

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

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Report of	OFFICES OF CHIEF CONSTABLE AND POLICE AND CRIME COMMISSIONER
Subject	RISK REGISTER
Date	TUESDAY 11 DECEMBER 2018 – 10:00AM
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Purpose of report

1. To provide JARAP with an update on the corporate risk register, highlighting high priority, newly registered risks, risks of note and archived risks.

Recommendation

2. The panel is recommended to review:
 - the contents of this report and the updates provided in respect of both high priority risks and risks of note
 - the addition of 5 new risks following the submission of the Force Management Statement
 - those risks that SORB supports for archiving.

Summary

3. The force Strategic Organisational Risk Board (SORB), chaired by the DCC, provides internal oversight and governance for all strategic level risks facing the force. Key senior stakeholders, from across the force, to include the OPCC are members.
4. OPCC risks are overseen by the Head of Governance and Assurance and presented to the Senior Management Team within the Office of the Police and Crime Commissioner.
5. A new risk and business continuity advisor, Kim Hambly, is due to join the organisation on the 14th January 2019. Until then her role will continue to be supported by the Health and Safety Advisor, Matthew Jones.
6. Following a comprehensive review of strategic risks, at SORB on the 18th September, the Chair supported the archiving of 22 risks as outlined at Appendix D. At that same meeting it was agreed that 5 new risks should be added based on the outcomes of the recent Force Management Statement. These can be found at Appendix A.

- SORB met again, on the 14th November 2018, to review progress against all current risks, consider the addition of any new risks and any proposals for archiving. At that meeting no new risks were added but one risk, STR1706 (Loss/absence/churn of key personnel), has been supported for archiving. This can be found at Appendix A.

Risk Grading Criteria

- 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.
- 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

- 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'.

Risk Management System update

- The Principal Health and Safety Advisor has been working with the Risk Manager and IT department from Derbyshire Police to carry out user acceptance testing of the new risk management system, 'Keto'. Work continues to ensure the system is fit for purpose with proposed implementation in the New Year.

Overview of Current Strategic risks

12. There are currently 24 police strategic risks and 8 OPCC strategic risks on the corporate risk register. There are 6 high priority risks and 1 risk of note as outlined within Appendix A.
13. 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	2	2	4	1
	High	0	2	3	1
	Medium	0	2	3	3
	Low	0	0	0	1

The full summary corporate risk register is attached as Appendix B.

Appendices

Appendix A: High priority risks and risks of note

Appendix B: Summary corporate risk register

Appendix C: Risk scoring matrix

Appendix D: Risks supported for removal from the strategic risk register

Persons to contact

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Appendix A – Strategic Risks

High priority risks

STR380		Current JES unlikely to meet Equal Opportunities criteria	
Responsible Officer	Alex Stacey-Midgley Senior HR Business Partner	Impact/Likelihood	Very High/High
Date Recorded	06/01/10	Current Rating	High (12)
Category	People (staff and community)	Previous Rating	High (12)
Information	Leicestershire Police are currently involved in a Hay Review Project. The second phase of this project is aligning the hay scores for each job to pay scales. There is a fear that if there is significant change to people's pay and the salaries budget a number of risks could be emerge. These include; an increase in the salary bill resulting in future redundancies to accommodate the cost, decrease in an individual's salary could result in them wanting to take action e.g. to leave and claim constructive dismissal, being unable to agree the new salary bands with the TU and them seeking to raise a formal dispute with the employer (e.g. potential strike action), individuals reporting sick en masse rather than leaving and claiming constructive dismissal. JES does not meet with the EOC criteria. This particularly relates to: Linked grades, gender, equal pay, & age discrimination.		
Impact	Should a claim be made against the Force and a finding made against us, the claims could be substantial; particularly over generic roles. There is a significant financial risk associated to the findings of the review being implemented There is a risk that these changes will impact upon staff performance, with people taking increased sickness absence or providing a lesser quality of service. In addition, the perception from the public about the changes and the impact on our ability to deliver services.		
Existing Controls	<ul style="list-style-type: none"> • Project plan in place • Project budget in place • Formal consultation with unions • Trained evaluators • Quality assurance from project team • Communications messages • Comms plan • Intrusive management of the JES • Consideration of other JE schemes • Force Equal Pay Review 		
Additional Control	<ul style="list-style-type: none"> • Implementation of the Hay Scheme • Hay project team 		
Update	16/10/18 – Alex Stacey-Midgley: There has been no change. The first consultation meeting with the Trade Union is on 24/10/18 but will only be to discuss the agenda for future meetings. Current status: Controls Tasked		

