








## Force Strategic Risk Register



Business area	Force
Responsible officer	Deputy Chief Constable (DCC)
Period	Quarter 4, 2016/17

URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Trend	Response plan	Risk rating confidence
NPF0017		<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><b>Update: Update: The remodelled business case is complete and incorporates Public Protection. It was presented to FEB on Monday 30<sup>th</sup> January and gives a clear indication of future growth.</b></p> <p><b>Short Term Plan – There is a high workload within the team but this is being managed through officers working extra hours. Visits and assessments are being done and the frequency of visits is currently being met. (See attached paper)</b></p> <p> MOSOVO RISK.docx</p>	Head of Public Protection	Daily	Very high (4)	Very high (4)	Very high (16)		<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


NPF0019	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>The rate of leavers is exceeding the anticipated glide path and whilst it provides confidence in meeting financial targets it presents a risk in terms of operational effectiveness</p> <p><b>Update: At FEB on the 20<sup>th</sup> January the Chief Officer Team approved a Local Policing Structure for 31<sup>st</sup> March 2018 which will have 1493 FTE Police Officers subject to financial affordability.</b></p> <p><b>We know from projections that the natural number of officers we will have within Local Policing is 1421.7 FTE.</b></p> <p><b>There is a gap of 71.3 FTE Police officers that we need to identify funding to enable this happen. We have more than 1493 officers within Local Policing and there are already plans to recruit 64 police officers during the next 12 months.</b></p>	DCC Torr/Supt Corporate Development	Daily	Very high (4)	Very high (4)	<div style="background-color: red; height: 20px; width: 100%;"></div> 	<p>Prepare business case outlining how areas will operate within targeted establishment</p> <p>New cohort of 14 officers will commence training in November 2016</p> <p>Recruitment of police officers is proposed in April 2017</p>	Reasonable
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NPF0019	Operational efficiency and effectiveness	<p><b><i>The meeting asked for the plan to be finalised by the 28<sup>th</sup> February 2016 and this will include a plan on how the 71.3 officers will be replaced over the next financial year ensuring that we provide sufficient officers to staff the operating model.</i></b></p> <p><b><i>The risk is presently stable but will increase if we are not able to resolve the future shortfall in officer numbers. There is a Business case progressing for the Crime Systems team to reduce its sergeants from 6 to 2 and also to lose a constable post, although this will add cost through civilianisation it will enable local policing to retain an additional 5 FTE police posts. This will happen in the first half of the 2017 – 2018 financial year.</i></b></p>	DCC Torr/Supt Corporate Development	Daily	Very high (4)	Very high (4)	Very high (16)		<p>Prepare business case outlining how areas will operate within targeted establishment</p> <p>New cohort of 14 officers will commence training in November 2016</p> <p>Recruitment of police officers is proposed in April 2017</p>	Reasonable
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NPF0022	Operational efficiency and effectiveness	<p>The force is struggling to resource incidents, grade 2 and 3, relating to vulnerability, with potentially some incidents having to wait longer than they should.</p> <p><b>Update: This risk is being managed through the Vulnerability Gold meeting chaired by ACC Prior. The next meeting is on Friday 2<sup>nd</sup> February 2017 and the outstanding DUI's for Domestic Abuse are managed through the daily management meeting. The Uniform Operations Command are also considering an approach used by the West Midlands Police to more effectively allocate incidents to appropriate teams. A visit is planned for 2<sup>nd</sup> February to give an insight into how this works.</b></p> <p><b>Rapid Improvement Event – this has now taken place, several work streams were identified and these are now being progressed by Public Protection. The Business Improvement Team are currently working on a Service Specification which will give an early indication of demand as work flows through the organisation. There will be a requirement for future pieces of work to further understand demand and capture the details of impact on system and process. This is a long term piece of work and will be progressed through our Quality of Service Framework and Priority Based Budgeting.</b></p>	ACC Operations	Daily	Very high (4)	Very high (4)	Very high (16)		<p>Short Term – Domestic Abuse team within Public Protection reviewed the domestic jobs and all other jobs were looked at by the CRIM team and actioned appropriately.</p> <p>Long Term – Business Improvement Team are looking at demand and resourcing of jobs</p>	Substantial
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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><b>Update: FMB have approved the option to build a new Bridewell. An interim business case went to FEB on 30<sup>th</sup> January. A project team will now be formalised and a full business case written to outline options for the new build.</b></p>	Head of EMCJS / Head of Custody (North)	Daily	Very high (4)	Medium (2)	Medium (8)		<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><b>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 31<sup>st</sup> January 2017. A decision is not anticipated, however, for a few weeks after the hearing. 2017 2017.</b></p> <p><b>Confirmation received cases at the Court of Appeal were not successful. The Force acted lawfully in its use of Reg A19.</b></p>	DCC / Head of East Midlands Police Legal Services	Jan 2017	Medium (2)	Very high (4)	Medium (8)		<p>Appeal process (EMPLS)</p> <p>Contingent liability in accounts for 2015/16 (NOPCC)</p>	Reasonable


