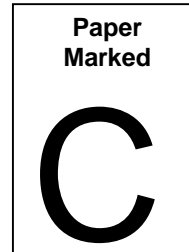


# **POLICE & CRIME COMMISSIONER FOR LEICESTERSHIRE JOINT AUDIT, RISK & ASSURANCE PANEL**



Report of	<b>CHIEF CONSTABLE</b>
Subject	<b>RISK REGISTER</b>
Date	<b>TUESDAY 23<sup>rd</sup> SEPTEMBER 2014 – 09.30 A.M.</b>
Author :	<b>LAURA SAUNDERS – RISK AND BUSINESS CONTINUITY ADVISOR</b>

## **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 7<sup>th</sup> August 2014 and was chaired by DCC Edens. At this board the OPCC was represented by Helen King, the JARAP was 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.

*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 43 police strategic risks and 7 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	1
	High	0	2	11	10
	Medium	2	1	11	7
	Low	0	0	1	2

The 4 high priority risks, 5 risks of note and 5 new risks are outlined within Appendix A. The full corporate risk register is attached as Appendix B.

## Implications

<i>Financial</i>	<p>STR1329 – Transforming services risk. This revolves around providing services with the reduced budget.</p> <p>STR1823 – Forensic and healthcare services, financial risk to force. The provision of service is novating to NHS England in 2015. The cost of a new contract is likely to exceed the amount forecast for the existing contract.</p> <p>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.</p> <p>STR473 – Organisational risk of not complying with the ACPO National Vetting Policy. A business case for the staffing requirements to fulfil this obligation has been approved.</p>
<i>Equality impact assessment</i>	<p>STR430 – Disability related harassment risk. The police reputation for providing a fair and equitable service may be damaged.</p>
<i>Risks and impact</i>	<p>As per the tables above.</p>
<i>Link to Police and Crime Plan</i>	<p>As per report.</p>

## Appendices

Appendix A: Strategic Risks  
Appendix B: Corporate Risk Register  
Appendix C: Risk Matrix

## Persons to contact

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## Appendix A – Strategic Risks

### 1. High priority risks

<b>STR1844</b>		<b>Failure to transition to the ESN.</b>	
Responsible Officer	Tom Reynolds	Impact/Likelihood	Very High/High
Date Recorded	15/08/14	Current Rating	High (12)
Category	Information Systems/Technology	Previous Rating	New Risk
Information	Leicestershire Police use Airwave for radio voice communications; however, the contract is due to expire in 2017. The government are driving the procurement process as every emergency service will move to mobile communications and connect to the Emergency Services Network (ESN). It is unclear what functionality issues there may be.		
Impact	This risk is concerned with the impact of not transitioning to the ESN within the timescales, however, there are a number of associated risks:- Financial; upgrading our infrastructure, possibility of extending our contract with Airwave, purchase of new handsets. Operational; abstractions caused by equipment being fitted to cars and training in the use of new equipment.		
Existing Controls	<ul style="list-style-type: none"> <li>Regional Airwave user group.</li> <li>Monitoring of Airwave performance.</li> <li>National project team.</li> <li>COT oversight.</li> </ul>		
Additional Controls	<ul style="list-style-type: none"> <li>ICS infrastructure upgrade.</li> </ul>		
Update	15/08/14 Tom Reynolds. We are currently upgrading some of our infrastructure (ICS) but further works may be required. The national project team are engaging with all forces to gauge concerns and provide updates. Current status: controls tasked.		

<b>STR1329</b>		<b>Transforming services - fit for 2017.</b>	
Responsible Officer	Rachel Swann	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"> <li>Governance through the Change Programme/Board and Change Team.</li> <li>Workforce modernisation: ongoing and voluntary redundancy scheme.</li> <li>Force restructure: BCU's, directorates and services.</li> <li>One year plan (2014/15) agreement: agreed July 2013.</li> <li>2014/15 progress reporting: to the Change Board.</li> <li>External support – continuous improvement, objective based budgeting and increase to Change Team agreed by PCC (03/02/14).</li> <li>External support – KPMG.</li> <li>Project Edison.</li> <li>HMIC inspection.</li> </ul>		
Update	31/07/14 Rachel Swann. Work is progressing under the detailed design phase and the creation of the implementation group is starting to draw together how this will work and be implemented. Therefore, providing more control and confidence over the delivery of these changes. Current status: managed.		