STR2006		Management of Archive provision	
Responsible Officer	Jason Masters Assistant Chief Constable	Impact/Likelihood	High/High
Date Recorded	03/10/17	Current Rating	High (9)
Category	Operational/Performance	Previous Rating	High (9)
Information	The current Archive provision lacks resilience through adequate governance, policy and procedure and staffing establishment. Items received from across the force, including crime case files, interview tapes and pocket notebooks are not always catalogued or stored in a methodical manner, case files are separated and difficult to re-locate owing to system legacy issues and review, retention and disposal		

	processes are fragmented and not NRAC compliant. Retrieval of records for further investigation or review is difficult. There are also over 200,000 evidential interview cassette tapes that have not been digitised and are degrading, with some being unreadable. With this risk there is an opportunity to significantly improve the current service provision.
Impact	There is an operational impact of records/items found to be missing or un-locatable, which may be required for investigation purposes or case review. The current system provides little assurance that our obligations under MOPI are being met. This presents a significant reputational risk to the force.
Additional Controls	<ul style="list-style-type: none"> • Archive review project • New Force data manager and 6 RRD staff • Proposed regional MOPI RRD procedure • Archive provision moving to shared property new build • Centralised structure incorporated into the Evidential Property Team
Update	<p>09/10/18 – Jez Leavesley (Project Manager)</p> <p>An archives RRD procedure has been completed and submitted to DCC Nixon (END Sept 2018). Further work is being completed at the request of DCC Nixon on risk assessing and prioritising disposal of records prior to a final decision. The responsibility for this overall risk sits jointly between the Information Management MoPI team and the Archives team. Operation Halo2 archives aims to prepare operational archives for transfer to the EPAC centre in June 2019.</p> <p>This involves reviewing, cataloguing, scan and bin, dating and grading all undetected crime files at Mansfield house archive store and files where offences are to be prosecuted or have been prosecuted at Tigers Road. It also involves reviewing potentially 100,000 back record converted crimes from CIS that have been MoPI graded by the regional RRD team, locating the relevant files & media material, retrieving the specific files and preparing them for disposal subject to IICSA/UCPI approval. This operation requires staff. 2 full time MoPI staff are to be provided. A business case for 3 full time temporary staff for 12 months has been submitted to the October Change board and approved.</p> <p>Current status: Controls tasked</p>

STR1679		Missed opportunities: failure to accurately record crime	
Responsible Officer	Lou Cordiner Chief Inspector	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>11/10/18 – Darren Goddard/Caroline Barker</p> <p>We have now delivered training to 765 staff.</p>		

	<p>HMICFRS visited the Force in September for the audit part of the CDI 2 tier inspection and returned on 8th, 9th and 10th of October to complete their fieldwork.</p> <p>We are awaiting the outcome of the hot debrief on 13/11/18 with the report being published early 2019.</p> <p>20/11/18 – Caroline Barker</p> <p>On the 8th November HMICFRS provided the force with a CDI debrief ahead of a draft report being submitted to the Force by 22nd November for factual accuracy checks prior to publication of the final report in January 2019.</p> <p>Early feedback suggests that HMICFRS have found that the force has made improvements to its crime recording arrangements since their inspection in 2017 and they acknowledge the work undertaken to improve our CDI compliance. They have outlined a number of areas where the force still needs to make improvements and these will be further refined and provided to the force in the final report in the new year.</p> <p>Current status: controls tasked</p>
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OPCC1696	Poor data quality leads to inefficient decision making in the OPCC and use of resources		
Responsible Officer	Angela Perry Head of Governance & Assurance	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	<p>28/03/18 – Nish Padhiar (Assurance Officer):- This risk has received an interim review, whilst a risk identification process is being planned when new emerging threats and opportunities will be benchmarked against all existing OPCC risks.</p> <p>Current status: controls tasked</p>		

