

SCOTTISH POLICE  
AUTHORITY

Meeting	Audit and Risk Committee
Date and Time	30 June 2015, 1000 - 1400
Location	Stirling Management Centre
Title of Paper	Police Scotland Corporate Risk Register
Item Number	5.2
Presented By	Chief Superintendent Alan Waddell
Recommendation to Members	For Noting
Appendix Attached:	YES Appendix 1 – Corporate Risk Register

**PURPOSE**

To invite the SPA Audit and Risk Committee to note the contents of the Police Scotland Corporate Risk Register.

*This paper is presented in line with the Scottish Police Authority / Police Scotland scheme of administration, section 12, and is submitted for consultation.*

**1. BACKGROUND**

1.1 On a quarterly basis, a comprehensive Executive level review of the Corporate Risk Register (CRR) is carried out. All current risks were reviewed during the Q1 2015-2016 reporting period, examined in detail at the Corporate Governance Board on 16th June, 2015 and thereafter approved at the Senior Leadership Board on 22nd June, 2015.

**2. FURTHER DETAIL ON REPORT TOPIC**

2.1 In summary, there are now 7 risks in total;

- 2 are newly identified (Page 1 of CRR):  
(SRR-062 – Legislative Change – Children & Young People (S) Act 2014)  
(SRR-063 – Legislative Change – Victims & Witnesses (S) Act 2014)
- 5 have remained static in terms of their score (Pages 2 and 3 of CRR):  
(SRR-049 – Financial Savings 2015-2016)  
(SRR-051 – Public Space CCTV)  
(SRR-053 – Future Change Requirements)  
(SRR-056 – Financial Savings 2016-2017)  
(SRR-019 – Ongoing Engagement of staff/officers)
- 2 have been removed (Page 4 of CRR):  
(SRR-015 – Conduct)  
(SRR-039 – Financial Savings 2014-2015)

**NOT PROTECTIVELY MARKED**

2.2 Of the 7 risks detailed within the CRR;

- 2 are classed as VERY HIGH risk  
(SRR-049 – Financial Savings 2015-2016)  
(SRR-056 – Financial Savings 2016-2017)

Table 1 – Corporate Risk Register – Newly Identified

- 2 new risks were identified:

<b>Risk ID and Title</b>	<b>Change</b>
<b>SRR-062</b> <b>Risk Title:</b> Legislative Change – Children & Young People (S) Act 2014	<b>Current risk rating 16 (High)</b> <b>- NEW</b>
<b>SRR-063</b> <b>Risk Title:</b> Legislative Change – Victims & Witnesses (S) Act 2014	<b>Current risk rating 16 (High)</b> <b>- NEW</b>

Table 2 – Corporate Risk Register – Removed Risks

- 2 risks were removed from the CRR:

<b>Risk ID and Title</b>	<b>Change</b>
<b>SRR-015</b> <b>Risk Title:</b> Conduct  Risk score decreased and was removed from the register.	<b>Current risk rating 9 (Medium)</b> <b>- Decreased from 12 (High).</b>  Risk score reduced as a result of the mitigations in place and as such was removed from the CRR and migrated to the DCC Designate portfolio Risk Register.
<b>SRR-039</b> <b>Risk Title:</b> Financial Savings 2014-2015	<b>Current risk rating 4 (Low)</b> <b>- Static</b>  Risk removed from CRR and migrated to DCC Portfolio Risk Register for management.

Table 3 – Corporate Risk Register – Amendments

- 2 risks had further detail added:

<b>Risk ID and Title</b>	<b>Change</b>
<b>SRR-049</b> <b>Risk Title:</b> Financial Savings 2015-16	Further detail included within strategic and tactical mitigation plan to strengthen content.

**NOT PROTECTIVELY MARKED**

<b>Risk ID and Title</b>	<b>Change</b>
<b>SRR-056</b> <b>Risk Title:</b> Financial Savings 2016-17	Further detail included within strategic and tactical mitigation plan to strengthen content.

**3. FINANCIAL IMPLICATIONS**

3.1 There are no direct financial implications associated with this paper.

**4. PERSONNEL IMPLICATIONS**

4.1 There are no direct personnel implications associated with this paper.

**5. LEGAL IMPLICATIONS**

5.1 There are no direct legal implications associated with this paper.

**6. REPUTATIONAL IMPLICATIONS**

6.1 There are no direct reputational implications associated with this paper.

**7. SOCIAL IMPLICATIONS**

7.1 There are no direct social implications associated with this paper.

**8. EQUALITIES IMPLICATIONS**

8.1 There are no direct equalities implications associated with this paper.

**RECOMMENDATIONS**

Members are requested to:

1. Note the Police Scotland Corporate Risk Register.




Police Scotland Corporate Risk Register - (PUBLIC) New Risks June 2015

Risk ID	External Meeting	Risk Description	Mitigation Plan	Risk Owner Assessment	Scoring				Risk Trend Score	Risk Owner	Public / Private
					Probability	Impact	Risk Score				
SRR 062  Date Identified: May 2015	SPA ARC SPA Board	<p><b>Risk Title: Legislative Change - Children &amp; Young People (S) Act 2014</b></p> <p><b>Description:</b> The Children and Young People (S) Act 2014 is a significant legislative change, which will impact upon existing processes and partnership working, and on our on-going efforts to keep adults and children who are at risk of harm, safe. Police Scotland recognises the importance of ensuring we are fully prepared for the introduction of the Act, with the need to effectively manage resultant changes in policy and practice and associated training requirements. <b>This risk reflects the need to effectively manage resultant changes in policy, practice and associated training requirements to negate and mitigate these.</b></p> <p>The following areas have been identified which are associated with this legislative change.</p> <ul style="list-style-type: none"> <li>The Chief Constable Police Scotland (PS) has been specified as a Corporate Parent. There is a lack of clarity as to the expectations, roles and responsibilities therefore it is unknown at this time if current systems, models and process in PSoS can support this legislative change.</li> <li>Full commencement is expected 1st August 2016. This places statutory requirements on Local Authorities, Health or Education to provide a Named Person Service to manage wellbeing concerns in respect of a child or young person. PS does not currently have a consistent process on how such risk and concerns are identified, triaged managed and shared. In the absence of a national functioning Named Person Service, there is a concern that partners do not have efficient or secure systems in place to receive and manage such notifications from PS.</li> <li>The legislation delineates Children up to age of 18 years in terms of Named Person provision and Young People up to age of 26 years in relation to Corporate Parenting – this is a significant change for all authorities including PS and requires a review of all interdependent policies and process in PSoS which impact/refer to children and young people to ensure cognisance of legislative change.</li> </ul> <p><b>Potential Impact:</b> Impact on our ability to accurately assess vulnerability. Confidence and reputation may be negatively impacted. Financial implications.</p>	<p><b>Method by which risk is assessed</b> Drafting and developing a full Implementation Plan in line with phased commencement April 2015 and August 2016.</p> <p><b>Strategic Plan</b> Appointment of strategic lead within Police Scotland at Chief Superintendent level (complete).</p> <p>Initiation of Risk &amp; Concern Hub Project. This has been extended to include this area of legislative change and work is ongoing to identify appropriate resource to take this forward (ongoing).</p> <p>Initiation of legislative implementation team to develop implementation plan (ongoing).</p> <p>Participation in multi-agency working groups to assess and manage changes relative to Police Scotland (ongoing).</p> <p><b>Tactical Plan</b> Information Sharing Protocols being reviewed with partners and relevant areas.</p> <p>Interim Vulnerable Persons Database and I6 implementation reviewed and informed.</p> <p>Relevant SOPs, policy and guidance reviewed and published.</p> <p>Communication Plan developed.</p> <p>Training Plan developed. Liaison with Criminal Justice (S) Bill Project. Liaison with relevant internal partners.</p>	<p>(1) <b>Date of Approval: 22 June 2015</b></p> <p>(2) <b>Current Score</b> - The current risk score is reflective of the Strategic and Tactical plans which have been put in place and have resulted in a reduction of the untreated impact score at present (from 5 to 4).</p> <p>(3) <b>Target Score</b> - Has been identified as achievable taking cognisance of the current progress and the mitigations being developed.</p> <p>(4) <b>Target Date</b> - It is anticipated the mitigation plan will achieve the target score by <b>August 2016</b>.</p> <p>(5) <b>Ongoing Work</b> - The management of this risk has been passed from Public Protection to Safer Communities to progress. A meeting took place on 14th May to discuss this risk in detail and to agree current scores, identify the risk lead and to develop a tactical plan. The Risk &amp; Concern Hub Project has been extended to include this area of legislative change and work is currently ongoing to identify appropriate resources to take this forward.</p> <p>(6) <b>Public / Private Reporting</b> - This risk is considered appropriate for public reporting.</p> <p>(7) <b>Risk and Business Assurance Comment</b> - This risk was escalated by the SCD/Ops Programme Board on 6 May 2015 and approved for reporting as a Public Corporate risk at the Corporate Governance Board on 16 June 2015. This was subsequently ratified by Senior Leadership Board on 22 June 2015.</p>					16 HIGH  Previous Score:  NEW	DCC Crime and Ops Support	Public
