

Appendix IV



Strategic Risk Register

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|----------------------------|---|
| Business area | Nottinghamshire Office of the PCC (NOPCC) |
| Responsible officer | Chief Executive |
| Period | Quarter 3, 2014/15 |



Strategic Risk Register

| Identifier | Function | Risk description | Owner | Proximity | Probability | Impact | Rating | Trend | Response plan | Risk rating confidence |
|------------|--|---|---------------------------------|------------|-------------|---------------|-----------|-------|--|------------------------|
| PCC 003 | Finances | The Force is unable to reduce expenditure by £12.7m during 2014/15 and exceeds its annual budget | Chief Finance Officer | April 2015 | High (4) | High (4) | High (16) | | Contingency plan: • Increase use of reserves to balance budget | Substantial |
| PCC 004 | Finances | The Force is unable to reduce expenditure by around £10m during 2015/16 and exceeds its annual budget | Chief Finance Officer | June 2016 | Med (3) | Very high (5) | High (15) | | Reduce probability & impact: • Development & delivery of an efficiency savings plan for 2015/16 | Limited |
| PCC 001 | Crime & community safety | Government funding cuts reduce the budget that can be made available to the Chief Constable, resulting in an increase in crime in 2015/16 | Performance & Assurance Manager | Jun 2016 | Low (2) | Very High (5) | Med (10) | | Reduce probability: • Police & Crime Plan priorities for prevention & early intervention; • PCC's Alcohol Strategy | Limited |
| PCC 002 | Operational efficiency & effectiveness | Government funding cuts reduce the budget that can be made available to the Chief Constable, resulting in a reduced quality of service in 2015/16 | Performance & Assurance Manager | Jun 2016 | Low (2) | Very high (5) | Med (10) | | Reduce probability: • Police & Crime Plan priorities for victims, witnesses & vulnerable people; • PCC's Victim Strategy | Limited |



Strategic Risk Register

| Identifier | Function | Risk description | Owner | Proximity | Probability | Impact | Rating | Trend | Response plan | Risk rating confidence |
|------------|----------|---|-----------------------|-----------|-------------|----------|---------|-------|--|------------------------|
| PCC 005 | Finances | The Home Office review of Police & Crime funding results in Nottinghamshire Police receiving a smaller settlement than it does at present | Chief Finance Officer | tbc | Low (2) | High (4) | Med (8) | ↔ | Reduce probability: <ul style="list-style-type: none"> PCC's CFO involvement through PaCCTS; Lobbying Government for a better deal on funding formula, police grant, precept and community safety fund | Limited |



Strategic Risk Register

Closed risks

| Identifier | Risk description | Reason for closure | Date closed | Closed by |
|------------|------------------|--------------------|-------------|-----------|
| | | | | |
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Strategic Risk Register

Appendix – explanatory note

The risk category should be drawn from the following list:

- Crime & community safety
- Operational efficiency & effectiveness
- Judicial process
- Finances
- Reputation
- Life & safety
- Compliance
- Environment

The following definitions and criteria have been used to describe and assess the risks recorded in this risk register:

| Probability | Score | Definition |
|-------------|-------|---|
| Very high | 5 | Extremely likely to occur (>90% chance) |
| High | 4 | More likely to occur than not (66-90% chance) |
| Medium | 3 | As likely to occur as not (36-65% chance); or unknown |
| Low | 2 | Unlikely to occur (11-35% chance) |
| Very low | 1 | Extremely unlikely to occur (1-10% chance) |



Strategic Risk Register

| Impact | Score | Definition |
|-----------|-------|--|
| Very high | 5 | Significant, lasting or permanent impact on objectives |
| High | 4 | Significant, temporary or noticeable, lasting impact on objectives |
| Medium | 3 | Noticeable, temporary or minor, lasting impact on objectives; or unknown |
| Low | 2 | Minor, temporary or minimal, lasting impact on objectives |
| Very low | 1 | Minimal, temporary impact on objectives |

When assessing financial impact the following criteria have been used:

| Impact | Score | Definition |
|-----------|-------|-----------------------------------|
| Very high | 5 | £x,000,000s (millions) |
| High | 4 | £x00,000s (hundreds of thousands) |
| Medium | 3 | £x0,000s (tens of thousands) |
| Low | 2 | £x,000s (thousands) |
| Very low | 1 | £x00s (hundreds) |



Strategic Risk Register

Probability is multiplied by Impact to give the overall Rating, which is colour coded, dependent upon whether the risk represents a threat (negative impact) or opportunity (positive impact) using the matrices below:

| | | | | | | |
|-------------|------------|-----------|---------|------------|----------|------------|
| Impact | V high (5) | 5 | 10 | 15 | 20 | 25 |
| | High (4) | 4 | 8 | 12 | 16 | 20 |
| | Medium (3) | 3 | 6 | 9 | 12 | 15 |
| | Low (2) | 2 | 4 | 6 | 8 | 10 |
| | V low (1) | 1 | 2 | 3 | 4 | 5 |
| | | V low (1) | Low (2) | Medium (3) | High (4) | V high (5) |
| Probability | | | | | | |

Threat scoring matrix

Opportunity scoring matrix

| | | | | | | |
|-------------|------------|-----------|---------|------------|----------|------------|
| Impact | V high (5) | 25 | 20 | 15 | 10 | 5 |
| | High (4) | 20 | 16 | 12 | 8 | 4 |
| | Medium (3) | 15 | 12 | 9 | 6 | 3 |
| | Low (2) | 10 | 8 | 6 | 4 | 2 |
| | V low (1) | 5 | 4 | 3 | 2 | 1 |
| | | V low (5) | Low (4) | Medium (3) | High (2) | V high (1) |
| Probability | | | | | | |

Confidence rating

The Confidence rating that is applied to each risk represents an evaluation of the source information used to assess the risk, as follows:

- Substantial – risk scoring is based on a significant amount of reliable data and / or intelligence
- Reasonable – risk scoring is based on some data and / or intelligence, but there are gaps or issues with reliability
- Limited – risk scoring is based on professional judgement alone