<b>STR127</b>		<b>Unauthorised use/misuse of IT systems, loss of information.</b>	
Responsible Officer	Jim Holyoak	Impact/Likelihood	High/High
Date Recorded	22/09/08	Current Rating	High (9)
Category	Information Systems/Technology	Previous Rating	High (9)
Information	Reputational and operational risk together with the probable impact on public, government and partners' confidence as a result of unauthorised loss or misuse of data, loss of data from data storage devices or other misuse of force IT systems.		
Impact	Legal implications/loss of confidence/operational compromise.		
Existing Controls	<ul style="list-style-type: none"> <li>National vetting procedure adhered to – (please refer to STR473).</li> <li>Systems auditing – conducted across most IT systems.</li> <li>Identified systems owners – responsible for security.</li> <li>Effective internal investigation/sanctions.</li> <li>System passwords/encryption.</li> <li>HR to manage with IT the potential for misuse from staff put at risk.</li> <li>Force Information Officer in post and aware.</li> <li>Comprehensive suite of policies and procedures.</li> <li>Communication strategy – for key messages with Corp Comms.</li> </ul>		
Additional Controls	<ul style="list-style-type: none"> <li>Protective monitoring system.</li> </ul>		
Update	25/08/14 Jim Holyoak. On-going installation of protective monitoring is linked to other IT programmes and also needs to ensure full system stability. This is taking longer than initially anticipated but is proceeding satisfactorily with training dates being scheduled for later in the autumn. Current status: controls tasked.		

<b>STR1679</b>		<b>Missed opportunities: failure to accurately record crime.</b>	
Responsible Officer	Stuart Prior	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. HMIC have announced plans to carry out visits to examine crime data within forces during 2013/14.		
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"> <li>Audit of 'STORM' incidents within CMD – staff check to ensure compliance.</li> <li>Audit schedule – conducted by the Service Improvement Unit.</li> <li>Task and finish groups – part of Get it Right 1<sup>st</sup> Time (previously Op Enigma).</li> <li>Communication plan – as part of Get it Right 1<sup>st</sup> Time.</li> <li>Get it Right 1<sup>st</sup> Time – Gold Group.</li> <li>HMIC inspection.</li> </ul>		
Additional Controls	<ul style="list-style-type: none"> <li>Get it Right 1<sup>st</sup> Time delivery plan.</li> </ul>		
Update	28/08/14 Caroline Barker. The findings within the HMIC's report on their Crime Data Integrity Inspection of Leicestershire will form part of a full review of this risk once the report has been circulated. Current status: controls tasked.		

2. Risks of note

Risk increase from low to medium:

<b>OPCC1700</b>		<b>Failure to maintain relationships with key partners.</b>	
Responsible Officer	Paul Stock	Impact/Likelihood	High/Medium
Date Recorded	19/07/13	Current Rating	Medium (6)
Category	Contracts and Partnerships	Previous Rating	Low (4)
Information	Failure to maintain effective working relationships across statutory, voluntary and third sector partner agencies.		
Impact	Maintaining these relationships ensure partnership working in the criminal justice sector is both efficient and effective maximising value for money for local taxpayers.		
Existing Controls	<ul style="list-style-type: none"> <li>• Inherited partner relationships and some understanding of the interdependencies through transition programme.</li> <li>• Plan to improve local stakeholder relationships.</li> <li>• Further strengthen the relationship between the PCC/OPCC and the Police and Crime Panel.</li> <li>• Development of new Executive Board.</li> <li>• Prioritise efforts that will influence national policy and enhance the reputation of the OPCC.</li> <li>• Further develop the Police and Crime Plan in consultation with partner agencies.</li> <li>• PCC, CEO and CFO engaging with national bodies and policy makers.</li> <li>• Defined and identified who the key partners are and align to Police and Crime Plan objectives.</li> <li>• Find opportunities to better understand the complexities and interdependencies of the partner landscape.</li> <li>• JARAP work programme developed.</li> <li>• Continuity of Auditors (both internal and external).</li> <li>• New oversight arrangements via Police and Crime Panel (PCP).</li> <li>• Proactive work with the PCP to enhance relationships and avoid over-burdensome scrutiny.</li> <li>• Recruitment, induction and development of JARAP members.</li> <li>• New governance arrangements.</li> <li>• Solid internal control framework inherited from the Police Authority.</li> <li>• Interim JARAP provides some continuity.</li> <li>• Some good relationships with partners.</li> <li>• Strategic Partnership Board (SPB.)</li> <li>• Existing relationships at BCU and LPU level.</li> <li>• Proactive work with Local Government partners for the purpose of strengthening relationships.</li> </ul>		
Additional Controls	<ul style="list-style-type: none"> <li>• Develop soft assurance mechanism(s)/network(s).</li> <li>• Review meeting structures and recruit necessary resources.</li> </ul>		
Update	22/07/14 Stuart Fraser. The existing controls have been updated for the PCC's response to the Police and Crime Panel. In addition, actions arising from the Police and Crime Plan have resulted in some additional controls. Specific partnership resources will be recruited to the team. Current status: controls tasked.		

Risk increase from low to medium:

<b>OPCC1690</b>	<b>Failure to consult and engage sufficiently with the public.</b>		
Responsible Officer	Paul Stock	Impact/Likelihood	Medium/High
Date Recorded	19/07/13	Current Rating	Medium (6)
Category	Politics/Legal	Previous Rating	Low (4)
Information	Failure to consult and engage with the public to a level necessary to enable understanding of the PCC's role.		
Impact	Lack of consultation and engagement could lead to a lack of understanding and awareness of the PCC's role.		
Existing Controls	<ul style="list-style-type: none"> <li>Inherited relationships remain effective.</li> <li>Increase proactive use of website and other media.</li> <li>Facilitate the PCC's public presence and impact.</li> <li>Actively foster positive relations with the media/press.</li> <li>Website presence and effective use.</li> <li>PCC actively meeting with community and stakeholders.</li> <li>Responding to individual public enquiries.</li> <li>Secure the appropriate capability and capacity to support the engagement process.</li> <li>Apply a proportionality mechanism for dealing with public enquiries to ensure best use of PCC time and resources.</li> </ul>		
Additional Controls	<ul style="list-style-type: none"> <li>Improve stability of resources.</li> <li>Develop a proactive consultation and engagement strategy.</li> <li>Develop a proactive public communications strategy.</li> </ul>		
Update	22/07/14 Stuart Fraser. Due to staff changes there have been reduced resources to undertake work in this area. A proactive consultation and engagement strategy has been developed and an interim director of communications has been appointed and is now in post. Current status: controls tasked.		

Risk decrease from medium to low:

<b>STR1651</b>	<b>BC for HR transactional work.</b>		
Responsible Officer	Ali Naylor	Impact/Likelihood	Low/Low
Date Recorded	28/03/13	Current Rating	Low (1)
Category	People (Staff and Community)	Previous Rating	Medium (6)
Information	The EMCHRS will provide the Learning and Development, Occupational Health and HR Services for the subscribing forces. The HR collaboration for transactional services will be provided by staff at Derbyshire headquarters, with existing staff from Leicestershire being TUPE'd to Derbyshire. The risk is to the continuity of these services during the transitional period.		
Impact	Ability to deliver the necessary service and may impact on the ability to recruit effectively.		
Existing Controls	<ul style="list-style-type: none"> <li>Staff overtime.</li> <li>Turnover of staff.</li> <li>Increased supervision of staff.</li> </ul>		
Update	31/07/14 Alison Naylor. The TUPE and staff transfer has now taken place which has enhanced the staffing and resilience of the EMCHRS transactional services. Current status: controlled.		