					Untreated	4	5	20			
					Target	2	2	4			
					Current	4	4	16			
SRR 063  Date Identified: May 2015	SPA ARC SPA Board	<p><b>Risk Title: Legislative Change – Victims and Witnesses (S) Act 2014</b></p> <p><b>Description:</b> The Victim and Witnesses (S) Act 2014 is a significant legislative change which will impact upon existing processes, partnership working in Police Scotland and ongoing efforts to keep victims and vulnerable witnesses safe. <b>This risk reflects the need to effectively manage resultant changes in policy, practice and associated training requirements to negate and mitigate these.</b></p> <p>The following areas have been identified with this legislative change:-</p> <ul style="list-style-type: none"> <li>All 16 and 17 year old witnesses will be entitled to special measures.</li> <li>Certain persons will be entitled to concealed identity when giving evidence leading to an increased requirement to undertake a formal identification process.</li> </ul> <p><b>Potential Impact:</b> <b>Safety</b> - Adjudgment of trials may expose the vulnerable witness to risk of further harm from the accused. <b>Failure to deliver justice</b> - Where adjournments are made vulnerable / victims / witnesses may disengage; and, where a victim or witnesses' attendance cannot be secured, the case may be abandoned. <b>Financial implications</b> - In 2013/14 there was a requirement for identification procedures for 1.56% of those brought into custody or 1.03% of cases reported to COPFS. Consequently, a relatively minor change could have significant impact on the number of identification procedures and could have significant financial implications in terms of staff required to facilitate and cost of the VIPER contract. <b>Resource implications</b> - Across Police Scotland in managing identification process.</p>	<p><b>Method by which risk is assessed-</b> Drafting and developing a full implementation plan in line with commencement of section 10.</p> <p><b>Strategic Plan</b> Appointment of strategic lead within Police Scotland at Chief Superintendent level (complete).</p> <p>Initiation of legislative implementation team to develop implementation plan (ongoing).</p> <p>Participation in multi-agency working groups to assess and manage changes relative to Police Scotland (ongoing).</p> <p><b>Tactical Plan</b> IT systems being amended to ensure vulnerable victims / witnesses identified to COPFS in line with the Act.</p> <p>Internal reference group ensuring training, communication and awareness relayed effectively.</p> <p>Relevant SOPs, policy and guidance reviewed as procedures to be followed finalised with SG Reference Group.</p> <p>Liaison with Criminal Justice (S) Bill Project / VIPER lead and Scottish Government.</p> <p>Paper submitted by COPFS and Police Scotland to Scottish Government outlining risks to each organisation.</p> <p>Suggestions have been made to Scottish Government and COPFS to reduce the risks presented.</p>	<p>(1) <b>Date of Approval: 22 June 2015</b></p> <p>(2) <b>Current Score</b> - The current risk score is reflective of the Strategic and Tactical plans which have been put in place and have resulted in a reduction of the untreated probability score. In part, the reduction is due to high level engagement with the Scottish Government which has delayed the date of commencement of the Act until November 2015. This will allow further identified mitigations to be put in place which should result in a better state of preparedness for the introduction of the Act.</p> <p>(3) <b>Target Score</b> - Has been identified as achievable taking cognisance of the current progress and the mitigations being developed. It should be noted that the Scottish Government is unable to extend the deadline for implementation beyond November 2015 and therefore why the target score is set intentionally high.</p> <p>(4) <b>Target Date</b> - Date of commencement, known at this time to be <b>November 2015</b>.</p> <p>(5) <b>Ongoing Work</b> - Following significant high level engagement with Scottish Government regarding issues around removal of dock identification, the date of commencement has been delayed until the first week of November 2015 to allow mitigations of risk to be put in place. Guidance regarding other suitable evidence of identification is being drafted for discussion with Crown Office. Monitoring arrangements are also to be put in place regarding the number of VIPER requests to get early sight of increasing demand to allow early discussion about interventions. Arrangements are underway to implement these contingencies, however, they are not yet in place. No change to score.</p> <p>(6) <b>Public/Private Reporting</b> - This risk is considered appropriate for public reporting.</p> <p>(7) <b>Risk and Business Assurance Comment</b> - This risk was escalated by the SCD/Ops Programme Board on 6 May 2015 and approved for reporting as a Public Corporate risk at the Corporate Governance Board on 16 June 2015. This was subsequently ratified by Senior Leadership Board on 22 June 2015.</p>					16 HIGH  Previous Score:  NEW	DCC Crime and Ops Support	Public
					Untreated	5	4	20			
					Target	3	4	12			
					Current	4	4	16			

