

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

Paper
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Report of	OFFICES OF CHIEF CONSTABLE AND POLICE AND CRIME COMMISSIONER
Subject	RISK REGISTER
Date	TUESDAY 22 nd SEPTEMBER 2015 – 9.30 A.M.
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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

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

Summary

3. The force Strategic Organisational Risk Board (SORB) oversees and directs the strategic risks facing the force. This board last met on 30th July 2015 and was chaired by DCC Bannister. At this board the OPCC and JARAP were unrepresented.
4. 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

5. 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.
6. 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.

Priority Rating	'RAG' Rating	Review
9 - 16	High	Monthly
5 - 8	Medium	3 Monthly
1 - 4	Low	3 Monthly

Risk Status

7. *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

8. On the corporate risk register there are 36 police strategic risks and 8 OPCC strategic risks.

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

Corporate Risk Rating Grid		Likelihood			
		Very High	High	Medium	Low
Impact	Very High	0	2	0	0
	High	0	1	4	11
	Medium	2	2	10	10
	Low	0	0	0	2

There are 2 new risks, 3 high priority risks and 1 risk of note. They are outlined within Appendix A. The full corporate risk register is attached as Appendix B.

Implications

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 risk.
 This revolves around providing services with the reduced budget.

STR1823 – Forensic and healthcare services, financial risk to force.
 The provision of service associated to novating to NHS England; the new contract exceeds the existing contract and the contribution by Leicestershire Police is not yet clear.

STR127 – Unauthorised use/misuse of IT systems, loss of information.

There can be financial penalties levied by the Information Commissioner for breaches of the Data Protection Act and Privacy and Electronic Communications Regulations. A new protective monitoring system has now been installed.

*Equality
impact
assessment*

STR430 – Disability related harassment risk.

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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Strategic Risks

Appendix A

1. High priority risks

STR1844		Failure to transition to the Emergency Services Network (ESN).	
Responsible Officer	Tom Reynolds Communications System Manager	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 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 to ensure connectivity, 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	<ul style="list-style-type: none"> Regional Airwave user group. Monitoring of Airwave performance. National project team. Emergency Services Mobile Communications Programme (ESMCP) Project Board. COT oversight. ICCS infrastructure upgrade. Appointment of a project manager locally. Monthly conference calls with national police team. 		
Update	<p>14/08/15 – Tom Reynolds:- The procurement for the main ESMCP lots have gone out for best and final offers (BAFO) with award of contract expected in September. Briefing from the Home Office Team indicates timescales for implementation will be delayed into mid-2017 and this could change following BAFO. Consideration is currently being given to increase our maintenance stock of hand held terminals to cater for the delay. Current status: managed.</p>		

STR1329		Transforming services - fit for 2017.	
Responsible Officer	Rob Nixon Head of the Change Team	Impact/Likelihood	Very High/High
Date Recorded	23/02/12	Current Rating	High (12)
Category	Operational/Performance	Previous Rating	High (12)
Information	There is a budget deficit of £20 million until 2017 against previously anticipated funding. There has already been considerable work around efficiency savings, however, further savings are required.		
Impact	These savings have the potential to have a substantial effect on service delivery for the force. The force will need to transform its services and its culture to deliver in the future.		
Existing Controls	<ul style="list-style-type: none"> Governance through the Change Board and Change Team. Force restructure: BCU's, directorates and services. One year plan (2014/15). Stakeholder engagement plan. External support – KPMG and objective based budgeting. HMIC inspection. Baker Tilly inspection. JARAP meetings. SAB meetings. 		
Update	<p>17/06/15 – Rob Nixon Work continues with the Blue Print 2020 programme, consisting of 5 key work streams which are aligned to existing work, the overall strategic vision and Police and Crime Plan. Recently a Strategic Alliance with Notts and Northants forces has been agreed and the forces are now working together to identify areas of joint working that will help deliver savings. Work to release savings in 2016/17 is well advanced and further opportunities to achieve savings up to 2017 and beyond are being identified via the Blueprint 2020. Current status: managed.</p>		