Risk decrease from medium to low:

<b>STR1521</b>	<b>Criminal behaviour/impropriety by staff.</b>		
Responsible Officer	Jim Holyoak	Impact/Likelihood	Medium/Medium
Date Recorded	05/07/12	Current Rating	Low (4)
Category	Stakeholders/Reputation	Previous Rating	Medium (6)
Information	Following an HMIC visit, risks to the force through impropriety and criminal conduct have been codified. The headline areas are; information leakage, gifts, gratuities and hospitality and business interests.		
Impact	Any breach of the policies by any police employee may lead to compromised operational policing and will lead to a reduction of the force reputation.		
Existing Controls	<ul style="list-style-type: none"> <li>• Operation Fox.</li> <li>• Force Anti-Corruption Unit.</li> <li>• ACPO lead.</li> <li>• Annual review of business interests.</li> <li>• Individual gold groups.</li> <li>• Confidential reporting procedure.</li> <li>• Identification of particular areas of threats.</li> <li>• Communication strategy.</li> <li>• Integrity plan.</li> </ul>		
Additional Controls	<ul style="list-style-type: none"> <li>• Statement of Ethics.</li> <li>• Publication of ACPO gifts/gratuities/secondary employment.</li> <li>• Introduction and eventual embedding of the Code of Ethics.</li> </ul>		
Update	25/08/14 Jim Holyoak. Following HMIC feedback the integrity plan has been updated. There is restructuring within PSD with increased resources, providing greater resilience. The protective monitoring system has been implemented and is currently being tested to ensure full system stability. Current status: controls tasked.		

Risk decrease from medium to low:

<b>STR430</b>	<b>Inquiry into disability related harassment.</b>		
Responsible Officer	Lynne Woodward	Impact/Likelihood	Medium/Low
Date Recorded	02/03/10	Current Rating	Low (2)
Category	Stakeholders/Reputation	Previous Rating	Medium (8)
Information	Following the HMIC inspection on ASB in 2012 the EHRC contacted Leicestershire Police and several other local authority organisations stating they would be seeking a formal s23 agreement around their handling of disability related harassment.		
Impact	The risk to the force is to reputation if disability groups express a view that the police have let them down or do not share info or work well with partners.		
Existing Controls	<ul style="list-style-type: none"> <li>• Meeting of key internal stakeholders.</li> <li>• Submission to EHRC December 2012.</li> <li>• EHRC Coordinating Group.</li> <li>• ACPO full response to the inquiry to be submitted by 30<sup>th</sup> June 2012.</li> <li>• National gold/silver groups.</li> <li>• Strategic Equality and Confidence Board.</li> <li>• Media strategy.</li> </ul>		
Update	15/08/14 Lynne Woodward. Leicestershire Police have continued to engage and provide written responses to the EHRC, who now do not consider it necessary to take any formal action. It has been suggested that the police work with the other parties to further the existing work in this area. Current status: managed.		



New risks

<b>STR1796</b>		<b>Absence of accurate mental health statistical representation.</b>	
Responsible Officer	Adam Streets	Impact/Likelihood	High/Medium
Date Recorded	22/05/14	Current Rating	Medium (6)
Category	Operational/Performance	Previous Rating	New Risk
Information	The production of internal, and collation of external, mental health data has been absent since January 2014. A process is required to produce internal, and retrieve accurate external mental health data. The risk to the force is both operational and reputational. To fully understand vulnerability concerning mental ill health we need to be aware of the number of mental health related incidents that we are dealing with, along with the amount of S136 detentions.		
Impact	If the force were to undergo an inspection regarding mental health we would want to be able to accurately demonstrate our response to mental ill health. We would also want to accurately respond to any associated FOI requests.		
Existing Controls	<ul style="list-style-type: none"> <li>• Mental health delivery plan 2014/15.</li> <li>• Recruitment process for a Mental Health Coordinator.</li> <li>• Mental health working group.</li> <li>• One internal data collection point established for internal mental health data.</li> </ul>		
Update	29/08/14 Adam Streets. A new Mental Health Coordinator has been recruited and is now in post. One internal data collection point has now been established. The mental health working group continue to meet to provide governance and oversight. Work is ongoing to promote the new processes and ensure compliance. Current status: controlled.		