Risks of note – Recommendation to archive

STR1706	Loss/absence/churn of key personnel		
Responsible Officer	Alison Naylor HR Director	Impact/Likelihood	Medium/ Medium
Date Recorded	16/08/13	Current Rating	Low (4)
Category	Governance	Previous Rating	Low (4)
Information	The absence, loss, or churn of key personnel from the organisation.		
Impact	This may cause disruption to business, impact on our ability to deliver our services, loss of continuity of key relationships and change of strategic direction.		
Existing Controls	<ul style="list-style-type: none"> • Accountability of the Force • Facility to Act staff up • Monitoring of Attrition rates • Review of key roles • Regional support • Clearly recording decision making • Governance structure 		
Update	<p>23/10/18 – Sara-Jane Coxon Ali Naylor recommends that this risk is now removed due to its age, and that as more specific risks in this area are highlighted, they would be raised. In addition this risk is linked to the FMS threat STR-FMS-2 concerning workforce numbers (see new risk below). Current Status: Controlled</p>		

New risks added

Five new risks have been added following the new Force Management Statement, as agreed at the last SORB.

STR-FMS-1	Increased demand		
Responsible Officer	Jason Masters ACC	Impact/Likelihood	Very High/High
Date Recorded	01/11/18	Current Rating	High (12)
Category	Governance	Previous Rating	N/A
Information	Crime and non-crime demand increases year on year affecting capacity/capability in first response, investigation, neighbourhood policing and specialist teams. This is not sustainable with current resources, processes and technology. The demand increase is from changes in the nature of crime, its complexity and a general rise in volume. A Force Management Statement was undertaken in 2017. 29 out of the 57 identified threats were due to demand changes, including increased violent crime.		
Impact	<ul style="list-style-type: none"> • Investigations take longer • Reduction in what can be investigated • Skills set don't keep up with changes • Poor perception from public/lack of public confidence • Reduced ability to deliver services • Increased demand on specialist teams 		
Existing Controls	<ul style="list-style-type: none"> • Blueprint 2025 • Overseen by Demand Board and Strategic PDG • Quarterly updates from FMS/threat owners • Improvements in how crime is reported/technology investment, Pronto • Prioritisation/assessment of work (EMSOU-FS, POLIT, THRIVE) • Improved software on demand gaps and crime type (Process Evolution) • Improved work with partners to reduce/remove non-police demand • VIP support to increase volunteers and recruit specialist skills • New supportive departments (e.g. Crime Bureau) and dedicated teams (e.g. Volume Fraud Team, Serious Harm Reduction Unit) • Supervising/monitoring of triage Sergeants in CMD • Specialist roles/training to reduce duplication • Shift pattern reviews 		

	<ul style="list-style-type: none"> • Training/upskilling (e.g. More Detectives, Solubility Factors) • Operations on high risk/volume crime area • Increased use of powers (e.g. stop Search) • Targeted strategies on Force Priorities (knife crime reduction, school education, safety advice to public, Heritage Watch etc) • Increased resources (PRT, Missing Persons Team) • Improved management of health and safety • Community Impact Assessments
Additional Controls	<ul style="list-style-type: none"> • Ongoing Blueprint 2025 work • Refocus and prioritise commissioning of forensic analysis (FMS20) • Reducing the number of investigations on the queues of POLIT investigators FMS24) • Continued alignment of processes and resources in CSE (FMS36) • Demand Board paper to manage RSO increase through policy change or increased resourcing (FMS45) • Design Authority • Developing service offer work
Update	<p>01/11/18 – Matt Jones New risk created with assistance from Dee Singh and Suzanne Nichols. Suzanne requests regular updates from the FMS threat owners and will update SORB through this report. Current Status: Controls Tasked</p>

