

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

Paper
Marked

C

Report of	OFFICES OF CHIEF CONSTABLE AND POLICE AND CRIME COMMISSIONER
Subject	RISK REGISTER
Date	THURSDAY 14th SEPTEMBER 2017 – 2.00 P.M.
Author	LAURA SAUNDERS – RISK AND BUSINESS CONTINUITY ADVISOR

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 8th May 2017 and was chaired by DCC Bannister. At this board the OPCC were represented. The JARAP were unrepresented.
4. The OPCC risks are overseen by the Chief Finance Officer 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 43 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	1	3	0
	High	1	4	10	6
	Medium	1	2	14	5
	Low	0	2	0	2

There are 6 high priority risks, 1 risk of note and 2 new risks. Since the last JARAP meeting, 1 risk has been archived. All of these risks 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, ongoing contract with Airwave in the event of a transition delay and purchase of new equipment.

STR1329 – Transforming services.

This revolves around providing services with the reduced budget.

Equality impact assessment

STR430 – Disability related harassment.

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

Roger Bannister – Deputy Chief Constable – (0116) 248 2005

Email: Roger.Bannister@leicestershire.pnn.police.uk

Helen King – Chief Finance Officer – (0116) 229 8702

Email: Helen.King@leics.pcc.pnn.gov.uk

Laura Saunders – Risk and Business Continuity Advisor – (0116) 248 2127

Email: Laura.Saunders@leicestershire.pnn.police.uk

Appendix A – Strategic Risks

High risks

STR1844	Failure to transition to the ESN		
Responsible Officer	Helen Chamberlain Chief Superintendent Tri Force Collaboration (TFC)	Impact/Likelihood	Very High/High
Date Recorded	15/08/14	Current Rating	High (12)
Category	Information Systems/Technology	Previous Rating	High (12)
Information	The Tri Force Collaboration is managing the transition to ESN as a programme. Leicestershire Police's contract with Airwave is due to expire on 06/01/17. Airwave is a private network, based on the TETRA standard that uses masts to provide national coverage. Centrally the government are driving the procurement process as every emergency service will move to mobile communications. There is a national project team that is engaging with individual forces to gauge concerns and provide updates.		
Impact	This risk is concerned with the operational impact of not transitioning. There is uncertainty about how well the mobile network will respond to increased traffic and whether the emergency services will have priority. In addition, we do not know what functionality issues there may be and how our practices may have to be altered.		
Existing Controls	<ul style="list-style-type: none"> • Purchase of repair credits for existing Sepura Airwave radios. • Monitoring of Airwave performance • COT oversight • Maintaining close contact with national police project team • Regional Airwave user group • Regional coordination and strategic oversight • Tri Force Programme • ICCS infrastructure upgrade 		
Update	09/08/17 – Sally Brooks (TFC ESN Project Manager):- The national budget is insufficient for the transition. Forces will be required to meet the costs of supporting their continued use of Airwave as well as the ESN costs if they fail to transition within the allotted time but there will also be a fee that will have to be paid which will be shared across all three Emergency Services (Police, Fire and Ambulance). Current status: managed.		

STR473	Organisational risk of not complying with the ACPO policy		
Responsible Officer	Mandy Bogle-Reilly Vetting Manager	Impact/Likelihood	Very High/High
Date Recorded	22/03/10	Current Rating	High (12)
Category	Operational/Performance	Previous Rating	High (12)
Information	The ACPO National Vetting Policy is partially implemented; anybody joining the organisation after January 2012 are vetted to the ACPO national guidance. Anyone who joined the organisation before this date (approximately 60% of current workforce - in excess of 2500 people) are not vetted to the national standards. The risk posed extends to resources deployed to regional units.		
Impact	There is an ongoing risk associated to a) operational security, b) corruption and c) organisational reputation.		
Existing Controls	<ul style="list-style-type: none"> • Centralisation of vetting within PSD • Review of the force vetting function • Priority EMOpSS vetting • Renewal procedure for CTC introduced • Compliance with policy for all new employees • Operational security • New starters vetted per ACPO policy • Business Case Implementation 2015 		
Additional Controls	<ul style="list-style-type: none"> • Ensure all staff are vetted in line with policy • All staff to be subject of aftercare / review 		
Update	14/08/17 – Mandy Bogle-Reilly:-		