<b>STR1823</b>		<b>Forensic and healthcare services – financial risk to force.</b>	
Responsible Officer	Chris Cockerill	Impact/Likelihood	Medium/Very High
Date Recorded	01/07/14	Current Rating	Medium (8)
Category	Finance	Previous Rating	New Risk
Information	Leicestershire Police healthcare and forensic provision is novating to NHS England and the anticipated timescale for the novation is 1 <sup>st</sup> April 2015. The cost of the current contract is £813k and this is the sum the force was informed would be top-sliced from its budget in 2015/16 onwards. However, the current contract will come to an end prior to the 1 <sup>st</sup> April 2015 and therefore the force has to recruit a new provider with a contract start date before 1 <sup>st</sup> April 2015. It is likely that the cost of this contract will be in excess of £813k.		
Impact	It is uncertain whether or not any additional amount will have to be found from the police budget as a result of the new contract and/or there is a slippage in the timescale for novation.		
Existing Controls	<ul style="list-style-type: none"> <li>• Negotiation.</li> <li>• Procurement process.</li> <li>• Strategic governance.</li> </ul>		
Update	08/08/14 Chris Cockerill. The local Police and NHS Commissioning Board is aware of the risk and this has been raised with the national strategic board that oversees the commissioning process for England and Wales. The Chief Officer Team and the PCC have also been notified. Current status: managed		

<b>STR1801</b>		<b>Ability to meet mandatory training requirements.</b>	
Responsible Officer	Alison Naylor	Impact/Likelihood	Medium/Medium
Date Recorded	12/06/14	Current Rating	<b>Low (4)</b>
Category	Operational/Performance	Previous Rating	New Risk
Information	Ability of the organisation to meet mandatory training requirements such as NCALT e-learning packages generated by the College of Policing and standards set out by statutory bodies such as the HSE.		
Impact	Not complying with the requirements are; the impact on operational performance and the reputational risk as a result. In addition, the training of staff causes abstractions to frontline staff which can have implications on operational performance.		
Existing Controls	<ul style="list-style-type: none"> <li>• Identified subject matter experts in place to review training packages.</li> <li>• Operational leads in place to inform requirements.</li> <li>• Training Priorities Panel.</li> <li>• Resource Planning Unit consultation.</li> </ul>		
Update	16/06/14 Alison Naylor. There has been an increase in mandatory training requirements from the College of Policing, which adds to the existing training schedule in place. The TPP continues to monitor the requirements and work is being done to consider differing ways that training can be delivered in innovative ways to minimise abstraction rates. Current status: controlled.		

<b>STR1818</b>		<b>Government security classification (GSC) implementation.</b>	
Responsible Officer	Paul Hooseman	Impact/Likelihood	Medium/Medium
Date Recorded	24/06/14	Current Rating	<b>Low (4)</b>
Category	Governance	Previous Rating	New Risk
Information	Government Security Classification (GSC) to replace Government Protective Marking Scheme (GPMS) in date yet to be announced.		
Impact	A national conversion programme is required for local implementation to raise organisational awareness and minimise the threat to information loss or incorrect disclosure.		
Existing Controls	<ul style="list-style-type: none"> <li>• National ACPO lead appointed.</li> </ul>		
Additional Controls	<ul style="list-style-type: none"> <li>• System accreditation to be strengthened.</li> <li>• Change programme to be devised.</li> <li>• Information sharing agreements to be reviewed.</li> <li>• System updates.</li> <li>• Policy/procedure review.</li> <li>• National implementation plans.</li> <li>• Sharing of secret information practices to be reviewed.</li> </ul>		
Update	24/06/14 Paul Hooseman. There will be a further national update to CC Council in July and further national guidance to be issued once there are clearer implementation timescales. Nationally there is work already underway to review NIM and national ISAs. Current status: controls tasked.		

