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| **POLICE AND CRIME**  **COMMISSIONER FOR**  **LEICESTERSHIRE**  **JOINT AUDIT, RISK AND**  **ASSURANCE PANEL** |

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| Report of  Subject  Date  Author | **OFFICES OF CHIEF CONSTABLE AND POLICE AND CRIME**  **COMMISSIONER**  **RISK REGISTER**  **TUESDAY 5TH JULY 2016 – 1.00 P.M.**  **LAURA SAUNDERS – RISK AND BUSINESS CONTINUITY ADVISOR** |

**Purpose of report**

1. This report provides JARAP with information about the corporate risk register, highlighting high priority, newly registered and risks of note.

**Recommendation**

1. The panel is asked to discuss the contents of this report and note the current state of risk arrangements.

**Summary**

1. The force Strategic Organisational Risk Board (SORB) oversees and directs the strategic risks facing the force. This board last met on 19th April 2016 and was chaired by DCC Bannister. At this board the OPCC were represented, JARAP were unrepresented.
2. The OPCC risks are overseen by its Chief Executive and presented to the Senior Management Team within the Office of the Police and Crime Commissioner.

**Risk**

1. The corporate risk register identifies the key strategic risks. In the main these risks represent long-term issues and typically remain on the register for long periods.

1. All risks are scored on an ascending scale of 1 - 4 in terms of impact and likelihood. Multiplication of these two figures leads to a risk priority rating, which is expressed as a ‘RAG’ rating.

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| **Priority Rating** | **‘RAG’ Rating** | **Review** |
| 9 - 16 | High | Monthly |
| 5 - 8 | Medium | 3 Monthly |
| 1 - 4 | Low | 3 Monthly |

**Risk status**

1. *Controlled* – this risk is in the ideal state. Circumstances or time may change this state.

*Controls Tasked* – when additional controls have been identified. These additional controls will have an owner tasked to complete them and a target completion date. Within the Orchid risk register the term ‘Awaiting Control’ is used to describe this status.

*Overdue Control* – when the completion date for additional controls has passed.

*Managed* – when no further controls have been identified at that time to reduce the risk further, however, the risk is not acceptably controlled.

*Awaiting Review* – a managed risk which requires a review. It may also be a new risk prior to first review or a risk transferred to a new ‘Responsible Officer’.

**Strategic risks**

1. On the corporate risk register there are 38 police strategic risks and 9 OPCC strategic risks.

The overall risk rating grid for the corporate risk register is shown below.

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| --- | --- | --- | --- | --- | --- |
| **Corporate Risk**  **Rating Grid** | | **Likelihood** | | | |
| Very High | High | Medium | Low |
| **Impact** | Very High | 0 | 1 | 0 | 0 |
| High | 0 | 1 | 8 | 9 |
| Medium | 2 | 2 | 11 | 9 |
| Low | 0 | 0 | 1 | 3 |

There are 2 high priority risks and 1 new risk; they are outlined within Appendix A. There are no risks of note.

The full corporate risk register is attached as Appendix B.

**Implications**

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| *Financial* | **STR1844 – Failure to transition to the ESN.**  Costs incurred by the infrastructure upgrade and purchase of new equipment. In addition, costs associated to the possible extension of the Airwave contract.  **STR1329 – Transforming services.**  This revolves around providing services with the reduced budget. |
|  |  |
| *Equality impact assessment* | **STR430 – Disability related harassment.**  The police reputation for providing a fair and equitable service may be damaged. |
| *Risks and impact* | As per the tables above. |
| *Link to Police and*  *Crime Plan* | As per report. |

**Appendices**

Appendix A: Strategic Risks

Appendix B: Corporate Risk Register

Appendix C: Risk Matrix

**Persons to contact**

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**Appendix A – Strategic Risks**

