

# POLICE & CRIME COMMISSIONER FOR LEICESTERSHIRE JOINT AUDIT, RISK & ASSURANCE PANEL

PAPER MARKED

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Report of	OFFICE OF CHIEF CONSTABLE
Subject	FORCE RISK REGISTER
Date	WEDNESDAY 26 JUNE 2013 – 2.45 P.M.
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## **Purpose of Report**

1. This report provides JARAP with information about the Force Risk Register; highlighting the high priority and newly registered risks facing the Force and the current state of Business Continuity (BC).

## **Recommendation**

2. The Panel is asked to discuss the contents of this report, note the current risks and the state of BC arrangements.

## **Summary**

3. The Force Strategic Organisational Risk Board (SORB) oversees and directs the strategic risks facing the Force; it also oversees the management of BC within the Force.
4. The Board last met on 7<sup>th</sup> May and was chaired by DCC Edens. The OPCC was represented by Peter Lewis at this Board.

## **Risk**

5. Risk priority utilises a “RAG” rating. The priority rating is derived from multiplying the impact if the event occurs by the likelihood of it occurring. Red risks will be reviewed at least monthly. Amber and Green risks will be reviewed at least quarterly. The risk assessment matrix is attached as an appendix 1

## **Business Continuity**

6. The Force’s critical functions are:
  - Receive and Respond to Emergency Calls
  - Secure and Protect Public and Staff
  - Control Major/Critical Incidents

- Manage Operational Information and Intelligence
- Investigate Crime
- Manage Custody and Critical Case Progression
- Inform and Reassure Our Communities

7. The BC Policy states that plans will be reviewed and also exercised on an annual basis. There is a timetable for this on the Force intranet.

### **Strategic risks**

8. There are, in total, 47 identified strategic risks on the Force's risk register. There are 5 high priority strategic risks on the risk register:

<b>STR 1329</b>		<b>Reduction in Force Budget. Risk to delivery of services</b>	
Strategic Lead	Paul Dawkins	Impact/ Likelihood	V.High / V.High
Date Recorded	23 Feb 2012	Rating	High
Category	Finance	Last JARAP	High
Controls	Workforce Modernisation Change Board Force Restructure Change Programme Regular review		
<p><b>Information:</b> Due to funding measures there is a budget deficit of £20.6 million until 2016/2017 against previously anticipated funding</p> <p><b>Risk:</b> The reduction poses challenges to delivering our services</p> <p><b>Update:</b> This is an ongoing risk which cuts across all Departments including collaborative working and the rating is to remain the same.</p>			

<b>STR310</b>		<b>Failure to recognise &amp; respond to critical incidents &amp; "learn lessons"</b>	
Strategic Lead	Stuart Prior	Impact/ Likelihood	High / High
Date Recorded	16 <sup>th</sup> November 2009	Rating	High
Category	Stakeholders / Reputation	Last JARAP	High
Controls	IPCC Learning the Lessons - Oversight by Professional Standards Reputational Risk Management Group Policy and Procedure in place Serious Case Review meeting Operation Fox		
<p><b>Information:</b> The Force is vulnerable to reputational damage as the risk climate for Leicestershire Police has increased following the publicity around Operation Teak (The Pilkington case).</p> <p><b>Risk:</b> Failure to identify incidents or learn lessons from previous incidents would adversely affect our reputation and public confidence</p> <p><b>Update:</b> Title amended from "Failing to prevent critical incidents that could affect public confidence". Further controls have been added. This is an ongoing risk and the risk rating remains the same.</p>			

STR430	Inquiry into Disability Related Harassment		
Strategic Lead	Lynne Woodward	Impact/ Likelihood	High / High
Date Recorded	2-Mar-2010	Rating	High
Category	Stakeholders/Reputation	Last JARAP	High
Controls	National Gold/Silver groups Strategic Equality & Confidence Board Media Strategy EHRC Coordinating Group		
<p><b>Information:</b> On 3 December 2009, the Equality &amp; Human Rights Commission announced its intention to conduct a formal inquiry into the actions of public authorities to eliminate disability related harassment and its causes. The 2012 HMIC report has led the EHRC to challenge the Force and a response is being prepared.</p> <p><b>Risk:</b> The risk to the Force is to our reputation if the EHRC make a finding against us.</p> <p><b>Update:</b> 6<sup>th</sup> June – Response from EHRC is anticipated this month.</p>			