STR-FMS-2	Workforce numbers and Skills		
Responsible Officer	Rob Nixon DCC/Andy Elliot	Impact/Likelihood	Very High/Medium
Date Recorded	01/11/18	Current Rating	Medium (8)
Category	Governance	Previous Rating	N/A
Information	Threats of sufficient skill, capability, capacity and flexible agility to meet new demands. This is compounded by higher levels of attrition than previously experienced, whilst still restricted by historic regulations. A Force Management Statement was undertaken in 2017. 21 out of the 57 identified threats were due to workforce numbers.		
Impact	<ul style="list-style-type: none"> • Financial pressures • Limited workforce capacity • Insufficient skill, capability and flexible agility • Increased attrition • Decreased service in other areas 		
Existing Controls	<ul style="list-style-type: none"> • Blueprint 2025 • Business Process Re-engineering Board • Quarterly updates from FMS/threat owners • Support from volunteers including Specials • Review of NIU structure • Upskilling of NIU and DC recruitment process • Digital Media Investigations Hub established • Volume Fraud Team to reduce active crime investigation in ECU • Victim Satisfaction survey • PVP training including how to safeguard victims • Increased establishment in MSHT • Improved management of health and safety • Design Authority • Strategic EST Board • ARM 		
Additional Controls	<ul style="list-style-type: none"> • Ongoing Blueprint 2025 work • Ensuring skills, numbers, hours worked and completion of accreditation of Specials (FMS09) • NIU shift pattern review (FMS11) • Addressing skills shortage potential in EMSOU-FS (FMS22) • Launch of LAC Pack to encourage better practice (FMS31) • Improving how the ART works (FMS38) 		
Update	<p>01/11/18 – Matt Jones New risk created with assistance from Dee Singh and Suzanne Nichols.</p>		

	Suzanne requests regular updates from the FMS threat owners and will update SORB through this report. Current Status: Controls Tasked
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STR-FMS-3	Evolving digital sophistication impacting on our technology requirements and the skills & abilities needed to undertake investigations		
Responsible Officer	Chris Baker/David Craig DCI	Impact/Likelihood	Very High/ Very High
Date Recorded	01/11/18	Current Rating	High (16)
Category	Governance	Previous Rating	N/A
Information	Criminal use of technology to enable crimes and the evolving digital sophistication of devices impacts on the skills and abilities needed to investigate crime and the length of time required to complete investigations.		
Impact	<ul style="list-style-type: none"> • Potential skills gap • Potential technology or infrastructure gaps • Difficulties in investigating crime • Longer time to complete investigations • Increased digitally enabled crime 		
Existing Controls	<ul style="list-style-type: none"> • Blueprint 2025 • Digital Technology Board • Quarterly updates from FMS/threat owners • Dedicated Digital Hub • National change programmes in support of enhancing force capability to deal with new and emerging technology enabled crime to include DII (Digital Intelligence and Investigation), Child Abuse Image Database, Biometrics, Mercury, digital forensics and specialist capability. 		
Additional Controls	<ul style="list-style-type: none"> • None 		
Update	01/11/18 – Matt Jones New risk created with assistance from Dee Singh and Suzanne Nichols. Suzanne requests regular updates from the FMS threat owners and will update SORB through this report. Current Status: Controls Tasked		

STR-FMS-4	The maintenance of workforce wellbeing		
Responsible Officer	Julia Debenham/Alex ACC	Impact/Likelihood	Very High/ Very High
Date Recorded	01/11/18	Current Rating	High (16)
Category	Governance	Previous Rating	N/A
Information	The maintenance of workforce well-being.		
Impact	<ul style="list-style-type: none"> • Fatigue and stress in staff • Increased absence • Reduced productivity • Increased presenteeism • Further decline in well-being • Loss of staff through resignation • Civil litigation and criminal enforcement • Capacity/capability not managed as demand increases • Inability to provided policing services due to lack of productivity/resource 		
Existing Controls	<ul style="list-style-type: none"> • Blueprint 2025 • Overseen by Workforce Wellbeing Board • Chief Officer lead • Wellbeing agenda and working group • EMSOU engagement • HR Wellbeing support • Training in TRiM, Mental Health First Aid, Health and Safety for managers • Chaplains • CiC and Occupational Health • Wellbeing SPOCS 		