High risks

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| --- | --- | --- | --- |
| **STR1844** | **Failure to transition to the ESN** | | |
| Responsible Officer | Andrew Rodwell | Impact/Likelihood | Very High/High |
| Date Recorded | 15/08/14 | Current Rating | High (12) |
| Category | Information Systems/Technology | Previous Rating | High (12) |
| Information | Leicestershire Police use Airwave for radio voice communications; however, the contract is due to expire in 2017. The government are driving the procurement process as every emergency service will move to mobile communications and connect to the Emergency Services Network (ESN). | | |
| Impact | This risk is concerned with the impact of not transitioning to the ESN within the timescales, however, there are a number of associated risks:- Financial; upgrading our infrastructure, possibility of extending our contract with Airwave, purchase of new handsets. Operational; abstractions caused by equipment being fitted to cars and training in the use of new equipment. | | |
| Existing Controls | * Regional Airwave user group * Monitoring of Airwave performance * National project team * Creation of ESMCP Project Board * COT oversight * ICCS infrastructure upgrade * Appointment of a project manager locally * Monthly conference calls with national police team * Purchase of repair credits for existing Airwave radios | | |
| Update | **22/06/16 – Andrew Rodwell:-**  In general the risk remains the same; the key update is it is unlikely any devices will be available for testing until April 2017 at the earliest. The East Midlands region is now meeting on a regular basis, with the next meeting in July. Learning and Development are engaged with the region and are looking to provide appropriate training. There are monthly conference calls with the central project team, this months was cancelled by the project team as there was nothing to report.  **Current status: managed.** | | |

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| **STR1679** | **Missed opportunities: failure to accurately record crime** | | |
| Responsible Officer | Caroline Barker | Impact/Likelihood | High/High |
| Date Recorded | 12/06/13 | Current Rating | High (9) |
| Category | Operational/Performance | Previous Rating | High (9) |
| Information | The Service Improvement Unit carried out a number of audits under the heading "Missed Opportunities" which identified issues with the accuracy of our crime recording, both on initial contact and in relation to classification of crime. In addition, in April 2015 the Home Office Crime Recording reduced the timescale for when crimes must be recorded from 72 hours to 24 hours. | | |
| Impact | Operational: crimes not being recorded. Reputational: loss of confidence in published figures and in the police as a whole. | | |
| Existing Controls | * Audit of ‘STORM’ incidents within CMD – compliance check * Audit schedule – conducted by the Service Improvement Unit * Task and finish groups – part of Get it Right 1st Time * Communication plan – as part of Get it Right 1st Time * Get it Right 1st Time – Gold Group * HMIC inspection * Introduction of the Investigative Management Unit | | |
| Additional Controls | * Get it Right 1st Time delivery plan | | |
| Update | **15/06/16 – Caroline Barker:-**  Work is continuing to increase compliance with crime recording, such as training and the audit regime. Various work streams continue to be managed and monitored through the Get It Right First Time Group, which meets every 6 weeks.  **Current status: controls tasked.** | | |

New risk

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| **OPCC1934** | **Newly elected PCC for LLR could result in widespread change** | | |
| Responsible Officer | Paul Stock | Impact/Likelihood | High/Medium |
| Date Recorded | 16/06/16 | Current Rating | Medium (6) |
| Category | Politics/Legal | Previous Rating | New Risk |
| Information | Newly elected PCC for LLR could result in widespread change to the way policing and commissioning services are delivered. | | |
| Impact | Potentially impacting on: relationships with partners (including Police), public perception of the PCC, media coverage of significant change, challenges around the use of resources (including financial) to deliver the new PCC's political or strategic priorities. | | |
| Existing Controls | * Police and Crime Commissioner role in developing Police and Crime Plan * Induction packs prepared for new PCC * PCC information pack for candidates * Prospective PCC candidate events with Force/OPCC * Key meetings and briefings for new PCC * Website repository for key information/articles | | |
| Additional Controls | * Key meetings, induction and briefings continue until PCC is fully informed * Draft timeline for development of new PCC’s Police and Crime Plan * Enhanced public engagement via a developing strategy | | |
| Update | **21/06/16 – Paul Stock:-**  This is a new risk that has a high priority for the OPCC. There are existing controls that can provide assurance but there are additional controls being developed to assist in managing the level of risk, likelihood and potential impact during the first phase of the PCC's term.  **Current status: controls tasked.** | | |