STR1679		Missed opportunities: failure to accurately record crime.	
Responsible Officer	Caroline Barker Crime Registrar	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 have carried out a number of audits under the heading "Missed Opportunities" which have identified issues with the accuracy of our crime recording, both on initial contact and in relation to classification of crime. In addition, the Home Office have introduced a requirement for police forces to record crime within 24 hours, previously 72 hours.		
Impact	Operational: crimes not being recorded. Reputational: loss of confidence in published figures and in the police as a whole.		
Existing Controls	<ul style="list-style-type: none"> • Audit of 'STORM' incidents within CMD – staff check to ensure compliance. • Audit schedule – conducted by the Service Improvement Unit. • Task and finish groups – part of Get it Right 1st Time. • Communication plan – part of Get it Right 1st Time. • Get it Right 1st Time Gold Group. • HMIC inspection. • Introduction of the Investigative Management Unit. 		
Additional Controls	<ul style="list-style-type: none"> • Get it Right 1st Time delivery plan. 		
Update	<p>25/08/15 – Paul Howe (Deputy Crime Registrar):- Regular Service Improvement audits are completed and errors highlighted to the Force Crime Registrar. These errors are corrected by the Dedicated Decision Makers. Since the change to crime recording, our last audit gave around an 80% pass rate for crime recorded within the 24 hour timescales. We continue to identify improvements for the target date of April 2016 for full implementation. Current status: controls tasked.</p>		

2. Risk of note due to decrease in rating

STR1764		Accreditation for the use of the PSN.	
Responsible Officer	Tim Glover Head of IT	Impact/Likelihood	High/Low
Date Recorded	28/01/14	Current Rating	Low (3)
Category	Information Systems/Technology	Previous Rating	Medium (6)
Information	The Public Services Network (PSN) is a programme designed by the government to create one network for all UK public sector organisations. It is a network of networks to enable delivery of services from any provider or location. Following briefings from the national project team it has been identified that the scope of work to achieve accreditation to the PSN for local and national connectivity may be much greater than expected. This includes the issue of additional expectation around encryption and penetration testing.		
Impact	The cost and timescales associated to encryption and penetration testing may not be achievable. If accreditation is not achieved, there could be connectivity issues to both national and local systems.		
Existing Controls	<ul style="list-style-type: none"> • Additional resources being recruited to support team to accelerate rollout. • Risk documented in report by ISO. • Report identifying options to accelerate rollout prepared for DCC. • Project Board. • Detailed planning for Windows 7 migration for CMC. • Award Premier Contract to Microsoft. • Review the appropriate levels of encryption. • Review the appropriate level of penetration testing. • Negotiate CJX contract with Vodafone. 		
Update	<p>25/06/15 – Tim Glover:- Accreditation for 2015/6 has been achieved. Therefore likelihood reduced to low. This will be reviewed in September when the process begins for accreditation for 2016/7. Current status: controlled.</p>		

3. New risks

STR1904		Safe keeping of property within force safes.	
Responsible Officer	Neil Castle Head of Force Investigation Unit	Impact/Likelihood	High/Medium
Date Recorded	24/06/15	Current Rating	Medium (6)
Category	Operational/Performance	Previous Rating	New Risk
Information	The force has a number of safe facilities for the storage of property. This includes cash, valuables and drugs - which may be classed as found, seized or property other than found in the course of police activity, whether spontaneous, planned or enforcement activity. A recent incident has prompted a comprehensive review of all force safes.		
Impact	Loss of property has several implications:- financial compensation to the owner, reputational damage and compromised investigations where the property is required as an exhibit.		
Existing Controls	<ul style="list-style-type: none"> • Access restrictions for high value safes. • Cash limits for safes. • Restricted borer access. • Gold group oversight. • PSD intervention. • Property Working Group. • Dip sampling of safe contents. 		
Additional Controls	<ul style="list-style-type: none"> • Audit of all force safes. 		
Update	<p>24/06/15 – Mark Zanker (Crime and Intelligence Support Team):- An audit is currently being undertaken to review all existing force safes, with the security measures and processes associated to them. This will result in action plans being generated where necessary to make improvements. The audit is expected to be completed by the end of September and is being overseen by both the Gold Group and the Property Working Group. Current status: controls tasked.</p>		