	<p>Work continues with the action plan which is being closely monitored. The cascade briefing has been drafted and issued to department SPOCS. The re start of the Project utilises 1 FTE, whilst we finalise recruitment of the Senior Vetting Officer and Vetting Researchers, expected to be in post by October.</p> <p>Current status: controls tasked.</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 carried out a number of audits under the heading "Missed Opportunities" which identified issues with the accuracy of our crime recording, both on initial contact and in relation to classification of crime. In addition, in April 2015 the Home Office Crime Recording reduced the timescale for when crimes must be recorded from 72 hours to 24 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 – compliance check • Audit schedule – conducted by the Service Improvement Unit • Task and finish groups – part of Get it Right 1st Time • Communication plan – as 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>24/08/17 – Caroline Barker:- HMIC have identified some issues with the accuracy of our crime recording and the force is responding to this through Project Darwin. This will involve revising processes and increasing resources to ensure we accurately record crime to address these issues.</p> <p>Current status: controls tasked.</p>		

STR1935	Management of seized and found property provision		
Responsible Officer	Jason Masters Chief Superintendent	Impact/Likelihood	High/High
Date Recorded	30/06/16	Current Rating	High (9)
Category	Operational/Performance	Previous Rating	High (9)
Information	A series of internal audits and related staff issues have highlighted that the organisational provision and processes relating to property are in need of comprehensive review. Some of the themes highlighted include; no single point of leadership, lack of clear processes and a high volume of property retained with no systematic process for disposal. There is opportunity to improve the current provision.		
Impact	There is an operational impact of items being missing, which may be required for investigation purposes. There is a reputational risk associated to the poor management where items are lost, whether through theft or being unaccounted for.		
Existing Controls	<ul style="list-style-type: none"> • Internal audit completed • Force Property Working Group • Safe audit • Appointment of Project Manager and team • Force Property Manager • Policies and procedures 		
Additional Controls	<ul style="list-style-type: none"> • Property review project 		
Update	<p>02/08/17 – Jez Leavesley (Property Programme Manager):- The Change Board agreed that the main property store should be housed at FHQ within a new build. The scale and associated financing options are currently being explored. This will replace the existing stores within Keyham Lane and Beaumont Leys. The freezer stock has been audited to identify items that can be disposed to alleviate strain on them to increase efficiency.</p> <p>Current status: controls tasked.</p>		

OPCC1694		Lack of resource and capacity available to the PCC	
Responsible Officer	Helen King Chief Finance Officer	Impact/Likelihood	High/High
Date Recorded	19/07/13	Current Rating	High (9)
Category	Infrastructure	Previous Rating	High (9)
Information	Lack of appropriate resource and capacity available to OPCC.		
Impact	Ability to deliver PCC priorities.		
Existing Controls	<ul style="list-style-type: none"> Review and consider options for new PCC Deputy and Advisor arrangements PDR process to monitor and enhance staff performance and development OPCC structure reviewed and new structure finalised Undertake interim and permanent review of structure to ensure appropriate Continuous development permanent resource Skills analysis requirements for the OPCC completed as part of new structure Existing staff matched into roles within the new structures Experienced and interim staff provide capacity All "non operational" employees of the Office of the Chief Constable available to PCC PDRs in place for all staff Undertake OPCC team development sessions to focus and develop the workforce Business Plan in place and under review Deputy PCC review of office 		
Additional Controls	<ul style="list-style-type: none"> Force and interim staff to provide additional capacity Recruit to roles in office Undertake appropriate consultation with staff Develop training and PDRs for all office staff 		
Update	16/08/17 – Leila Ainge (Resources Manager):- The deputy PCC has completed his review of the office structure. The existing controls remain in place whilst work continues with the additional controls. The staffing consultation period is currently in progress. Current status: controls tasked.		