End of New Risks Section

Police Scotland Corporate Risk Register - Existing Risks June 2015

Risk ID	External Meeting	Risk Description	Mitigation Plan	Risk Owner Assessment	Scoring			Risk Trend Score	Risk Owner	Public / Private	
					Probability	Impact	Risk Score				
SRR 049 Date Identified: 12/12/2013	Finance and Investment Committee SPA ARC SPA Board	<p><b>Risk Title: Financial Savings 2015-2016</b></p> <p><b>Description:</b> In financial year 2015-2016, Police Scotland is required to save an indicative circa £68m. This is in addition to the £64m which was saved in 2013-14 and the £68m savings required for 2014-2015. For any organisation, the requirement to save such a sum will bring significant challenges and as such Police Scotland has undertaken considerable planning to ensure delivery. <b>This risk has been raised to reflect the challenges associated with making such savings and fundamentally reducing the cost base associated with policing delivery in Scotland, maximising efficiencies and achieving best value.</b></p> <p><b>Potential Impact:</b> Service delivery and operations may be adversely affected due to the need to carry out emergency cost cutting. If service delivery is impacted reputation and public confidence could be adversely affected.</p>	<p><b>Method by which risk is assessed</b> There is a absolute focus upon savings identified within this financial year and clear scrutiny of progress to ensure their resultant delivery.</p> <p>There is significant governance of this risk, demonstrated within the Corporate Finance and Investment Committee, SLB and SPA Finance &amp; Investment Committee.</p> <p><b>Strategic Plan</b> The importance of maximising savings, reducing the cost base of policing and maximising efficiencies whilst maintaining a quality policing service underpin every aspect of Police Scotland Strategy. This enables clear focus across all business areas in mitigating this risk.</p> <p>A Futures Strategy encompassing 3 strands (Mobility, Workforce Planning &amp; Service Efficiency) is under active development. There is a clear purpose and focus to look at reforming the policing model in an innovative and challenging way, capitalising on opportunities in which efficiencies and effectiveness are maximised and best value is delivered within a reducing cost base.</p> <p>In striving to meet these savings, both Police Scotland and the SPA are working collaboratively through the Business Change Working Group in order to consider different options in order to achieve the required savings.</p> <p><b>Tactical Plan</b> Every business area within Police Scotland has reviewed / is reviewing existing processes to identify means of saving money, with DCC Portfolio Boards driving this business.</p> <p>VR/ ER scheme is in place and seeks to maximise all opportunities to release posts of individuals who wish to leave the organisation.</p> <p>Robust vacancy management process in place with key focus on recruitment of business critical posts only which must be authorised by respective DCCs.</p> <p>Workshops held with senior management to assist in identifying further opportunities for savings and this is also a standing item at Programme Board meetings.</p> <p>Extensive ongoing dialogue with the Scottish Government to enable it to discuss the recovery of VAT payments extending to £25m with HM Treasury.</p> <p>A detailed capital programme for 2015/2016 has been approved which allows investment for key projects focussing upon delivering capital savings and the promotion of Lean methodologies as a mechanism for staff to identify and drive more effective service delivery at a reduced cost.</p> <p>Strategies for Estates, Fleet and Procurement are under active development to support the business through investment where appropriate which will lead to better efficiency and ultimately deliver best value. Work is in progress with the SPA to deliver a revised Financial Strategy which will underpin these, to be effective from 1 April 2016.</p> <p>A Police Scotland Corporate Finance and Investment Board has been established, which will further exercise governance in this arena and seek to maximise savings opportunities and look for opportunities to reduce cost.</p>	<p>(1) <b>Date of Approval: 22 June 2015</b></p> <p>(2) <b>Current Score</b> - Reflects the assessment of the Budget Strategy and Savings Tracker following approval of the Revenue Budget Plan 2015/16 by the Full Authority. This approval was subject to the inclusion of an Addendum which requested that SPA officials prepare an Action Plan and accordingly, updates are provided to SPA Board members monthly.</p> <p>(3) <b>Target Score</b> - Has been identified because there is a statutory requirement to balance the budget within the financial year.</p> <p>(4) <b>Target Date</b> - It is anticipated that the mitigation plans will achieve target score by <b>31 March 2016</b>. i.e. financial year end</p> <p>(5) <b>Ongoing Work</b> - The key ongoing pieces of work to reduce the scoring are as indicated within the tactical plan. In addition, the requested SPA Action plan will include formal monitoring of the savings options and also of the as yet unidentified savings which are currently assessed to be £10.994m (1.1% of budget).</p> <p>(6) <b>Public / Private Reporting</b> - This risk is appropriate for public reporting.</p> <p>(7) <b>Risk and Business Assurance Comment</b> - This risk was reviewed by the Corporate Governance Board on 16 June 2015 and was ratified by Senior Leadership Board on 22 June 2015</p>	Untreated	5	5	25	<p>25 <b>VERY HIGH</b> STATIC ←→ Previous Score: 25</p>	Director of Financial Services	Public
					Target	1	1	1			
					Current	5	5	25			
SRR 051 Date Identified: 30/06/2014	SPA ARC SPA Board	<p><b>Risk Title: Public Space CCTV</b></p> <p><b>Description:</b> Public space CCTV has a significant role in preventing crime, maintaining order and keeping people safe in our communities. Police Scotland is therefore acutely aware of the importance of public space CCTV. We also recognise that due to unconfirmed funding streams and differing management agreements across the country and the lack of formal governance arrangements, there is potential that the existing public space CCTV may become dated, under resourced or unfit for purpose. <b>This risk reflects the challenges there are in maintaining and improving existing public space CCTV systems for our communities and the impact that any reduction in service would have.</b> It is acknowledged that this is an area where Police Scotland does not have any influence to direct the outcome.</p> <p><b>Potential Impact:</b> Service Delivery and Operations - Ability to efficiently and effectively investigate record and report crime across the service and partners. Lost opportunity to increase efficiency by updating infrastructure. Finance - Cost of maintaining ageing system (not for Police Scotland) and potential increased cost in resource if CCTV fails. Lost opportunity to make savings through increased efficiency. Confidence and Reputation - Disparate level of service and perception that safety is compromised.</p>	<p><b>Method by which risk is assessed</b> Police Scotland conducted a comprehensive review of all Public Space CCTV provision across the country, assessing and prioritising the issues. This report has been forwarded to the Scottish Government for attention.</p> <p><b>Strategic Plan</b> To work with partners to ensure the continued delivery of open space CCTV, reflecting the important role this has in community safety.</p> <p><b>Tactical Plan</b> Discussions initiated with COSLA and Solace in order to outline concerns of Police Scotland.</p> <p>A full report has been presented to Scottish Government outlining the impact that any diminution in public space CCTV service would have and potential options to mitigate.</p> <p>The National Digital Image Steering Group has been reconvened.</p> <p>A structured interface has been established with CCTV operators to identify system weaknesses and to put in place remedial activity and business continuity programmes.</p>	<p>(1) <b>Date of Approval: 22 June 2015</b></p> <p>(2) <b>Current Score</b> - Reflects the limited ability of Police Scotland to take action to reduce the score any further. A comprehensive review of all Local Authority provision has been undertaken and areas have been prioritised for action. The risk has been reduced in Glasgow City and Renfrewshire Local Authority areas which has contributed to the reduction in score between untreated and current (from 5 to 4). A number of meetings have been held and colleagues in COSLA are preparing an Options Paper for consideration by Ministers and Local Authorities. This Options Paper will be scrutinised by Police Scotland prior to submission.</p> <p>(3) <b>Target Score</b> - Has been identified because of the significant investment required in this area and the ongoing technological developments. The impact on preventing / investigating crime will be significantly reduced if a co-ordinated effort is established to refresh public space CCTV.</p> <p>(4) <b>Target Date</b> - As the risk does not sit with Police Scotland it is not known how and when the target score will be achieved. Police Scotland can influence discussions and decision-making with CCTV provision, however, as responsibility for the systems sits outwith Police Scotland's control, it is unlikely this will be achieved without significant investment and co-ordination by external bodies.</p> <p>(5) <b>Ongoing Work</b> - The scale of the problem remains the same in all areas apart Glasgow City and Renfrewshire. A meeting of partners was held on 15 April and an options paper was refined and is now being progressed for decision. A further review of the risk was undertaken by Police Scotland and SPA where it was advised there has been no decision as yet and as such, the score remains static. Members of the Police Authority have been provided with a briefing note outlining concerns about this risk which needs concerted action and investment made outwith Police Scotland.</p> <p>(6) <b>Public / Private Reporting</b> - This risk is considered appropriate for public reporting.</p> <p>(7) <b>Risk and Business Assurance Comment</b> - This risk was reviewed by the Corporate Governance Board on 16 June 2015 and was ratified by Senior Leadership Board on 22 June 2015</p>	Untreated	5	5	25	<p>16 <b>HIGH</b> STATIC ←→ Previous Score: 16 High</p>	DCC Crime and Ops Support	Public
					Target	3	2	6			
					Current	4	4	16			

