

**JOINT INDEPENDENT AUDIT COMMITTEE**  
**July 2023**

<b>SUBJECT</b>	Strategic Risk Management Report
<b>REPORT BY</b>	DCC Cooper
<b>CONTACT OFFICER</b>	Nicole Huckerby <a href="mailto:Nicole.Huckerby@notts.police.uk">Nicole.Huckerby@notts.police.uk</a>
<b>SUMMARY AND PURPOSE OF REPORT</b>	
The purpose of this report is to provide the Joint Independent Audit Committee (JIAC) with an update regarding strategic risk management across the Force.	
<b>RECOMMENDATION</b>	<ol style="list-style-type: none"> <li>1. It is recommended that JIAC notes the Force’s current strategic risk register (appendix 1) and the mitigation that the Force has put in place for each risk.</li> <li>2. It is recommended that JIAC notes the accompanying appendix (appendix 2), which outlines more in-depth explanations of the mitigation in place in relation to the Force’s high-level strategic risk.</li> </ol>

**A. SUPPORTING INFORMATION**

The Force’s strategic risk management process was established in Autumn 2022 and the strategic risk register is presented to the Force Executive Board every 3 months. This process provides a formal governance approach to strategic risk, ensuring that all senior managers are involved in discussions regarding strategic risk.

Corporate Development have met with departmental heads to review their risk registers as well as to brief them on the new risk management process. This process will resume during 2023 with a focus on ensuring that risks are appropriately assessed, as well as some training on risk management in general. This will be supported with a refresh of the Force’s Risk Management intranet page.

Mazars carried out a follow up audit for Risk Management in March 2023. Their report was received in April, and we were given a rating of ‘significant assurance’. Some of the report comments include;

- Responsibilities relating to risk management are clearly defined in the Joint Corporate Risk Management Policy.
- Risks can be identified to members of each department’s SMT, with these being reported to the Risk Working Group by Chief Superintendents and Heads of Departments.

- Potential and identified Strategic Risks are escalated to the Strategic Risk Board, chaired by the DCC, for review and approval for addition to the Strategic Risk Register.
- Risk registers are maintained for departments and thematic areas using the JCAD system by risk register owners (i.e., Heads of Departments and Chief Superintendents).

The audit identified the following two recommendations to provide scope for improving the control environment for audit:

The Force and OPCC should ensure that risk registers reporting to governance bodies includes target scores for risks, to ensure appropriate scrutiny of planned future controls.

**Force response:** JCAD includes a ‘target score’ section and this will be included in the next round of risk management training and supporting materials.

The Force and OPCC should ensure that risk register reviews include confirming that all necessary fields have been completed for all risks and that appropriate current controls are in place to support the residual risk score.

**Force response:** The Risk and BC Officers will continue to review all risk registers and make any necessary amendments.

The Force and the OPCC previously agreed a joint policy for the management of risk, in line with the Cabinet Office approved Management of Risk (M\_o\_R) approach.

### Risk Grading Criteria

The strategic risk register identifies the key strategic risks to the force. This document is constantly being reviewed through the new governance process. However, in the main, these risks represent long-term issues and typically remain on the register for long periods.

All risks are scored on an ascending scale of 1-4 in terms of impact and likelihood. Multiplication of these 2 figures leads to a Risk Score, which is expressed as a Red/Amber/Green or ‘RAG’ rating.

Impact	Very High	4	8	12	16
	High	3	6	9	12
	Medium	2	4	6	8
	Low	1	2	3	4
		Low	Medium	High	Very High
		Probability			

## **Risk Control**

Once a risk has been analysed and scored, a basic **risk strategy** is determined by the Responsible Officer. The chosen strategy falls into one of the following four categories below.

- Treat – Take action to reduce the probability or mitigate the impact of the risk.
- Tolerate – Accept the risk and take no further action at this time.
- Transfer – Make someone else responsible for the risk, such as through contracting out, a service level agreement, or an insurance policy.
- Closed – Withdraw from the activity that is at risk.

If the chosen risk strategy is to **treat** the risk, then consideration is given to the **risk controls** that already exist and those which would need to be put in place to reduce the probability of the risk occurring or mitigate its impact should it occur.

### **B. FINANCIAL CONSIDERATIONS**

There are no direct financial implications because of this report. Financial implications because of each risk will be assessed and managed on an individual basis.