OPCC1696		Poor data quality leads to inefficient decision making in the OPCC and use of resources	
Responsible Officer	Helen King Chief Finance Officer	Impact/Likelihood	High/High
Date Recorded	19/07/13	Current Rating	High (9)
Category	Governance	Previous Rating	High (9)
Information	The PCC is making decisions which are informed by force data and information.		
Impact	If the data is not up to date or accurate this may affect the decisions made or where resources are allocated.		
Existing Controls	<ul style="list-style-type: none"> Data quality audits undertaken by HMIC Systems in place for providing good quality financial information Additional scrutiny applied by SAB Identify and communicate data requirements to the force Ongoing data audit and assurance programme Review the findings of recent data quality audits to understand current position Regular reports on data quality to appropriate forums Review performance and information requirements to meet PCC's priorities Detailed action plan review at June SAB meeting PCC update to Police and Crime Panel in July 2017 		
Additional Controls	<ul style="list-style-type: none"> HMIC effectiveness audit reviewed Force action plan requested by PCC at each SAB meeting HMIC data integrity audit underway Hot debrief and full report awaited Force to review internal audit methodology to ensure it reflects HMIC methodology 		
Update	16/08/17 – Leila Ainge (Resources Manager):- This risk continues to be high, with two existing controls now in place after the action plan was reviewed at the SAB meeting and an update provided to the PCP.		

	Current status: controls tasked.
--	---

Risk of note

STR1910	Lack of resilience and foreseeable attrition in RTI-PNC compromises service		
Responsible Officer	Jason Ross Chief Inspector	Impact/Likelihood	High/Medium
Date Recorded	12/08/15	Current Rating	Medium (6)
Category	Operational/Performance	Previous Rating	Low (2)
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. There continue to be issues of resilience due to numbers 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 • Additional training 		
Additional Controls	<ul style="list-style-type: none"> • Change Team Paper as part of Op Darwin 		
Update	17/07/17 – Jason Ross:- There continues to be resilience issues for the PNC operators despite recruitment processes. A paper is being prepared to highlight this and consider options as part of Op Darwin. Current status: controls tasked.		

Risk archived since the last JARAP

OPCC1934	Newly elected PCC for LLR could result in widespread change		
Responsible Officer	Helen King Chief Finance Officer	Impact/Likelihood	Low/Low
Date Recorded	16/06/16	Current Rating	Low (1)
Category	Politics/Legal	Previous Rating	Low (1)
Information	Newly elected PCC for LLR could result in widespread change to the way policing and Commissioning services are delivered. Potentially impacting on: Relationships with partners (including Police), public perception of the PCC and media coverage of significant change.		
Impact	Challenges around the use of resources (including financial) to deliver the new PCC's political or strategic priorities		
Existing Controls	<ul style="list-style-type: none"> • SMT & COT Visioning Workshops established • PCC Consultation & Survey plan • Enhanced Public Engagement via a developing strategy • Role of Strategic Assurance Board (SAB) • Police & Crime Panel's role in developing a Police & Crime Plan • Induction pack prepared for new PCC • PCC Information pack for candidates • Prospective PCC candidate events with Force/OPCC • Key Briefings and Meetings for new PCC • Website repository for key information/articles • Timeline for development of new PCC's Police & Crime Plan established • Key meetings, induction and briefings continue until the PCC is fully informed 		
Update	16/08/17 – Leila Ainge (Resources Manager):- The PCC has now been in post for 12 months, they are therefore not newly elected and the potential threats associated to change have not been realised, however, the controls are in place and the potential impacts remain monitored. Current status: controls tasked.		