Risk ID	External Meeting	Risk Description	Mitigation Plan	Risk Owner Assessment	Scoring				Risk Trend Score	Risk Owner	Public / Private
					Probability	Impact	Risk Score				
SRR 053 Date Identified: 01/09/2014	Finance and Investment Committee SPA ARC SPA Board	<b>Risk Title: Resources - Future Change Requirements</b>  <b>Description:</b> In recent years policing in Scotland has undergone substantial transformational change. This work continues with a number of ongoing projects and others in development. Police Scotland recognises that many of these projects are intrinsically linked to delivering the savings targets set by Scottish Government and also for delivering the aims of Police Reform. A balance requires to be struck between staffing urgent transformational change projects and delivering existing policing services. <b>This risk reflects the challenge there is in sufficiently resourcing change projects, whilst maintaining service delivery and the potential impact of failing to do so.</b>  <b>Potential Impact:</b> The organisation's ability to make savings and efficiencies may be adversely impacted, which in turn would impact on Service delivery and the organisation's reputation.	<b>Method by which risk is assessed</b> The Change Board reviews and approves all project activity, including the resources allocated to individual projects. The Change Board will determine the viability of individual projects, balancing against competing demands to ensure resources are deployed in line with Police Scotland priorities.  <b>Strategic Plan</b> Working to the Police Scotland Corporate Strategy, we strive for excellence in the delivery of police services with the opportunity to build a more efficient, resilient and forward thinking organisation which is equipped to deal with future challenges and be transformational in its collaborative approach to deliver positive outcomes for the communities of Scotland and the benefits of Police Reform.  Ongoing collaboration with Scottish Police Authority and other partners to develop the co-production agenda.  <b>Tactical Plan</b> Star Chamber has an absolute focus on cashable savings and business design options.  Change Board established to manage and prioritise Police Scotland projects.  DCC Programme Board monitors project and change activities and deliver savings within their areas of responsibility.  Extensive project and programme governance in place via Organisational Development through the Transforming the Service Programme.  Resource Governance Group established to monitor and ensure the balance between operational activities and corporate need.  Medium term transformational plan being developed, including options for flexible deployment model, lean (continuous improvement work), estates transformational strategy, ICT enabling activity & co-production agenda with clear internal timelines being established.  A workstream has been established to examine opportunities to radically reform the delivery of Police Scotland's policing approach has been created.	<b>(1) Date of Approval: 22 June 2015</b>  <b>(2) Current Score -</b> The Futures Strategy has been developed and agreed by the Executive Team. A Portfolio Brief has been agreed with the creation of a small team. This team are producing a Portfolio Initiation Document which will determine the resources needed to support the strategy. The score remains unaffected and will reduce when additional resources are identified and this work is finalised for implementation.  <b>(3) Target Score -</b> Has been identified due to the absolute need to resource projects in order that they deliver the required outcomes.  <b>(4) Target Date -</b> It is anticipated that the mitigation plans will achieve target score by end of financial year 2015/2016 (31 March 2016).  <b>(5) Ongoing Work -</b> The key ongoing pieces of work to reduce the scoring are robust programme management approach.  <b>(6) Public / Private -</b> This risk is appropriate for public reporting.  <b>(7) Risk and Business Assurance Comment -</b> This risk was reviewed by the Corporate Governance Board on 16 June 2015 and was ratified by Senior Leadership Board on 22 June 2015					15 <b>HIGH</b>  STATIC    Previous Score: 15 High	DCC Designate	Public
					Untreated	3	5	15			
					Target	2	2	4			
					Current	3	5	15			
SRR 056 Date Identified: 06/01/2015	Finance and Investment Committee SPA ARC SPA Board	<b>Risk Title: Financial Savings 2016-2017</b>  <b>Description:</b> In financial years 2013-2016, Police Scotland has been required to save circa £200m. Further unquantifiable financial impacts are anticipated for the financial year 2016-17 due to this being the first year of the Comprehensive Spending Review which will impact on local and central government funded services. It is also unclear as to whether funding from the Police Reform Budget will remain available as is the impact of the additional VAT liability which is an unavoidable cost pressure. For any organisation, any reduction in financial receipts through the requirement to save more or increased liabilities will be extremely challenging. <b>Accordingly this risk has been raised to reflect the challenges in making currently unquantifiable savings, reducing the cost base potentially to a greater extent than predicted and developing mitigation plans to ensure that Police Scotland continue to deliver high quality policing services within its available budget.</b>  <b>Potential Impact:</b> Service delivery and operations may be adversely affected due to the need to carry out emergency cost cutting. If service delivery is impacted reputation and public confidence could be adversely affected.	<b>Method by which risk is assessed</b> There is an absolute focus upon savings identified within this financial year and clear scrutiny of progress to ensure their resultant delivery.  There is significant governance of this risk, demonstrated by scrutiny and review at the Police Scotland Senior Leadership Board and the Corporate Finance and Investment Committee. Further review is undertaken by the SPA Finance & Investment Committee.  <b>Strategic Plan</b> The importance of maximising savings, reducing the cost base of policing and maximising efficiencies whilst maintaining a quality policing service underpin every aspect of Police Scotland strategies. This enables clear focus across all business areas in mitigating this risk.  