### **C. LEGAL AND HUMAN RIGHTS CONSIDERATIONS**

Where potential changes in legislation or other legal considerations represent a significant threat or opportunity for the Force or the NOPCC these are evaluated and managed in line with the Risk Management Policy.

### **D. PERSONNEL, EQUAL OPPORTUNITIES AND DIVERSITY ISSUES**

(including any impact or issues relating to Children and Young People)

Providing professional advice on risk management is the responsibility of the Corporate Development team. General responsibility for managing risk forms an integral part of the job descriptions of individuals throughout the Force.

### **E. REVIEW ARRANGEMENTS**

The Committee are advised of progress in relation to risk management at each meeting.

### **F. RISK MANAGEMENT**

Risks are detailed as appropriate within appendices to this report.

### **G. PUBLIC ACCESS TO INFORMATION**

Information in this report along with any supporting material is subject to the Freedom of Information Act 2000 and other legislation.

# Nottinghamshire Police Strategic Risk Register

\*Risk scores: P = Probability, I = Impact, RS = Risk Score

Risk ID	Risk	Risk Description	Inherent Risk Score			Risk Owner	Controls	Residual Risk Score			Further Actions / Notes	Target Risk
			P	I	RS			P	I	RS		
FSR00 15	IS infrastructure	<p>The IS infrastructure across the organisation is being carefully observed as a result of a number of system failures over recent months. Outages and service disruption have become more frequent for CM end users.</p> <p>A full record of all issues are logged and kept up-to-date. On occasions, technology failure has resulted in business continuity plans being stood up in order to continue to provide service delivery to our communities and victims of crime. The longest outage was 36 hours with no command and control or incoming calls via SAFE (81 service requests at present with 10 identified as major since March 2022). The recent CM technological innovations have supported the BCP in respect of live chat, call-backs and SOH. However, the frequency of failures in technology, including SAFE command and control, SKYPE incoming calls, CISCO and Airwave, appear far in excess of other forces using the same technological platforms as us, and potentially highlight infrastructure deficiencies of which must be resolved in order for us to effectively service incoming demand.</p> <p>A final report is in Force, and is being reviewed to arrange appropriate mitigation.</p>	4	4	16	DCC Cooper	<ul style="list-style-type: none"> <li>Corporate Services have placed additional resource in to fully understand the issues and support a long term strategic remedy.</li> <li>CM and enablers are working closely with service providers including SAAB, SJS and BT.</li> <li>The recent CM technological innovations have supported the BCP in respect of live chat, call-backs and SOH.</li> <li>Scoping document for technical infrastructure review has been prepared and will be circulated with SAAB.</li> <li>The risk is reported to the Strategic Risk meeting.</li> <li>The risk is reported to FEB and to JIAC.</li> <li>Chief Supt – Corporate Services chairs regular ‘Technical Infrastructure Review’ meetings</li> </ul>	4	3	12	<ul style="list-style-type: none"> <li>Final Report has been received in Force, and the content is being reviewed allowing for better mitigation prospects imminently.</li> </ul>	3

Risk ID	Risk	Risk Description	Inherent Risk Score			Risk Owner	Controls	Residual Risk Score			Further Actions / Notes	Target Risk
			P	I	RS			P	I	RS		
FSR00 17	Having an insufficient number of qualified detectives.  Specific issue in Major Crime.	<p>The recruitment and retention of the appropriate number of detectives is a national issue for all forces which could result in inexperienced officers investigating serious crimes. It could also lead to significant pressure for those existing detectives and an inadequate level of service for victims of crime. This is a specific issue for Major Crime.</p> <p>Concerns that moving inexperienced staff into these areas add additional workload to experienced staff. Potentially causing extra pressure due to training requirements.</p>	4	3	12	ACC Griffin	<ul style="list-style-type: none"> <li>Candidates sought from local universities for the graduate investigator scheme.</li> <li>Fast track to DC.</li> <li>Major Crime have brought in a PiP3 member of staff from the region to oversee one of the more difficult cases.</li> <li>Mentor in place to provide support and guidance for new staff.</li> <li>Recruitment plan for officers in 23/24 specifically focuses on Detective recruitment programmes.</li> <li>Police Pass purchased to assist in NIE examination rates increasing.</li> <li>TVP utilised to support retention in critical roles.</li> <li>Op Consolidation utilised (x5) to increase officer knowledge and awareness of PIP roles. The Chief Constable has agreed a new attachments process for all recruits at their week 90. They will have a mandatory six month attachment within investigations or neighbourhoods.</li> </ul>	3	2	6	<ul style="list-style-type: none"> <li>The risk will be reported to the Strategic Risk meeting.</li> <li>The risk will continue to be reported to FEB and to JIAC.</li> <li>Training courses planned for the new DS' and plans to upskill them in the next 6 months.</li> <li>Attachments process beginning in September to support areas of greatest risk.</li> <li>Review Op Consolidate data to establish progress to increase number of detectives.</li> </ul>	4
						July 2023						