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| **Appendix B** | | **Corporate Risk Register** | | | | **22nd June 2016** | | | |
| **Reference** | **Owner** | **Title** | **Impact** | **Likelihood** | **Status** | **Recorded** | **Last**  **review** | **Priority** | **Previous rating** |
| STR1844 | Andrew Rodwell  Communications System Manager | Failure to transition to the ESN. | Very High | High | Managed | August 2014 | 22/06/16 | 12 | 12 |
| STR1679 | Caroline Barker  Crime Registrar | Missed opportunities: failure to accurately record crime. | High | High | Controls Tasked | June 2013 | 15/06/16 | 9 | 9 |
| STR473 | Ross Dimmock  Anti-Corruption Unit | Organisational risk of not complying with the ACPO national vetting policy. | Medium | Very High | Controls Tasked | March 2010 | 25/05/16 | 8 | 8 |
| STR1922 | Chris Cockerill  Operations Lead Criminal Justice | Inability to adequately audit Niche. | Medium | Very High | Controls Tasked | October 2015 | 20/06/16 | 8 | 8 |
| STR1926 | Jonathan Brown  Head of Serious Crime | Quality of video recorded evidence. | High | Medium | Controlled | January 2016 | 26/04/16 | 6 | 6 |
| STR1917 | Paul Hooseman  Information Manager | Failure to comply with the ‘Building the Picture’ HMIC recommendations. | High | Medium | Controls Tasked | August 2015 | 04/04/16 | 6 | 6 |
| STR1904 | Neil Castle  Head of Crime and Intel | Safe keeping of property within force safes. | High | Medium | Controls Tasked | June 2015 | 11/05/16 | 6 | 6 |
| STR1910 | Dharmendra Bhakta  Contact Management | Lack of resilience and foreseeable attrition in RTI-PNC compromises service. | Medium | High | Managed | August 2015 | 26/04/16 | 6 | 6 |
| STR420 | Peter Coogan  Head of Health and Safety | Management system for energy use. | High | Medium | Controlled | February 2010 | 24/03/16 | 6 | 6 |
| STR1608 | Steph Pandit  Head of Corporate Services | Governance of partnership working arrangements. | High | Medium | Controls Tasked | January 2013 | 13/06/16 | 6 | 6 |
| STR1519 | Paul Hooseman  Information Manager | RMADS management for information security. | High | Medium | Controls Tasked | June 2012 | 04/04/16 | 6 | 6 |
| STR1801 | Alison Naylor  HR Director | Ability to meet mandatory training requirements. | Medium | High | Controlled | June 2014 | 26/04/16 | 6 | 6 |
| STR1329 | Andy Elliott  Head of Change | Transforming services – meeting the budget challenge for 2020. | High | Medium | Managed | February 2012 | 15/06/16 | 6 | 6 |
| OPCC1934 | Paul Stock  Chief Executive Officer | Newly elected PCC for LLR could result in widespread change. | High | Medium | Controls  Tasked | July 2016 | 21/06/16 | 6 | New Risk |
| STR1915 | Paul Hooseman  Information Manager | Failure to comply with the ICO recommendations - asset owners. | Medium | Medium | Controls Tasked | August 2015 | 04/04/16 | 4 | 4 |
| STR1916 | Paul Hooseman  Information Manager | Failure to comply with the ICO recommendations - records management. | Medium | Medium | Controls Tasked | August 2015 | 04/04/16 | 4 | 4 |
| STR11 | Alison Naylor  HR Director | Potential for industrial action affecting our service. | Medium | Medium | Controlled | October 2007 | 26/04/16 | 4 | 4 |
| OPCC1700 | Matthew Clarke  Partnership Coordinator | Failure to maintain relationships with key partners. | Medium | Medium | Controls Tasked | July 2013 | 16/06/16 | 4 | 4 |
| OPCC1690 | Paul Stock  Chief Executive Officer | Failure to consult and engage sufficiently with the public. | Medium | Medium | Controls Tasked | July 2013 | 16/06/16 | 4 | 4 |
| STR1521 | Simon Hurst  Anti-Corruption Lead | Criminal behaviour/impropriety by staff. | Medium | Medium | Controls Tasked | July 2012 | 22/06/16 | 4 | 4 |
| STR508 | Steph Pandit  Head of Corporate Services | Failure to meet requirements of the Police and Crime Plan. | Medium | Medium | Controlled | April 2010 | 08/06/16 | 4 | 4 |
| STR1875 | Alison Coulton  Senior HR Business Partner | Increased number of subject to vetting contracts issued. | Medium | Medium | Controlled | December 2014 | 06/04/16 | 4 | 4 |