A Futures Strategy encompassing 3 strands (Mobility, Workforce Planning & Service Efficiency) is under active development. There is a clear purpose and focus to look at reforming the policing model in an innovative and challenging way, capitalising on opportunities in which efficiencies and effectiveness are maximised and best value is delivered within a reducing cost base.  The focus of mitigation is to participate in discussion with Scottish Government to understand the impact of the CSR and to make representation, where appropriate, to reduce its impact. Regular meetings are held with the Scottish Government in this regard.  <b>Tactical Plan</b> Scenario planning for the next 3 financial years is underway and a plan is being developed to assess the need for additional funding from the Scottish Government for transformational change. Financial modelling is also underway around Reward & Harmonisation Projects.  Promotion of Lean methodologies as a mechanism for staff to identify and drive increased efficiency.  Tactical plans will be developed further as scenario planning continues, however, work is underway to ensure a reduction in costs, maximising of efficiencies and delivery of maximum value for money services are achieved.	<b>(1) Date of Approval: 22 June 2015</b>  <b>(2) Current Score -</b> Reflects the uncertainty as to the impact of the financial position for 2016-17 and the impact of a failure to balance the Police Scotland budget. Uncertainty will remain until further details are available regarding the Comprehensive Spending Review which is expected late summer, however significant work is taking place to reduce costs whilst minimising impact on service delivery.  <b>(3) Target Score -</b> Has been identified because there is a statutory requirement to balance the budget in the current financial year.  <b>(4) Target Date -</b> It is anticipated that the mitigation plans will achieve target score by 31 March 2017.  <b>(5) Ongoing Work -</b> The key ongoing pieces of work to reduce the scoring are as identified within the tactical plan, primarily the dialogue which is ongoing with the Scottish Government.  <b>(6) Public / Private Reporting -</b> This risk is appropriate for public reporting.  <b>(7) Risk and Business Assurance Comment -</b> This risk was reviewed by the Corporate Governance Board on 16 June 2015 and was ratified by Senior Leadership Board on 22 June 2015					25 <b>VERY HIGH</b>  STATIC    Previous Score: 25	Director of Financial Services	Public
					Untreated	5	5	25			
					Target	1	1	1			
					Current	5	5	25			
SRR-019 Date identified 28/01/2013	SPA ARC SPA Board HRRRC	<b>Risk Title: Ongoing engagement of Staff/Officers at a time of significant change</b>  <b>Description:</b> Police Scotland has undergone and continues to undergo a significant organisational change programme. While this brings both opportunities and challenges, we understand that this can have an impact upon on staff and that they may not always understand the reasons for change or feel that they have the opportunity to positively influence them. As a result, <b>there is a risk that due to the significant transformation programme being undertaken, Staff/Officer engagement may be impacted.</b>  <b>Potential Impact:</b> If staff/officers become disengaged this would create a personnel risk in relation to individual contribution/resilience which could in turn impact on our own ability to deliver business as usual plus continue to develop the organisation.	<b>Method by which risk is assessed</b> A suite of indicators is reviewed, in order to understand and manage this risk. These indicators include; organisational performance, absence management, staff grievances, staff turnover. Further to this, engagement with staff associations, feedback from external audits and groups and management engagement with staff are all considered.  <b>Strategic Plan</b> Developing integrated "Staff Engagement Strategy". Range of reviews taking place: • Ethics Review - ongoing • Promotion Process - complete • Leadership Strategy - strategy complete, implementation phase to take place between April - October '15 • HMICS Review - various divisional reviews have been completed. Working through recommendations -ongoing. • ASPS Survey - complete  <b>Tactical Plan</b> 1. Ongoing review of metrics i.e. attendance, H&S etc, Operational Performance (ongoing). 2. Opinion Survey (completed). 3. Health, Safety and Wellbeing Group formed to identify areas of risk/opportunities to support officer/staff wellbeing. (ongoing).	<b>(1) Date of Approval: 22 June 2015</b>  <b>(2) Current Score -</b> Reflects that several reviews have been conducted independently of one another. Work is now progressing to bring this together to assess what it tells us. The Opinion Survey went live on 18 May and ran until the 15 June. The findings of the survey will be used to inform our approach to staff engagement and until this time it is not possible to reduce the score.  <b>(3) Target Score -</b> Has been identified because it is envisaged that this multi pronged approach to engage with staff (as described within the mitigation plan) will highlight areas of importance and will result in actions being prioritised in these areas so as not to negatively impact on individual contribution/resilience. Through this continued engagement and evidencing changes to staff this will contribute to both the probability of the risk materialising and the impact.  <b>(4) Target Date -</b> It is anticipated that the mitigation plan will achieve target score 31 March 2017.  <b>(5) Ongoing Work -</b> The key ongoing piece(s) of work to reduce the probability/impact scoring - To inform our first organisation wide Opinion Survey, it is viewed that senior management will be in a more informed position by Q1 2015/16 to assess the probability and impact of staff/officer "engagement" and what that could mean for us going forward.  <b>(6) Public / Private Reporting -</b> This risk is appropriate for public reporting.  <b>(7) Risk and Business Assurance Comment -</b> This risk was reviewed by the Corporate Governance Board on 16 June 2015 and was ratified by Senior Leadership Board on 22 June 2015					12 <b>HIGH</b>  STATIC    Previous Score: 12 High	Director of People & Development	Public
					Untreated	3	4	12			
					Target	2	2	4			
					Current	3	4	12			