Risk ID	Risk	Risk Description	Inherent Risk Score			Risk Owner	Controls	Residual Risk Score			Further Actions / Notes	Target Risk
			P	I	RS			P	I	RS		
FSR00 10	Loss of confidence and trust by communities in Nottinghamshire due to the murders of women in public open spaces nationally and other high profile issues resulting to police officer misconduct.	The murders of women in public open spaces nationally, including an offence perpetrated by a serving Police Officer, have contributed to a loss of confidence in the police service and heightened fear amongst women and some communities in Nottinghamshire. These feelings have been compounded by further breaches of trust and professional standards by serving officers across UK policing, many of which are highlighted in the Baroness Casey Review.	3	4	12	DCC Cooper	<ul style="list-style-type: none"> <li>• Training package encouraging officers and staff to take action and identify behaviour that is concerning.</li> <li>• Implementation of Government's Violence against Women and Girls Strategy and Action Plan.</li> <li>• Community engagement.</li> <li>• Referrals into PSD.</li> <li>• The risk is reported to the Strategic Risk meeting.</li> <li>• The risk is reported to FEB and to JIAC.</li> <li>• We are following the latest NPCC/CoP guidance in relation to the further vetting of staff.</li> <li>• Call it Out campaign.</li> <li>• Police Race Action Plan Gold group chaired by the DCC.</li> <li>• OPCC Quarterly Review document with new strategic engagement approach</li> </ul>	2	3	6	<ul style="list-style-type: none"> <li>• Scoping of resources required to achieve what the Met are doing in relation to running all current employees through the PNC.</li> <li>• PSD completing action plan, looking at vetting issues in accordance with MET Police standards.</li> </ul>	4

Risk ID	Risk	Risk Description	Inherent Risk Score			Risk Owner	Controls	Residual Risk Score			Further Actions / Notes	Target Risk
			P	I	RS			P	I	RS		
FSR000 9	Inability to demonstrate the timely completion and sign off, of public accounts.	2020-21 accounts have not yet been subject to audit. The draft 2021/22 accounts have not yet been reviewed in line with the statutory deadline (30/09/2022). These are likely to be available by the end of the calendar year. The impact of this is that the force is unable to demonstrate accountability to its stakeholders in line with statutory requirements. This could result in reputational damage to the organisation.	4	3	12	Mark Kimberley	<ul style="list-style-type: none"> <li>Monthly updates into FEB.</li> <li>Quarterly reporting into JIAC.</li> <li>COT/CFO oversight.</li> <li>Increased number of resources in the Finance Department associated with the production of the final accounts.</li> </ul>	3	3	9	<ul style="list-style-type: none"> <li>The risk will be reported to the Strategic Risk meeting.</li> <li>The risk will be reported to FEB and to JIAC.</li> <li>Accounts completed and audit 2021 started in May 2022. Lack of external audit resources means this is unlikely to be completed by the end of the financial year.</li> <li>Audit of the 2021/22 accounts is unlikely to start until 2023/24.</li> <li>09.01.23 – Reassurance given by CFO that controls/mitigation in place to facilitate audits.</li> <li>The audit for the 2020/2021 accounts begins on the 24<sup>th</sup> July 2023.</li> <li>The draft 2021/2022 accounts are to be presented at JIAC July 2023.</li> </ul>	4