Appendix B		Corporate Risk Register				30 <sup>th</sup> August 2014			
Reference	Owner	Title	Impact	Likelihood	Status	Recorded	Last review	Priority	Previous rating
STR1329	Rachel Swann	Transforming services - fit for 2017.	Very High	High	Managed	February 2012	31/07/14	12	12
STR1844	Tom Reynolds	Failure to transition to the ESN.	Very High	High	Controls Tasked	August 2014	15/08/14	12	New
STR1679	Stuart Prior	Missed opportunities: failure to accurately record crime.	High	High	Controls Tasked	June 2013	28/08/14	9	9
STR127	Jim Holyoak	Unauthorised use/misuse of IT systems, loss of information.	High	High	Controls Tasked	September 2008	25/08/14	9	9
STR1823	Chris Cockerill	Forensic and healthcare services – financial risk to force.	Medium	Very High	Controlled	July 2014	08/08/14	8	New
STR473	Simon Hurst	Organisational risk of not complying with the ACPO national vetting policy.	Medium	Very High	Controls Tasked	March 2010	14/08/14	8	8
STR1796	Adam Streets	Absence of accurate mental health statistical representation.	High	Medium	Controlled	May 2014	29/08/14	6	New
STR1764	Tim Glover	Accreditation for the use of the PSN.	High	Medium	Controls Tasked	January 2014	20/08/14	6	6
STR1479	Carol Hever	New version of DMS for HR regionalisation.	High	Medium	Controlled	May 2012	05/06/14	6	6
STR564	David Sandall	Management of MFH enquiries.	High	Medium	Controlled	August 2010	10/06/14	6	6
STR420	Peter Coogan	Energy use - environmental and financial risk.	High	Medium	Controls Tasked	February 2010	17/06/14	6	6
STR1571	David Sandall	Genie/DASH not being used correctly resulting in incorrect risk assessments.	High	Medium	Managed	September 2012	10/06/14	6	6
STR1608	Steph Pandit	Governance of partnership working arrangements.	High	Medium	Controls Tasked	January 2013	30/07/14	6	6
STR1475	Martyn Ball	Limited ability to collate ASB incidents onto Sentinel.	High	Medium	Controls Tasked	May 2012	31/07/14	6	6
STR1768	Fiona Linton	Microsoft XP reaching 'end of life'.	High	Medium	Managed	February 2014	29/08/14	6	6
STR1519	Paul Hooseman	RMADS management for information security.	High	Medium	Controls Tasked	June 2012	10/06/14	6	6
OPCC1690	Paul Stock	Failure to consult and engage sufficiently with the public.	Medium	High	Controls Tasked	July 2013	22/07/14	6	4
OPCC1700	Paul Stock	Failure to maintain relationships with key partners.	High	Medium	Controls Tasked	July 2013	22/07/14	6	4
STR1521	Jim Holyoak	Criminal behaviour/impropriety by staff.	Medium	Medium	Controls Tasked	July 2012	25/08/14	4	6
STR1818	Paul Hooseman	Government Security Classification (GSC) implementation.	Medium	Medium	Controls Tasked	June 2014	24/06/14	4	New
STR1801	Alison Naylor	Ability to meet mandatory training requirements.	Medium	Medium	Controlled	June 2014	16/06/14	4	New
STR1648	Stuart Prior	Failure to manage the licensing and holding of firearms within the force area.	Very High	Low	Controls Tasked	March 2013	05/08/14	4	4
STR508	Steph Pandit	Failure to meet requirements of the Police and Crime Plan.	Medium	Medium	Controlled	April 2010	30/07/14	4	4
STR893	Alison Naylor	Impact of Winsor/Hutton reforms.	Medium	Medium	Controlled	April 2011	09/06/14	4	4
STR325	Tim Glover	IT strategy at risk if each department requirement is not captured.	Medium	Medium	Controlled	November 2009	18/06/14	4	4
STR1706	Alison Naylor	Loss/absence/churn of key personnel.	Medium	Medium	Controlled	August 2013	09/06/14	4	4
STR1765	Chris Haward	Regional operational support command structure.	Medium	Medium	Managed	February 2014	30/05/14	4	4