| STR1706 | Alison Naylor  HR Director | Loss/absence/churn of key personnel. | Medium | Medium | Controlled | August 2013 | 26/04/16 | 4 | 4 |
| STR533 | Steph Pandit  Head of Corporate Services | The fair and effective use of stop and search to promote confidence. | Medium | Medium | Controls Tasked | June 2010 | 08/06/16 | 4 | 4 |
| STR1818 | Paul Hooseman  Information Manager | Government Security Classification (GSC) implementation. | Medium | Medium | Controls Tasked | June 2014 | 04/04/16 | 4 | 4 |
| OPCC1698 | Paul Stock  Chief Executive Officer | Failure to provide governance to all East Midlands police collaboration projects. | High | Low | Controls Tasked | July 2013 | 16/06/16 | 4 | 3 |
| OPCC1695 | Paul Stock  Chief Executive Officer | Failure to deliver Police and Crime Plan during period of reducing funding. | Medium | Low | Controls Tasked | July 2013 | 16/06/16 | 4 | 2 |
| OPCC1864 | Paul Stock  Chief Executive Officer | Impact of changes in legislation on the PCC. | Medium | Low | Controls Tasked | October 2014 | 16/06/16 | 4 | 2 |
| OPCC1699 | Helen King  Head of Commissioning | Failure to produce and maintain a commissioning framework. | Medium | Low | Managed | July 2013 | 16/06/16 | 4 | 2 |
| OPCC1694 | Paul Stock  Chief Executive Officer | Lack of resource and capacity available to OPCC. | High | Low | Controls Tasked | July 2013 | 16/06/16 | 3 | 3 |
| STR1764 | Tim Glover  Head of IT | Accreditation for the use of the PSN. | High | Low | Controlled | January 2014 | 20/06/16 | 3 | 3 |
| STR564 | Jonathan Brown  Head of Serious Crime | Management of MFH enquiries. | High | Low | Controlled | August 2010 | 28/04/16 | 3 | 3 |
| STR1571 | Jonathan Brown  Head of Serious Crime | Genie/DASH not being used correctly resulting in incorrect risk assessments. | High | Low | Managed | September 2012 | 28/04/16 | 3 | 3 |
| STR458 | Jonathan Brown  Head of Serious Crime | Failure to protect vulnerable persons. | High | Low | Controlled | March 2010 | 15/06/16 | 3 | 3 |
| STR310 | David Sandall  Head of Crime and Intelligence | Failure to recognise and respond to critical incidents and ‘learn lessons’. | High | Low | Controlled | November 2009 | 15/06/16 | 3 | 3 |
| STR520 | Steph Pandit  Head of Corporate Services | Governance of collaborative arrangements. | High | Low | Controlled | May 2010 | 08/06/16 | 3 | 3 |
| STR253 | Tim Glover  Head of IT | High risk of virus introduction and data loss. | High | Low | Controls Tasked | July 2009 | 20/06/16 | 3 | 3 |
| STR1927 | Tim Glover  Head of IT | Lack of agility in applying local change to shared services. | Low | Medium | Managed | January 2016 | 20/06/16 | 2 | 2 |
| STR1765 | Ian Howick  Head of EMOpSS | Regional operational support command structure. | Medium | Low | Controlled | February 2014 | 22/06/16 | 2 | 2 |
| STR1890 | Mark Newcombe  Strategic Partnerships Lead | Making the best use of the DNT to reduce demand upon other teams. | Medium | Low | Controls Tasked | April 2015 | 07/04/16 | 2 | 2 |
| STR430 | Lynne Woodward  Head of Equalities | Inquiry into disability related harassment. | Medium | Low | Managed | March 2010 | 28/04/16 | 2 | 2 |
| STR380 | Alex Stacey-Midgley  Senior HR Business Partner | Current JES unlikely to meet Equal Opportunities Commission (EOC) criteria. | Medium | Low | Controls Tasked | January 2010 | 20/06/16 | 2 | 2 |
| STR1623 | Andy Lee  Director of Intelligence | Preparing for new communities, travelling and foreign national offending. | Medium | Low | Controlled | February 2013 | 13/05/16 | 2 | 2 |
| STR1861 | Fiona Linton  Information Security Manager | Risk to redacted information. | Medium | Low | Controls Tasked | September 2014 | 26/04/16 | 2 | 2 |
| OPCC1696 | Helen King  Chief Finance Officer | Poor data quality leads to inefficient decision making and use of resources. | Low | Low | Controlled | July 2013 | 16/06/16 | 1 | 1 |
| STR1475 | Mark Newcombe  Strategic Partnerships Lead | Limited ability to collate ASB incidents onto SENTINEL. | Low | Low | Controls Tasked | May 2012 | 07/04/16 | 1 | 1 |
| STR459 | Mark Newcombe  Strategic Partnerships Lead | Failure to respond to ASB. | Low | Low | Controlled | March 2010 | 21/04/16 | 1 | 1 |