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><b>Update: EMOpSS have now identified training dates to provide the East Midlands with TPAC training to advanced drivers. This will allow the increase of the number of officers trained in tactics. In relation to command of such incidents, there is a pursuit command course being held on 20<sup>th</sup> March-25<sup>th</sup> March. Supt Cartwright (the training lead for EMOpSS) has a meeting next week to discuss further courses and has required EMCHRS to conduct a training needs assessment in relation to the whole area of pursuits and roads policing needs.</b></p>	EMOpSS	Daily	Medium (2)	High (3)	Medium (6)	<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> <p>Removal of standard initial phase pursuit to be explored in meeting with DCC Gary Knighton</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><b>Update: FMB have approved the option to build a new Bridewell. An interim business case went to FEB on 30<sup>th</sup> January. A project team will now be formalised and a full business case written to outline options for the new build.</b></p>	Head of EMCJS / Head of Custody (North)	Next 2 years	Medium (2)	High (3)	Medium (6)	<p>Prepare business case to replace ageing equipment (Assets department)</p> <p>Custody business continuity plan to divert to other forces (EMCJS)</p>	Substantial


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><b>Update: FMB have approved the option to build a new Bridewell. An interim business case went to FEB on 30<sup>th</sup> January. A project team will now be formalised and a full business case written to outline options for the new build.</b></p>	Head of EMCJS / Head of Custody (North)	Next 2 years	Low (1)	Very high (4)	<div style="background-color: #92d050; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> <span style="writing-mode: vertical-rl; transform: rotate(180deg); font-weight: bold;">Low (4)</span> </div> 	Prepare business case for replacement fixtures or cleaning existing ducting (Assets dept)	Reasonable
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NPF0020	Finances	<p>Due to the significant £7.7m overspend the Force has less reserves to rely on. Contributory factors to the risk are –</p> <ul style="list-style-type: none"> <li>- The Force didn't deliver £3.5m efficiencies.</li> <li>- The Force encountered £3.6m budgeting errors.</li> <li>- The Force had general overspend in specific areas such as overtime.</li> </ul> <p>This may impact upon current and future activity.</p> <p><b><i>Update: Quarter 3 monitoring continues to give confidence that the Forces financial objectives will be achieved. Some significant in year spending pressures have been off-set by reductions in employee costs as the force remains in advance of the reductions required to achieve its 'Delivering the Future' project. Non-staff savings remain on target and overall a £0.95m underspend is expected at year end.</i></b></p>	Temporary Head of Finance	Daily	Low (1)	Very high (4)	<div style="background-color: #92d050; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> <span style="writing-mode: vertical-rl; transform: rotate(180deg);">Low (4)</span> </div> 	<p>Appointment of Temporary Head of Finance</p> <p>Improved budget monitoring</p> <p>Force Executive Board's agreement to Action Plan</p> <p>Completion of Medium Term Financial Plan</p>	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 &amp; Sutton in Ashfield) results in pollution of the local watercourse</p> <p><b>Update: The business case is currently being revised, it is due to go to the Business Improvement Group in March 2017.</b></p>	Head of Assets / Building Surveyor	Next 12 months	High (3)	Very low (1)	Low (3)		<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><b>Update: FMB have approved the option to build a new Bridewell. An interim business case went to FEB on 30<sup>th</sup> January. A project team will now be formalised and a full business case written to outline options for the new build.</b></p>	Head of EMCJS / Head of Custody (North)	Daily	Very (1)	Very high(4)	Low (4)		<p>Review the facilities and recommend whether the risk should be accepted or avoided (Health &amp; safety, Assets and Custody)</p>	Substantial