New risks

STR1991		Threat of cyber-attack on Leicestershire Police	
Responsible Officer	David Craig Head of IT	Impact/Likelihood	High/Medium
Date Recorded	19/06/17	Current Rating	Medium (6)
Category	Information Systems/Technology	Previous Rating	New Risk
Information	A cyber-attack can result in the compromise of the confidentiality, integrity and availability of the information systems, services and assets of the force potentially compromising operational effectiveness. The recent attack on the NHS was achieved by malicious software but other vectors include phishing, advanced persistent threats, social engineering and hacking. Attacks may or may not be targeted on the force and may be perpetrated by foreign national governments, terrorists, organised crime groups, hackers or employees.		
Impact	Depending upon the sophistication and scale of attack, there will be varying impacts that may include denial of service, loss or disclosure of information and the loss of ability to share information and potentially compromising operational effectiveness leading to harm and reputational damage.		
Existing Controls	<ul style="list-style-type: none"> • Security incident management procedure • Accreditation processes for specific systems • Business continuity and disaster recovery planning • Technical perimeter controls and procedures such as firewalls and gateways • Technical internal control procedures i.e. hardening and patching • Protective monitoring including monitoring, auditing and reporting capability • Information security policy and supporting procedure and guidance • Training • Internal communications and publicity • Recruitment procedures including vetting, authorisation, access management • Management of contractors and volunteers • Physical security of buildings and assets • Information Security Officer 		
Update	<p>24/08/17 – David Craig:- This risk has been created following the recent cyber-attack upon the NHS. A number of patches were implemented immediately after that attack and there are a number of controls that are in place to both prevent such an attack or if successful, minimise the impact and scale of attack. Current status: managed.</p>		

STR1990		Risk of uncertainty of impact of IT TFC changes upon Leicestershire	
Responsible Officer	David Craig Head of IT	Impact/Likelihood	High/Low
Date Recorded	07/06/17	Current Rating	Low (3)
Category	Information Systems/Technology	Previous Rating	New Risk
Information	IT is an area being reviewed as part of the Tri-Force Collaboration. Each of the 3 forces had their own IT strategy, generated from an assessment of local need. However, a long term Tri-Force strategy is being devised to inform the future direction of travel, aligning the information services provided to forces.		
Impact	Until this plan has been agreed by all forces there is uncertainty – this includes what the governance structure may look like and how flexible the strategy will be for Leicestershire as an individual force. The Tri-Force plan will align the 3 forces for common approach, this brings uncertainty, which may present risk but also opportunity.		
Existing Controls	<ul style="list-style-type: none"> • Phil Eaton (IT Lead) meeting with COTs • Change Board • Tactical meetings • IT attendance at TFC • Engagement with Information Management 		

Additional Controls	<ul style="list-style-type: none"> • Strategy development
Update	<p>24/08/17 – David Craig:- The initial enabling work streams outlined in the business case is progressing well, indeed the video conferencing work stream is now able to deliver services. The ICT strategy also describes a structure and governance model for the ICT service and I ready for transition. However the Section 22 agreement giving the collaboration a legal basis has not been agreed leaving TFC without a current remit for the business change described in the TFC ICT strategy. Current status: controls tasked.</p>