Risk ID	Risk	Risk Description	Inherent Risk Score			Risk Owner	Controls	Residual Risk Score			Further Actions / Notes	Target Risk
			P	I	RS			P	I	RS		
FSR00 06	Having high numbers of inexperienced officers as a result of Op Uplift due to their short length of service.	The recruitment of a large number of new officers into the force through Operation Uplift could result in a high level of inexperienced, young in service officers. This could add extra pressure and additional workloads for existing officers whilst these new officers work through their training.	4	3	12	ACC Hooks	<ul style="list-style-type: none"> <li>Negotiated release of Response Officers through Tactical Workforce Planning.</li> <li>The Chief Constable has agreed a new attachments process for all recruits at their week 90. They will have a mandatory six month attachment within investigations or neighbourhoods.</li> <li>Additional inspectors and sergeants were added in to support in line management</li> <li>Training days to include areas for improvement identified through Command/Learning and Development</li> </ul>	3	2	6	<ul style="list-style-type: none"> <li>The risk will be reported to the Strategic Risk meeting.</li> <li>The risk will be reported to FEB and to JIAC.</li> <li>09.01.23 ACC Hooks confirmed Response/Demand Review initiated. Head People Services added force reviewing option of 'Rejoiner' scheme.</li> <li>There is a report coming in September which will allow further decisions to be made regarding this risk.</li> </ul>	4



Risk ID	Risk	Risk Description	Inherent Risk Score			Risk Owner	Controls	Residual Risk Score			Further Actions / Notes	Target Risk
			P	I	RS			P	I	RS		
FSR00 07	No GIRR accreditation resulting in risk to the organisation's information security, increased exposure to cyber attacks and reputational damage. This is intensified by the lack of Information Management Lead and Data Protection Officer, which could lead to non compliance with statutory and regulatory requirements.	Due to a lack of Governance and Information Risk Return (GIRR) accreditation, there is an increased risk that corporate information will be compromised resulting in monetary penalties and reputational damage.	4	3	12	DCC Cooper	<ul style="list-style-type: none"> <li>Plans prepared to renew Force accreditation by July 2022.</li> <li>Continued liaison with NPIRMT.</li> <li>Force will work to an annual cycle of compliance moving forward for the variety of frameworks it is required to comply with.</li> <li>Fast track recruitment into the Information Management Lead and Data Protection Officer post on a 6 month secondment (closing date for expressions of interest 13<sup>th</sup> May 2022).</li> <li>Assistance from neighbouring forces Derbyshire and Northants.</li> </ul>	3	2	6	<ul style="list-style-type: none"> <li>The risk will be reported to the Strategic Risk meeting.</li> <li>The risk will be reported to FEB and to JIAC.</li> <li>The risk will be reported to the Strategic Risk meeting and managed through the Information Management Board.</li> <li>Active consideration of permanent recruitment to the role.</li> <li>Chief Supt Lawton, Corporate Services has oversight of this area.</li> <li>We now do the SyAP and we will be sent our maturity ratings report, which will inform our next steps.</li> </ul>	4

Risk ID	Risk	Risk Description	Inherent Risk Score			Risk Owner	Controls	Residual Risk Score			Further Actions / Notes	Target Risk
			P	I	RS			P	I	RS		
FSR001 2	Failure to meet the environmental targets proposed under the Environmental Act 2021. Failure to meet the government goal to be Carbon Zero by 2050.	<p>There is a clear governmental directive to improve our environmental efficiency. The speed of change, along with increase in costs and demand, may make this net zero target hard to achieve, thereby potentially effecting the environment, finances and ability to operate .</p> <p>Concerns that due to lack of environmental officer post, there is not the correct skillsets within the department to compliant with environmental legislation.</p>	3	3	9	DCC Cooper	<ul style="list-style-type: none"> <li>Solar panelling on police premises.</li> <li>Investment in new buildings, which are more energy efficient and less carbon impairing.</li> <li>Reduction in the size of our estate.</li> <li>Integrated working such as with the Fore Service and the Council.</li> <li>Risk appetite for this area is accepted given the Govt. targets are many years away.</li> <li>The risk is reported to the Strategic Risk meeting.</li> <li>The risk is reported to FEB and to JIAC.</li> </ul>	2	3	6	<ul style="list-style-type: none"> <li>This risk has a 'negative outlook.'</li> <li>The Carbon trust are coming in to force to review our work in this area via the Estates Department. This review will generate an action plan for the Force to work to.</li> <li>Chris Ackroyd is working on the decarbonisation of the fleet.</li> <li>Consultants have been tasked to create a roadmap for the Force to utilise to assist in meeting environmental goals.</li> <li>Estates and Facilities to utilise the Budget Planning Cycle for funding for a specialist Environmental Officer post.</li> </ul>	2