STR1660	Partnership Funding Withdrawal for ICSB Analysis (New Risk)		
Strategic Lead	Simon Hurst	Impact/ Likelihood	High / High
Date Recorded	08 May 2013	Rating	High
Category	Contracts & partnerships	Last JARAP	New Risk
Controls	Ongoing negotiations with Local Authorities Briefing to ACPO		
<p><b>Information:</b> Leicestershire Police have four ICSB analysts who provide a partnership analytical function in support of the Joint Action Groups (JAG) within both City and County. The analysts are funded by contributions from the Police, City and County Councils (including district council contributions). The County has agreed in principal to support the funding, but remains uncommitted to full agreement, until the position of the City (and respective Districts) is known. City have no funding stream to support the function</p> <p><b>Risk:</b> Local authority funding has not been agreed and the ICSB analysts will not be a funded post</p> <p><b>Update:</b> June 13 impacting on effectiveness of the JAGs</p>			

STR520	Governance of Collaborative Arrangements		
Strategic Lead	Simon Edens	Impact/ Likelihood	High / High
Date Recorded	13-May-2010	Rating	High
Category	Governance	Last JARAP	High
Controls	Regional & Sub Regional Programme Boards Stock Take Report Force Change Board Improved reporting mechanism		
<p><b>Information:</b> We have collaborative arrangements with other East Midland forces to deliver services.</p> <p><b>Risk:</b> We must ensure proper governance of collaboration arrangements or we may be exposed to risks, e.g. performance or financial.</p> <p><b>Update:</b> This risk was raised to high in September 2013 to mirror the Police Authority Risk Rating. Since then reporting has been improved, but the risk remains as high.</p>			

9. Since the March 2013 JARAP, 5 new Strategic Risks have been created:

<b>STR1660</b>	<b>Partnership Funding Withdrawal for ICSB Analysis (Details as above)</b>
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<b>STR1651</b>	<b>BC for HR Transactional Work</b>		
Strategic Lead	Alison Naylor	Impact/ Likelihood	Med / High
Category	People (Staff & Community)	Rating	Med
Controls	Staff overtime Use of Agency Staff		
<p><b>Information:</b> The EMCHRS will provide L&amp;D, Occupational Health and HR Services from the subscribing East Midlands forces. HR services are due to transfer in October 2013 with staff being TUPE'd to Derbyshire.</p> <p><b>Risk:</b> Due to staff leaving we have been left with a shortfall of skilled staff. This impacts on the provision of services. This could also be a collaborative issue also.</p>			

<b>STR1650</b>	<b>Adverse impact of implementing new ACPO definition of missing / absent person</b>		
Strategic Lead	Dave Sandall	Impact/ Likelihood	High/ Med
Category	Operational/Performance	Rating	Med
Controls	Task and finish implementation group (includes partners) Internal and cross-partner communication strategy Implementation briefing by CoP / CEOP Local authority private providers childrens home briefing		
<p><b>Information:</b> Introduction of new ACPO definition of missing persons to include "absent"</p> <p><b>Risk:</b> (1) Incorrect assessment and recording as 'absent' instead of 'missing'. This may result in a safeguarding risk as there would be a delayed missing person investigation leading to death / injury / abuse of the missing person (2) Partners failing to take into account the new 'missing / absent' definition</p>			

<b>STR1648</b>	<b>Failure to Manage the Licensing and Holding of Shotguns and Firearms</b>		
Strategic Lead	T/ACC Thomas	Impact/ Likelihood	V.High / Low
Category	Operational / Performance	Rating	Low
Risk Controls	All arrested persons checked against NFLMS Lobbying at National level for changes Monies allocated to fund Doctor requests Additional Control – Allocated to Insp Rixon, Firearms Dep't Work on process to search "Storm" incidents against National Database		
<p><b>Information:</b> The grant, renewal or variation for shotguns and firearms and is carried out under the authority of the Chief Constable. The Force policy aims: firearms lawfully held, public safety is paramount and no unsuitable persons hold firearms. A national application form (101) is used and information held on a National Database.</p> <p><b>Risk:</b> (1) <u>Application</u> The national application guidelines (2002) are not prescriptive about doctors information and there is no requirement for a doctor even if requested to provide information for the application or to retain information that an application has been made. The cost of a doctor request outweighs the cost of the application.</p> <p>(2) <u>Management</u> Incidents occur involving licence holders and firearms are not seized, or the information passed to the Firearms Department to enable them to make informed decisions.</p>			