Appendix B		Corporate Risk Register				24 th August 2017			
Reference	Owner	Title	Impact	Likelihood	Status	Recorded	Last review	Priority	Previous rating
STR1844	Helen Chamberlain Tri Force Collaboration	Failure to transition to the ESN.	Very High	High	Managed	August 2014	09/08/17	12	12
STR473	Mandy Bogle-Reilly Security Vetting Manager	Organisational risk of not complying with the ACPO national vetting policy.	High	Very High	Controls Tasked	March 2010	16/08/17	12	12
OPCC1696	Helen King Chief Finance Officer	Poor data quality leads to inefficient decision making in the OPCC and use of resources.	High	High	Controls Tasked	July 2013	16/08/17	9	9
STR1679	Caroline Barker Crime Registrar	Missed opportunities: failure to accurately record crime.	High	High	Controls Tasked	June 2013	24/08/17	9	9
STR1935	Jason Masters Chief Superintendent	Management of seized and found property provision.	High	High	Controls Tasked	June 2016	02/08/17	9	9
OPCC1694	Helen King Chief Finance Officer	Lack of resource and capacity available to OPCC.	High	High	Controls Tasked	July 2013	04/08/17	9	9
STR1954	Mick Graham Director of Intelligence	Failure of ANPR server resulting in loss of live feed.	Very High	Medium	Managed	January 2017	17/08/17	8	8
STR1949	Mick Graham Director of Intelligence	Inability to upload non crime statistics from Niche onto PND.	Very High	Medium	Managed	December 2016	16/08/17	8	8
STR1961	Michelle Chambers DBS Vetting Manager	Failure to upload information from Niche to the DBS PLX system.	Very High	Medium	Managed	March 2017	25/07/17	8	8
STR1922	Chris Cockerill Operations Lead Criminal Justice	Inability to adequately audit Niche.	Medium	Very High	Controls Tasked	October 2015	17/08/17	8	8
STR1940	Jason Ross Chief Inspector CMD	Failure to meet 101 call handling target.	Medium	High	Controlled	September 2016	17/07/17	6	8
STR1991	David Craig Head of IT	Threat of cyber-attack on Leicestershire Police.	High	Medium	Managed	June 2017	24/08/17	6	New Risk
STR1948	David Craig Head of IT	Resilience of LAN connectivity.	High	Medium	Controls Tasked	December 2016	03/07/17	6	6
STR1947	David Craig Head of IT	Resilience of WAN connectivity.	High	Medium	Controls Tasked	September 2016	03/07/17	6	6
STR1953	Alex Stacey-Midgley Senior HR Business Partner	Risk of significant change following implementation of Hay Review.	High	Medium	Controls Tasked	December 2016	30/05/17	6	6
STR1936	Andy Elliott Head of Change	Impact of Tri-force Collaboration on local Change Programme.	High	Medium	Managed	June 2016	16/08/17	6	6
STR1926	Simon Cure Head of Serious Crime	Quality of video recorded evidence.	High	Medium	Controlled	January 2016	09/03/17	6	6
STR1939	Andrew Rodwell Communications Manager	Transition to the new Contact Management phone platform.	High	Medium	Controlled	September 2016	09/08/17	6	6