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 &amp; external communications capability.</p> <p><b>Update: The control room telephony has now gone live and therefore that major part of the risk is reduced. The risk is now concerning the force wide telephony as much of this is using old DX exchanges. The support for these ends 30 Apr 17, however this only affects us as regards to bug fixes and patches, neither of these have been required over the past 8 years. The technology is old but stable and parts are available. We have purchased the telephones to replace old handsets and have plans to complete the desktop roll out by Sep 2017.</b></p>	Head of Information Services/  Infrastructure & Service Delivery Manager	2016/17	Low (1)	Medium (2)	Low (3)		<p>Replace Force-wide &amp; control room telephony (IS dept)</p> <p>Control room telephony has been replaced and force wide partially replaced.</p> <p>Telephone handsets have been purchased for force wide. Technical staff have been trained and we are developing a deployment plan.</p>	Reasonable
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NPF0021	Operational efficiency and effectiveness	<p>Reduction in crime recording compliance impacting on crime levels, which may lead to a negative Impact on Force reputation and public confidence.</p> <p><b>Update: Short Term - Audit completed. Remedial action being disseminated to Divisional Staff for appropriate action, overseen by DCC Torr/ACC Prior, Det Chief Supt Gerard Milano.</b></p> <p><b>Long Term – A business case has been written and has been taken to Business Improvement Group and will subsequently be presented at FMB. The business case covers all the supporting work done in order to calculate which options are feasible and how many staff will be required. There are risks within our findings these are also contained in the BC. The only outstanding issue involves the new “initial” and “Updater” Webforms. These are currently only visible and being used by CRIM and there have been problems experienced. These problems are not issues with the Webforms themselves but how they are being used. If the proposed team is implemented as per the Business Case, the roll out of the initial and updater Webforms takes place at the same time and work is carried out to ensure sufficient comms and training are delivered as well as the possibility of a mini review of how the Webforms have been used so far.</b></p>	DCC Torr/Supt Corporate Development	Daily	Low (1)	Very high (4)	<div style="background-color: #92d050; width: 100%; height: 100%; display: flex; align-items: center; justify-content: center;"> <span style="margin-right: 5px;">Low (4)</span>  </div>	<p>Force level rescue plan –</p> <p><b>Short term</b> – review all violent, sexual offences and rape incidents closed without a crime number from 1<sup>st</sup> April to 31<sup>st</sup> July this year. Take remedial action as appropriate</p> <p><b>Long term</b> – Introduce an initial crime recording team (10 people) in line with the new crime input wizard. B Foster to prepare paper for FEB approval</p>	Reasonable
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## Proposed new risks

URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Response plan	Risk rating confidence
NPF0023	Operational efficiency and effectiveness	<p>The Emergency Services network which uses cutting edge technology, is a replacement for the current system used by the emergency services. Public safety and reliable communications for our emergency service users is paramount and we will not take risks in deploying any service which is not ready. This must also include allowing the emergency services sufficient time to test and trial devices on the new network.</p> <p><b>Update – The project continues to be managed with recruitment to key roles. The team are also linked in directly with OcIP and the national programme to ensure the force is ready for the transition.</b></p> <p><b>There is a declared slippage from December 2017 to no earlier than June 2018.</b></p>	Project Lead Chief Supt Helen Chamberlain	2017 /18	High (3)	High (3)	High (9)	<p>Working with the regional coordination manager and national Home Office Liaison team in understanding what the slippages mean practically (Ch Supt Chamberlain)</p> <p>Ensuring that we lobby HO to ensure the correct coverage by EE (CI Neil Dorothy)</p> <p>That all control rooms are PSN compliant and Transition 'ready' (Stuart Kelly)</p> <p>Appropriate contracts are renewed within timescales ( Airwave spocs and CO Neil Dorothy)</p>	Reasonable

## Proposed new risks

URN	Category	Risk description	Risk Owner(s)	Proximity	Probability	Impact	Rating	Response plan	Risk rating confidence
NPF0024	Operational efficiency and effectiveness	Issues around the quality of data input into Force systems leads to incorrect assessment of crime and inherent threat/risk leads to members of the public becoming exposed to harm.	DCC Torr/Supt Corporate Development	2017 /18	High (4)	High (4)	High (16)	Senior Lead Officer to put together paper to Quality Board on way forward	Substantial

## 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 £7.7m 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.	£9.3m 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  Closure recommended due to budget end	29.06.2016	DCC/  Temporary Head of Finance
NPF0018	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.	As of 2 <sup>nd</sup> September there are 14 Annex D's outstanding and 38 CRIMS checks. Det Supt Rob Griffin has agreed to the secondment of one member of his staff to continue to address the above. Going forward the backlog will be zero by the end of the week and the two permanent full-time staff will deal with the workload as and when it occurs.	06.09.2016	DCC/  Information Management Lead/  Head of Public Protection
NPF0016	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.	The installation and health check were completed at the beginning of October. The equipment is now fully operational.	05.11.2016	DCC/  Head of Information Services/  Head of Crime Support

## Closed risks

URN	Risk description	Reason for closure	Date closed	Closed by
NPF 0003	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.	The Forces appeal against the adverse finding was successful, but the officers appealed against the decision of the Employment Tribunal. The cases were heard by the Court of Appeal on 31 <sup>st</sup> January 2017. Confirmation received that the cases at the Court of Appeal were not successful. The Force acted lawfully in its use of Reg A19.	03.02.2017	DCC/ Head of East Midlands Police Legal Services