STR533	Steph Pandit	The fair and effective use of stop and search to promote confidence.	Medium	Medium	Controls Tasked	June 2010	04/06/14	4	4
OPCC1694	Paul Stock	Lack of resource and capacity available to OPCC.	Medium	Medium	Controls Tasked	July 2013	22/07/14	4	2
OPCC1695	Paul Stock	Failure to deliver Police and Crime Plan during period of reducing funding.	Medium	Medium	Controls Tasked	July 2013	22/07/14	4	4
OPCC1698	Paul Stock	Failure to provide governance to all East Midlands police collaboration projects.	High	Low	Controlled	July 2013	22/07/14	3	3
STR458	David Sandall	Failure to protect vulnerable persons.	High	Low	Controlled	March 2010	10/06/14	3	3
STR310	Stuart Prior	Failure to recognise and respond to critical incidents and 'learn lessons'.	High	Low	Controlled	November 2009	06/08/14	3	3
STR459	Martyn Ball	Failure to respond to ASB.	High	Low	Managed	March 2010	31/07/14	3	3
STR520	Steph Pandit	Governance of collaborative arrangements.	High	Low	Managed	May 2010	04/06/14	3	3
STR253	Tim Glover	High risk of virus introduction and data loss.	High	Low	Controls Tasked	July 2009	18/06/14	3	3
STR2	Tim Glover	Impact of Loss of IT and/or communications infrastructure.	High	Low	Controls Tasked	September 2007	18/06/14	3	3
STR11	Alison Naylor	Potential for industrial action affecting our service.	High	Low	Controlled	October 2007	30/05/14	3	3
STR537	Martyn Ball	Risk of reduced service delivery if public confidence reduces.	High	Low	Managed	June 2010	31/07/14	3	3
STR1680	Luke Russell	Shortage of accredited CMD inspectors to cover the 24/7 requirement.	High	Low	Controlled	April 2013	20/06/14	3	3
STR430	Lynne Woodward	Inquiry into disability related harassment.	Medium	Low	Managed	March 2010	15/08/14	2	8
STR380	Alex Stacey-Midgley	Current JES unlikely to meet Equal Opportunities Commission (EOC) criteria.	Medium	Low	Controlled	January 2010	07/08/14	2	2
STR1709	Stephen Potter	EMA policing provision - failure to sign PSA.	Low	Medium	Managed	August 2013	08/08/14	2	2
STR1705	Steph Pandit	OPCC stage 2 transfers.	Medium	Low	Controls Tasked	August 2013	04/06/14	2	2
STR1623	Matt Hewson	Preparing for new and emerging communities.	Medium	Low	Controlled	February 2013	16/06/14	2	2
STR1163	Stephen Potter	Risk to the force to deal with spontaneous or pre-planned widespread protest.	Medium	Low	Controls Tasked	September 2011	08/08/14	2	2
STR1335	Steph Pandit	Shift pattern review.	Medium	Low	Controlled	February 2012	04/06/14	2	2
OPCC1699	Paul Stock	Failure to produce and maintain a commissioning framework.	Medium	Low	Managed	July 2013	22/07/14	2	2
STR1651	Alison Naylor	BC for HR transactional work.	Low	Low	Controlled	March 2013	31/07/14	1	6
OPCC1696	Helen King	Poor data quality leads to inefficient decision making and use of resources.	Low	Low	Controls Tasked	July 2013	22/08/14	1	1

Risk of Note

### Risk Scoring Matrix

Impact							
	Score	Performance/ Service Delivery	Finance/ Efficiency £	Confidence/Reputation	Health and Safety	Environment	Strategic Direction
<b>Very High</b>	<b>4</b>	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.
<b>High</b>	<b>3</b>	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.
<b>Medium</b>	<b>2</b>	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.
<b>Low</b>	<b>1</b>	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			
<b>Very High</b>	<b>4</b>	>75% chance of occurrence	Almost certain to occur
<b>High</b>	<b>3</b>	51-75% chance of occurrence	More likely to occur than not
<b>Medium</b>	<b>2</b>	25-50% chance of occurrence	Fairly likely to occur
<b>Low</b>	<b>1</b>	<25% chance of occurrence	Unlikely to occur

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

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