STR420	Peter Coogan Head of Health and Safety	Management system for energy use.	High	Medium	Controls Tasked	February 2010	14/08/17	6	6
STR1801	Alison Naylor HR Director	Ability to meet mandatory training requirements.	Medium	High	Controlled	June 2014	30/05/17	6	6
STR1329	Andy Elliott Head of Change	Transforming services – meeting the budget challenge for 2020.	High	Medium	Controls Tasked	February 2012	16/08/17	6	6
STR1910	Jason Ross Contact Management	Lack of resilience and foreseeable attrition in RTI-PNC compromises service.	High	Medium	Controlled	August 2015	21/08/17	6	2
STR1917	Paul Hooseman Information Manager	Failure to comply with the 'Building the Picture' HMIC recommendations.	Medium	Medium	Controls Tasked	August 2015	26/06/17	4	4
STR1946	Paul Hooseman Information Manager	Adoption of EU General Data Protection Regulations and Directive in May 2018.	Medium	Medium	Controls Tasked	November 2016	10/08/17	4	2
STR1519	Paul Hooseman Information Manager	RMADS management for information security.	Medium	Medium	Controls Tasked	June 2012	26/06/17	4	4
STR1916	Paul Hooseman Information Manager	Failure to comply with the ICO recommendations - records management.	Medium	Medium	Controls Tasked	August 2015	26/06/17	4	4
STR11	Alison Naylor HR Director	Potential for industrial action affecting our service.	Medium	Medium	Controlled	October 2007	30/05/17	4	4
OPCC1700	Helen King Chief Finance Officer	Failure to maintain relationships with key partners.	Medium	Medium	Controls Tasked	July 2013	16/08/17	4	4
OPCC1690	Helen King Chief Finance Officer	Failure to consult and engage sufficiently with the public.	Medium	Medium	Controls Tasked	July 2013	16/08/17	4	4
STR1521	Simon Hurst Professional Standards	Criminal behaviour/impropriety by staff.	Medium	Medium	Controls Tasked	July 2012	02/08/17	4	4
STR508	Adam Streets Head of Corporate Services	Failure to meet requirements of the Police and Crime Plan.	Medium	Medium	Controlled	April 2010	09/08/17	4	4
STR1706	Alison Naylor HR Director	Loss/absence/churn of key personnel.	Medium	Medium	Controlled	August 2013	30/05/17	4	4
STR533	Jason Masters Chief Superintendent	The fair and effective use of stop and search to promote confidence.	Medium	Medium	Controls Tasked	June 2010	02/08/17	4	4
OPCC1698	Helen King Chief Finance Officer	Failure to provide governance to all East Midlands police collaboration projects.	Medium	Medium	Controls Tasked	July 2013	16/08/17	4	4
OPCC1864	Helen King Chief Finance Officer	Impact of changes in legislation on the PCC.	Medium	Medium	Controls Tasked	October 2014	16/08/17	4	4
OPCC1699	Helen King Head of Commissioning	Failure to produce and maintain a commissioning framework.	Medium	Medium	Controls Tasked	July 2013	16/08/17	4	4
STR1945	Paul Hooseman Information Manager	Freedom of information requests – demand v capacity.	Low	High	Controls Tasked	November 2016	01/08/17	3	3
STR1764	David Craig Head of IT	Accreditation for the use of the PSN.	High	Low	Controlled	January 2014	04/08/17	3	3
STR564	Simon Cure Head of Serious Crime	Management of MFH enquiries.	High	Low	Controlled	August 2010	09/03/17	3	3

STR1571	Simon Cure Head of Serious Crime	Genie/DASH not being used correctly resulting in incorrect risk assessments.	High	Low	Managed	September 2012	09/03/17	3	3
STR458	Simon Cure Head of Serious Crime	Failure to protect vulnerable persons.	High	Low	Controlled	March 2010	09/03/17	3	3
STR520	Adam Streets Head of Corporate Services	Governance of collaborative arrangements.	High	Low	Controlled	May 2010	09/08/17	3	3
STR253	David Craig Head of IT	High risk of virus introduction and data loss.	High	Low	Controls Tasked	July 2009	06/06/17	3	3
STR1990	David Craig Head of IT	Risk of uncertainty of impact of IT changes upon Leicestershire	Low	High	Controls Tasked	June 2017	24/08/17	3	New Risk
STR310	David Sandall Head of Crime and Intelligence	Failure to recognise and respond to critical incidents and 'learn lessons'.	Medium	Low	Controlled	November 2009	21/07/17	2	2
STR1915	Paul Hooseman Information Manager	Failure to comply with the ICO recommendations - asset owners.	Medium	Low	Controls Tasked	August 2015	26/06/17	2	2
STR430	Lynne Woodward Head of Equalities	Inquiry into disability related harassment.	Medium	Low	Managed	March 2010	02/08/17	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	16/05/17	2	2
STR1623	Mick Graham Director of Intelligence	Preparing for new communities, travelling and foreign national offending.	Medium	Low	Controlled	February 2013	31/05/17	2	2
OPCC1695	Helen King Chief Finance Officer	Failure to deliver Police and Crime Plan during period of reducing funding.	Low	Low	Controls Tasked	July 2013	16/08/17	1	4
STR1475	Shane O'Neill Local Policing Lead	Limited ability to collate ASB incidents onto SENTINEL.	Low	Low	Controls Tasked	May 2012	16/08/17	1	1

New risk	Risk of note
----------	--------------

Risk Scoring Matrix

Impact							
Score	Performance/ Service Delivery	Finance/ Efficiency £	Confidence/Reputation	Health and Safety	Environment	Strategic Direction	
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.	
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.	
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.	
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

This page is intentionally blank.