Appendix C

**Risk Scoring Matrix**

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| **Impact** | | | | | | | |
|  | **Score** | **Performance/**  **Service Delivery** | **Finance/ Efficiency £** | **Confidence/Reputation** | **Health and Safety** | **Environment** | **Strategic Direction** |
| **Very High**  **Very High** | **4** | Major disruption to service delivery.  Major impact on performance indicators noticeable by stakeholders. | Force  >1,000,000  Business area  >150,000 | Major stakeholder/investigations/longer lasting community concerns.  Major reputational damage; adverse national media coverage > 7 days. | Death or a life changing injury. | Very high negative environmental impact (high amount of natural resources used, pollution produced, biodiversity affected). | Major impact on the ability to fulfil strategic objective. |
| **High**  **High** | **3** | Serious disruption to service delivery.  Serious impact on performance indicators noticeable by stakeholders. | Force  251,000-1,000,000  Business area  41,000-150,000 | Serious stakeholder/investigations/  prolonged specific section of community concerns.  Serious reputational damage; adverse national media coverage < 7 days. | An injury requiring over 24 hours hospitalisation and/or more than 3 days off work or a major injury as defined by the RIDDOR regulations. | High negative environmental impact (medium amount of natural resources used, pollution produced, biodiversity affected). | Serious impact on the ability to fulfil strategic objective. |
| **Medium**  **Medium** | **2** | Significant disruption to service delivery.  Noticeable impact on performance indicators. | Force  51,000-250,000  Business area  11,000-40,000 | Significant investigations/specific section of community concerns.  Significant reputational damage; adverse local media coverage. | An injury requiring hospital/professional medical attention and/or between one day and three days off work with full recovery. | Medium negative environmental impact (low amount of natural resources used, pollution produced, biodiversity affected). | Significant impact on the ability to fulfil strategic objective. |
| **Low** | **1** | Minor disruption to service delivery.  Minor impact on performance indicators. | Force  <50,000  Business area  <10,000 | Complaints from individuals.  Minor impact on a specific section of the community. | An injury involving no treatment or minor first aid with no time off work. | Low negative environmental impact (limited amount of natural resources used, pollution produced, biodiversity affected). | Minor impact on the ability to fulfil strategic objective. |

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| **Likelihood** | | |  | **Overall Risk Rating:**  **Impact x Likelihood** |
| Score | | |
| **Very High** | **4** | >75% chance of occurrence Almost certain to occur |
| **High** | **3** | 51-75% chance of occurrence More likely to occur than not | **9 - 16 = High** |
| **Medium** | **2** | 25-50% chance of occurrence Fairly likely to occur | **5 - 8 = Medium** |
| **Low** | **1** | <25% chance of occurrence Unlikely to occur |  | **1 - 4 = Low** |

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