STR1910		Lack of resilience and foreseeable attrition in RTI-PNC.	
Responsible Officer	Kerry McLernon Head of Contact Management	Impact/Likelihood	Medium/High
Date Recorded	12/08/15	Current Rating	Medium (6)
Category	Operational/Performance	Previous Rating	New
Information	The Real Time Intelligence (RTI) Team provide a triage function undertaking intelligence checks and intelligence development in real time to assist front line resources. The role of staff is to prioritise task requests based on risk, threat, the time constraints attached to the request and the benefit the intelligence support can offer. Five officers from the RTI have applied for other roles within the force. If they are successful and leave the RTI team this would have an obvious impact on the team being able to perform their tasks with fewer members of staff.		
Impact	There is a reputational and performance risk associated to the team not being able to manage the work with a decreased capacity.		
Existing Controls	<ul style="list-style-type: none"> • Previous recruitment. • 10 x CMD controllers trained in PNC enquiries. • 3 x TAOP PCs posted into RTI. 		
Update	<p>17/08/15 – Kerry McLernon:- Five officers from the RTI Team have applied for other roles within the force. Some Temporary Additional Officer Position (TAOP) officers have already been moved to this role, however, the demand for TAOP officers is extremely high, in addition there are training needs and on the job training required to move officers into this role. This is being monitored within the post Edison action log, which is included in reports to the Change Board. Current status: managed.</p>		

Appendix B		Corporate Risk Register				7 th September 2015			
Reference	Owner	Title	Impact	Likelihood	Status	Recorded	Last review	Priority	Previous rating
STR1329	Rob Nixon Head of the Change Team	Transforming services - fit for 2017.	Very High	High	Managed	February 2012	07/09/15	12	12
STR1844	Tom Reynolds Communications System Manager	Failure to transition to the ESN.	Very High	High	Managed	August 2014	14/08/15	12	12
STR1679	Caroline Barker Crime Registrar	Missed opportunities: failure to accurately record crime.	High	High	Controls Tasked	June 2013	25/08/15	9	9
STR1823	Chris Cockerill Operations Lead Criminal Justice	Forensic and healthcare services – financial risk to force.	Medium	Very High	Controls Tasked	July 2014	04/09/15	8	8
STR473	Ross Dimmock Anti-Corruption Lead	Organisational risk of not complying with the ACPO national vetting policy.	Medium	Very High	Controls Tasked	March 2010	07/07/15	8	8
STR127	Simon Hurst Head of Professional Standards	Unauthorised use/misuse of IT systems, loss of information.	Medium	Medium	Controls Tasked	September 2008	20/08/15	6	6
STR1904	Neil Castle Head of Crime and Intel	Safe keeping of property within force safes.	High	Medium	Controls Tasked	June 2015	08/07/15	6	New
STR1910	Kerry McLernon Head of Contact Management	Lack of resilience and foreseeable attrition in RTI-PNC compromises service.	Medium	High	Managed	August 2015	17/08/15	6	New
STR420	Peter Coogan Head of Health and Safety	Management system for energy use.	High	Medium	Controlled	February 2010	29/07/15	6	6
STR1608	Steph Pandit Head of Corporate Services	Governance of partnership working arrangements.	High	Medium	Controls Tasked	January 2013	08/07/15	6	6
STR1519	Paul Hooseman Information Manager	RMADS management for information security.	High	Medium	Controls Tasked	June 2012	29/07/15	6	6
STR1801	Alison Naylor HR Director	Ability to meet mandatory training requirements.	Medium	High	Controlled	June 2014	09/07/15	6	6
STR11	Alison Naylor HR Director	Potential for industrial action affecting our service.	Medium	Medium	Controlled	October 2007	09/07/15	4	4
OPCC1700	Matthew Clarke Partnership Coordinator	Failure to maintain relationships with key partners.	Medium	Medium	Controls Tasked	July 2013	07/09/15	4	4
OPCC1690	Paul Stock Chief Executive Officer	Failure to consult and engage sufficiently with the public.	Medium	Medium	Controls Tasked	July 2013	07/09/15	4	4
STR1521	Simon Hurst Head of Professional Standards	Criminal behaviour/impropriety by staff.	Medium	Medium	Controls Tasked	July 2012	01/07/15	4	4
STR508	Steph Pandit Head of Corporate Services	Failure to meet requirements of the Police and Crime Plan.	Medium	Medium	Controlled	April 2010	13/07/15	4	4
STR1875	Alison Coulton Senior HR Business Partner	Increased number of subject to vetting contracts issued.	Medium	Medium	Controlled	December 2014	23/08/15	4	4

