10)	<p>Appointment of Temporary Head of Finance</p> <p>Improved budget monitoring</p> <p>Force Executive Board's agreement to Action Plan</p>	Reasonable

Closed risks

URN	Risk description	Reason for closure	Date closed	Closed by
NPF 0015	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.	<p>£7.7m was taken from the reserves to balance the budget for the year end 2015/16. This will create a greater risk in relation to future spending for the force</p> <p>Closure recommended due to budget end</p>	29.06.2016	DCC/ Temporary Head of Finance