<b>STR1672</b>	<b>Failure of Custody CCTV</b>		
Strategic Lead	Stuart Prior	Impact/ Likelihood	High / Low
Category	Information Systems/Technology	Rating	Low
Controls	Design New system New system project Monies allocated		
<p><b>Information:</b> The Force Custody suites have a CCTV system to record occurrences: these are having increasing instances of failure to record.  <b>Risk:</b> Loss of evidence relating to a serious incident due to failure of the Custody CCTV systems</p>			

**Risks of Note**

<b>STR1571</b>	<b>Genie / DASH not being used correctly, results in incorrect risk assessment</b>		
Strategic Lead	David Sandall	Impact/ Likelihood	High / High
Date Recorded	26-Sep-2012	Rating	Med
Category	Operational/Performance	Last SORB	High
Controls	Recorded in DJD DV Action Plan (DCI Thomson) Communication with LPU Commanders and OCI's Briefing to BCU Continuous Improvement Groups/Hub shifts and LPO's Involvement with IRC Project Group Communication Strategy Move to single DV DI for the whole Force Dip Sampling of records		
<p><b>Information:</b> A Serious Case review meeting identified where a number of PIU audits (DASH, Harassment and missing person) were not being correctly completed.  <b>Risk:</b> Incomplete information may lead to incorrect classification, affecting decision making.  <b>Update:</b> There is ongoing work but recent incident reviews show that the systems are in place and an increased use of Genie to inform decisions. Failings are not with processes; additional support and training are being offered. Reduced to Medium.</p>			

<b>STR1571</b>	<b>Failure to meet requirements of the Police &amp; Crime Plan.</b>		
Strategic Lead	Steph Pandit	Impact/ Likelihood	Med / Med
Date Recorded	28 April 2010	Rating	Low
Category	Stakeholders/Reputation	Last SORB	Low
Risk Controls	PDG Individual control strategies Force Delivery Plan		
<p><b>Risk:</b> This is the strategic reputation risk for the Force in failing to meet performance targets.  <b>Update:</b> Title amended from "Failure to meet Performance Targets: Reduced Confidence, to reflect delivery of the Police and Crime Plan.</p>			

## Business Continuity

10. An overview of the BC plans review and exercising is shown in the following tables. Plans identify which activities support the Force “critical functions” and define their criticality.

6 <sup>th</sup> June	Review			Exercise	
Business Area	# BC Plans	Overdue Reviews	Comments	Tested In Q1 <sup>1</sup>	Comments
Counties	2	0		1/1	Development work on Uniform Plan
Corp Services	5	0		1/1	Tabletop exercise carried out and CMT <sup>2</sup> tested
Counties	2	0		1/1	Development work on Uniform Plan
DJD	25	1	Firearms licensing ongoing reviews	7/7	
Regional	3	1	Health & Safety board being set up and BC will be integrated into this board subsequently BC plan for the regional service will be developed.	1/1	EMSOU SB Tested
Support	6	0		5/5	Tabletop exercise carried out
Tasking	9	0		9/9	Ongoing work on FIB Plans
<b>Totals</b>	<b>52</b>	<b>2</b>		<b>25/25</b>	

\* <sup>1</sup> Q1 End of March 2013. Plans tested with highly critical activities to support Force critical functions

\* <sup>2</sup> CMT- Crisis Management Team- Team formed on invocation of BC plan

## Implications

Financial :	In risk STR 430, a fine may be issued if a finding is made against us.
Legal :	In risk STR430 we may face legal action (see financial implications).
Equality Impact Assessment :	In risk STR 430 our 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



**RISK SCORING MATRIX** : The tables below show how each risk should be analysed to determine its potential impact and likelihood.

**IMPACT**

	Score	Performance / Service Delivery	Finance /Efficiency £	Confidence/ Reputation	Health & Safety	Environment	Strategic Direction
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	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 Regs	High negative environmental impact (medium amount of natural resources used, pollution produced, biodiversity affected)	Serious impact on the ability to fulfil strategic objective
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

Score		PROBABILITY
Very High	4	>75% chance of occurrence. Almost certain to occur.
High	3	51-75% chance of occurrence. More likely to occur than not.
Medium	2	25-50% chance of occurrence. Fairly likely to occur.
Low	1	<25% chance of occurrence. Unlikely to occur.

Risk Rating
<b>Impact x Likelihood</b>
<b>High - 9-16</b>
<b>Medium - 5-8</b>
<b>Low - 1-4</b>