STR1706	Alison Naylor HR Director	Loss/absence/churn of key personnel.	Medium	Medium	Controlled	August 2013	09/07/15	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	08/07/15	4	4
STR1890	Mark Newcombe Strategic Partnerships Lead	Making the best use of the DNT to reduce demand upon other teams.	Medium	Medium	Controls Tasked	April 2015	30/06/15	4	4
STR1648	David Sandall Head of Crime and Intelligence	Failure to manage the licensing and holding of firearms within the force area.	High	Low	Controls Tasked	March 2013	30/06/15	3	4
OPCC1694	Paul Stock Chief Executive Officer	Lack of resource and capacity available to OPCC.	High	Low	Controls Tasked	July 2013	07/09/15	3	3
OPCC1698	Paul Stock Chief Executive Officer	Failure to provide governance to all East Midlands police collaboration projects.	High	Low	Controls Tasked	July 2013	07/09/15	3	3
STR1764	Tim Glover Head of IT	Accreditation for the use of the PSN.	High	Low	Controlled	January 2014	25/06/15	3	6
STR564	Jonathan Brown Head of Serious Crime	Management of MFH enquiries.	High	Low	Controlled	August 2010	24/07/15	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	24/07/15	3	3
STR458	Jonathan Brown Head of Serious Crime	Failure to protect vulnerable persons.	High	Low	Controlled	March 2010	21/07/15	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	01/07/15	3	3
STR459	Mark Newcombe Strategic Partnerships Lead	Failure to respond to ASB.	High	Low	Controlled	March 2010	26/08/15	3	3
STR520	Steph Pandit Head of Corporate Services	Governance of collaborative arrangements.	High	Low	Controlled	May 2010	13/07/15	3	3
STR253	Tim Glover Head of IT	High risk of virus introduction and data loss.	High	Low	Controls Tasked	July 2009	01/09/15	3	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	07/09/15	2	2
STR325	Tim Glover Head of IT	IT strategy at risk if each department requirement is not captured.	Medium	Low	Managed	November 2009	03/09/15	2	2
STR1765	Chris Haward Head of EMOpSS	Regional operational support command structure.	Medium	Low	Controlled	February 2014	18/08/15	2	2
STR1818	Paul Hooseman Information Manager	Government Security Classification (GSC) implementation.	Medium	Low	Controls Tasked	June 2014	08/06/15	2	2
STR430	Lynne Woodward Head of Equalities	Inquiry into disability related harassment.	Medium	Low	Managed	March 2010	02/07/15	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	24/08/15	2	2
STR1623	Andy Lee Director of Intelligence	Preparing for new communities, travelling and foreign national offending.	Medium	Low	Controlled	February 2013	05/08/15	2	2

STR1861	Fiona Linton Information Security Manager	Risk to redacted information.	Medium	Low	Controls Tasked	September 2014	30/06/15	2	2
OPCC1864	Paul Stock Chief Executive Officer	Impact of changes in legislation on the PCC.	Medium	Low	Controls Tasked	October 2014	07/09/15	2	2
OPCC1699	Sue Haslett Head of Commissioning	Failure to produce and maintain a commissioning framework.	Medium	Low	Managed	July 2013	07/09/15	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	07/09/15	1	1
STR1475	Mark Newcombe Strategic Partnerships Lead	Limited ability to collate ASB incidents onto SENTINEL.	Low	Low	Controls Tasked	May 2012	30/06/15	1	4

Risk of Note
New Risk

Risk Scoring Matrix

Impact							
	Score	Performance/ Service Delivery	Finance/ Efficiency £	Confidence/Reputation	Health and 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 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	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.

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
Medium	2	25-50% chance of occurrence	Fairly likely to occur
Low	1	<25% chance of occurrence	Unlikely to occur

Overall Risk Rating: Impact x Likelihood
9 - 16 = High
5 - 8 = Medium
1 - 4 = Low

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