End of Existing Risks Section



Police Scotland Corporate Risk Register - Removed Risks

Risk ID	External Meeting	Risk Description	Mitigation Plan	Risk Owner Assessment	Scoring			Risk Trend Score	Risk Owner	Public / Private										
					Probability	Impact	Risk Score													
SRR 015  Date Identified: 23/05/2014	SPA ARC SPA Board	<p><b>Risk Title: Conduct</b></p> <p><b>Description:</b> Police Scotland is confident that the vast majority of our staff conduct themselves appropriately and in accordance with our Code of Ethics. However, there is also a recognition that we are a large organisation and that our officers and staff are in a privileged position, having access to a vast array of potentially sensitive information and assets and possessing considerable powers, which others do not. These powers can make our officers and staff vulnerable to external influences. The significant level of change as a result of the creation of Police Scotland has also undoubtedly increased this risk. <b>Police Scotland recognises the risk posed by any officer or member of staff conducting themselves in an inappropriate, corrupt or criminal manner, whether unwittingly or through a deliberate act.</b></p> <p>This risk has been captured to reflect our awareness of the potential for such an act and our efforts to prevent and mitigate this risk.</p> <p><b>Potential Impact:</b> Service delivery compromised as a result of corrupt or criminal activity. Financial loss through theft/fraud. Loss of data through inappropriate use of information. Potential for significant reputational risk to PSoS / loss of public confidence.</p>	<p><b>Method by which risk is assessed</b> Extensive monitoring by PSD management of conduct issues, with any trends being identified/assessed and with performance being reported both internally (Integrity Board) and externally (PIRC / SPA) on a regular basis.</p> <p><b>Strategic Plan</b> Code of Ethics has been published, promoted extensively and reviewed, as part of a strategic plan to place this at the heart of policing in Scotland. National PSD and CCU structures established. CCU structure has been enhanced, increasing capacity and therefore proactivity.</p> <p><b>Tactical Plan</b> Overarching management plan and structures in place overseeing conduct issues on a daily basis. Comprehensive awareness and training plan implemented across Police Scotland. The introduction of national SOPs has taken place (including; Substance Misuse, Notifiable Associations, Electronic Communications, Data Protection, Integrity Matters (confidential reporting system), and Misconduct). Introduction of oversight and risk management processes including: ongoing monitoring of intelligence reports and referrals, ongoing intelligence assessment, SOCG mapping and corruption indicators are being developed. A consistent approach has been applied nationally to vetting, through its ownership in CCU, with an appropriate review of high risk positions, recruitment procedures and an integrated software solution for national vetting being introduced.</p>	<p>(1) <b>Date of Approval: 22 June 2015</b></p> <p>(2) <b>Current Score</b> - The current score has been reduced to 9; impact assessed as now scoring 3 rather than 4. The risk caused by a systemic breach of standards has been reduced by the publication of national guidance as above. Work continues to minimise the risk posed by individual acts, unintentional or otherwise.</p> <p>(3) <b>Target Score</b> - The target score of 6 has been assessed as realistic in light of external influences. Whilst the risk of corruption can never fully be mitigated, it is anticipated that the increased amount of proactive work being carried out by CCU through the Service Integrity / Integrity Assurance programme over the next 18 months will reduce the risk to this level.</p> <p>(4) <b>Target Date</b> - It is anticipated that the mitigation plans will achieve target score by the end of <b>June 2016</b>.</p> <p>(5) <b>Ongoing Work</b> - The key ongoing pieces of work to reduce the scoring are as follows:- - Development &amp; rollout of Service Integrity Programme across Police Scotland Divisions / Departments, including the implementation of national integrity governance structures. - Completion of CCU SOP review (Completion due September 2015). - Launch of CCU e-learning package (Completion due April 2015 - Revised to July 2015). - Vetting has been re-structured and new ICT in place (Completed mid-May). - Review in place to identify Designated Posts across PSoS so that correct vetting levels are applied (Completion due by April 2015 - Revised to July 2015). - Gifts, Gratuities, Hospitality and Sponsorship SOP now published. - Use of Mobile Phones whilst on Duty SOP now published. - Guidance regarding the Use of Internet and Social Media whilst off duty has been published and work continues to deliver the SOP - Further development of '60Second Policy and Briefings' continues. - An 'Ask Us' portal has been created on the Intranet to allow Officers to ask/discuss matters that do not fall into conduct that is unprofessional, unethical, unacceptable or illegal. - The 'Code of Conduct' SOP for Police staff has reached the consultation stage.</p> <p>(6) <b>Public / Private Reporting</b> - This risk is appropriate for public reporting.</p> <p>(7) <b>Risk and Business Assurance Comment</b> - This risk was reviewed by the Corporate Governance Board on 16 June 2015 where it was recommended that due to the reduced level of scoring, this risk should be migrated to the DCC Designate Portfolio Risk Register for ongoing monitoring until achievement of the target score. This was ratified by Senior Leadership Board on 22 June 2015.</p>	Untreated	4	5	20	<p>9 <b>MEDIUM</b></p> <p><b>REDUCED</b></p> <p>↓</p> <p>Previous Score: 12</p>	DCC Designate	Public									
					Target	2	3	6												
					Current	3	3	9												