Risk ID	Risk	Risk Description	Inherent Risk Score			Risk Owner	Controls	Residual Risk Score			Further Actions / Notes	Target Risk
			P	I	RS			P	I	RS		
FSR0008	Loss of public trust and confidence and reputational damage as a result of data quality issues and crime data integrity.	The HMICFRS Integrated PEEL Inspection 2020/21 report graded the Force's crime data integrity - 'requires improvement.' This suggested the force was under-reporting potential crimes. This could lead to a loss of trust and confidence and victims not receiving a full service.	3	2	6	DCC Cooper	<ul style="list-style-type: none"> <li>Regular audits introduced for key crime types to ensure that effective governance is in place.</li> <li>Outcomes of audits to be fed into Data Quality Board and appropriate remedial action taken to address any emerging issues.</li> <li>Oversight of progress on the PEEL AFIs by the DCC.</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>The risk will be reported to the Strategic Risk meeting and Integrity Board and managed through the Crime Data Integrity Board.</li> <li>The risk will be reported to FEB and to JIAC.</li> <li>Force working with Northamptonshire in relation to Peer Review.</li> </ul>	2

Risk ID	Risk	Risk Description	Inherent Risk Score			Risk Owner	Controls	Residual Risk Score			Further Actions / Notes	Target Risk
			P	I	RS			P	I	RS		
FSR0019	Lack of mental health beds in the region and long waiting times to obtain professional advice. This is also a national issue.	<p>Lack of available mental health beds resulting in detainees being held for extended periods of time. There is a national shortage of secure mental health beds where persons are a risk to themselves or others.</p> <p>Applications for a secure bed can take weeks.</p> <p>The MH triage team have been instrumental in improving working practices and communication between the agencies. This has streamlined the escalation process.</p> <p>Escalations have reduced which is indicative that the new process is helping.</p> <p>There remains a national shortage of secure MH beds.</p>	3	4	12	ACC Hooks	<ul style="list-style-type: none"> <li>Monitoring</li> <li>S.140 Policy (Legal requirement for admission in special urgency) in place between NHS and social care</li> <li>Ability to increase submissions to the S.136 suite as transition from custody through to escalation.</li> <li>Daily email received documenting bed availability.</li> <li>Currently the short-term solution is to provide non-secure beds in the interim.</li> <li>PACE clock potential to be paused to allow for additional time for people under MH assessment.</li> </ul>	2	2	4	<ul style="list-style-type: none"> <li>National reforms being sought centrally for an increase in mental health provisions.</li> <li>Working nationally and locally with NHS England for a solution as the risk remains high.</li> </ul> <p>This risk sits within Contact Management with the Mental Health Lead. Further meeting is to be held with ACC Hooks, Contact Management and Custody to establish further mitigation measures.</p>	3

## Appendix 2 – Mitigation for the Force’s Highest Scoring Strategic Risks

Risk ID	Risk	Risk Description	Inherent Risk Score			Risk Owner
			P	I	RS	
FSR00 15	IS infrastructure	<p>The IS infrastructure across the organisation is being carefully observed as a result of a number of system failures over recent months. Outages and service disruption have become more frequent for CM end users over the past 3 months. A full record of all issues are logged and kept up-to-date. On occasions, technology failure has resulted in business continuity plans being stood up in order to continue to provide service delivery to our communities and victims of crime.</p> <p>The recent CM technological innovations have supported the BCP in respect of live chat, call-backs and SOH. However, the frequency of failures in technology, appear far in excess of other forces using the same technological platforms as us, and potentially highlight infrastructure deficiencies of which must be resolved in order for us to effectively service incoming demand.</p>	4	4	16	DCC Cooper

### Controls:

1. Quarterly updates are provided to the Force Executive Board.
2. There is also a quarterly update report provide to the Joint Independent Audit Committee to provide assurance to the Office of the Police and Crime Commissioner.
3. The Deputy Chief Constable has oversight of the risk and mitigation, and the Chief Officer Team are regularly briefed to ensure they are kept up-to-date.
4. Corporate Services have placed additional resource in to fully understand the issues and support a long-term strategic remedy.
5. CM and enablers are working closely with service providers.
6. The recent CM technological innovations have supported the BCP in respect of live chat, call-backs and SOH.
7. Chief Supt – Corporate Services chairs regular ‘Technical Infrastructure Review’ meetings.
8. Final Report has been received in Force, and the content is being reviewed allowing for better mitigation prospects imminently.