					<table border="1"> <thead> <tr> <th colspan="6">Police Scotland Priorities</th> </tr> <tr> <th>Violence &amp; Disorder</th> <th>Road Safety &amp; Crime</th> <th>Protecting the Vulnerable</th> <th>SOCT</th> <th>Major Events</th> <th>Corporate Strategy</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td>X</td> </tr> </tbody> </table>			Police Scotland Priorities						Violence & Disorder	Road Safety & Crime	Protecting the Vulnerable	SOCT	Major Events	Corporate Strategy	
Police Scotland Priorities																				
Violence & Disorder	Road Safety & Crime	Protecting the Vulnerable	SOCT	Major Events	Corporate Strategy															
					X															
SRR 039  Date Identified: 12/12/2013	Finance and Investment Committee SPA ARC SPA Board	<p><b>Risk Title: Financial Savings 2014-2015</b></p> <p><b>Description:</b> In financial year 2014-2015, Police Scotland is required to save £68.2 million. For any organisation, the requirement to save such a sum will bring significant challenges and as such Police Scotland has undertaken considerable planning to ensure delivery. <b>This risk has been raised to reflect the challenges associated with making such savings, the impact of failure to deliver the savings and our efforts to negate this.</b></p> <p><b>Potential Impact:</b> Service delivery and operations may be adversely affected due to the need to carry out emergency cost cutting. If service delivery is impacted reputation and public confidence could be adversely affected.</p>	<p><b>Method by which risk is assessed</b> There is an absolute focus upon savings identified within this financial year and clear scrutiny of progress to ensure their resultant delivery. There is significant governance of this risk, demonstrated within Star Chamber, SLB and SPA Finance &amp; Investment Committee.</p> <p><b>Strategic Plan</b> A significant strand underpinning Police Scotland's Corporate Strategy is to achieve the financial savings required by the Scottish Government and reduce the cost base of policing delivery. In striving to meet these savings, both Police Scotland and the SPA are working collaboratively through the Business Change Working Group in order to consider different options in order to achieve the required savings.</p> <p><b>Tactical Plan</b> Cost reduction programmes initiated during 2013/14 identified savings of £58.4m in 2014/15. These savings were removed from the allocated budget moving into financial year 2014/15. This leaves a remaining balance of £9.8m to be identified and delivered during 2014/15. Every business area within Police Scotland has reviewed / is reviewing existing processes to identify means of saving money, with DCC Portfolio Boards driving this business. VR/ ER scheme is in place and will seek to maximise all opportunities to release posts of those who wish to leave the organisation. Robust vacancy management process in place with a key focus on recruitment of business-critical posts, which must be authorised at DCC Level. Workshops held with senior management to assist in identifying further opportunities for savings. A detailed capital programme has been developed, focussing upon delivering efficiency and capital savings. Significant dialogue with Scottish Government regarding POCA funding. A Corporate Finance and Investment Board is being established, which will further exercise governance in this arena.</p>	<p>(1) <b>Date of Approval: 22 June 2015</b></p> <p>(2) <b>Current Score</b> - Mitigating action has been taken to address the shortfall last reported to the Finance and Investment Committee. The Director of Finance reports that a review of the current budget position at 1 April provides greater confidence that the budget will now be balanced for the financial year and will reach target score after verification by audit and year end process. The Statement of Accounts for the financial year 2014-2015 are currently being prepared and there is a high degree of confidence on the part of the Director of Finance that the savings target identified for 2014/2015 will be met. The Accounts will be finalised by 30 June 2015 and are thereafter subject to review by Audit Scotland at which point this risk will be closed.</p> <p>(3) <b>Target Score</b> - Has been identified because there is a statutory requirement to balance the budget in the current financial year.</p> <p>(4) <b>Target Date</b> - It is anticipated that the mitigation plans will achieve target score by <b>30 June 2015</b>.</p> <p>(5) <b>Ongoing Work</b> - The key ongoing pieces of work to reduce the scoring are as identified within the tactical plan.</p> <p>(6) <b>Public / Private Reporting</b> - This risk is appropriate for public reporting.</p> <p>(7) <b>Risk and Business Assurance Comment</b> - Due to the low score and the confidence with achieving the target date and score, the Corporate Governance Board recommended the migration of this risk to the DCC Designate Portfolio Risk Register. This was ratified by Senior Leadership Board on 22 June 2015.</p>	Untreated	5	5	25	<p>4 <b>LOW</b></p> <p><b>STATIC</b></p> <p>↔</p> <p>Previous Score: 4</p>	Director of Financial Services	Public									
					Target	1	1	1												
					Current	1	4	4												
					<table border="1"> <thead> <tr> <th colspan="6">Police Scotland Priorities</th> </tr> <tr> <th>Violence &amp; Disorder</th> <th>Road Safety &amp; Crime</th> <th>Protecting the Vulnerable</th> <th>SOCT</th> <th>Major Events</th> <th>Corporate Strategy</th> </tr> </thead> <tbody> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td>X</td> </tr> </tbody> </table>			Police Scotland Priorities						Violence & Disorder	Road Safety & Crime	Protecting the Vulnerable	SOCT	Major Events	Corporate Strategy	
Police Scotland Priorities																				
Violence & Disorder	Road Safety & Crime	Protecting the Vulnerable	SOCT	Major Events	Corporate Strategy															
					X															

End of Removals Section