	<ul style="list-style-type: none"> • Staff surveys • Management of health and safety including stress surveys and assessments
Additional Controls	<ul style="list-style-type: none"> • Role based stress surveys
Update	<p>01/11/18 – Matt Jones New risk created with assistance from Dee Singh and Suzanne Nichols. Suzanne requests regular updates from the FMS threat owners and will update SORB through this report. Current Status: Controls Tasked</p>

STR-FMS-5	Partnership		
Responsible Officer	Shane O'Neill Superintendent	Impact/Likelihood	Very High/Medium
Date Recorded	01/11/18	Current Rating	Medium (8)
Category	Governance	Previous Rating	N/A
Information	Impact on policing from budget reductions within partner agencies and the withdrawal of services from those agencies. 5 out of the 57 identified threats were due to partnership.		
Impact	<ul style="list-style-type: none"> • Funding pressures affecting willingness and ability to collaborate effectively with partners • Partners compromised • Impacts on services to the public and victims of crime 		
Existing Controls	<ul style="list-style-type: none"> • Blueprint 2025 • Overseen by Strategic Partnership Board and SPB Executive. • Community Safety Partnerships • Engagement with Home Office • Service agreement with YOS, Police and appropriate Adult Service • EMAS Working Group • Regional meeting at Director and Tactical level with agencies concerned with safeguarding. • Insp embedded in both City and County Council 		
Additional Controls	<ul style="list-style-type: none"> • Monitoring of Brexit (FMS21) • Multi-agency safeguarding hub (FMS28) • Intrusive supervision by Custody Inspectors regarding appropriate adult attendance (FMS29) • Remanded Children monthly meetings (FMS29) • SLA to be circulate to custody staff (FMS29) • CRC contracts renewal in 2020. Oversight of the Turning Point contract will provide opportunities to embed IOM as a service offer (FMS46) 		
Update	<p>01/11/18 – Matt Jones New risk created with assistance from Dee Singh and Suzanne Nichols. Suzanne requests regular updates from the FMS threat owners and will update SORB through this report. Current Status: Controls Tasked</p>		

Appendix B		Corporate Risk Register				16 th November 2018			
Reference	Owner	Title	Impact	Likelihood	Status	Recorded	Last review	Priority	Previous rating
STR-FMS-3	Chris Baker Detective Chief Inspector	Criminal use of technology	Very High	Very High	Awaiting Control	November 2018	01/11/18	16	New Risk
STR-FMS-4	Julia Debenham ACC	The maintenance of workforce wellbeing	Very High	Very High	Awaiting Control	November 2018	01/11/18	16	New Risk
STR380	Alex Stacey-Midgley Senior HR Business Partner	Current JES unlikely to meet Equal Opportunities Commission criteria	Very High	High	Awaiting Control	January 2010	16/10/18	12	12
STR-FMS-1	Jason Masters ACC	Increased demand	Very High	High	Awaiting Control	November 2018	01/11/18	12	New Risk
STR2006	Jason Masters Assistant Chief Constable	Management of archive provision.	High	High	Control Tasked	October 2017	09/10/18	9	9
OPCC1696	Angela Perry Head of Governance & Assurance	Poor data quality leads to inefficient decision making in the OPCC and use of resources.	High	High	Controls Tasked	July 2013	28/03/18	9	9
STR1679	Lou Cordiner Chief Inspector	Missed opportunities: failure to accurately record crime.	High	High	Controls Tasked	June 2013	11/10/18	9	9
STR1935	Jason Masters Assistant Chief Constable	Management of seized and found property provision.	Very High	Medium	Controls Tasked	June 2016	15/10/18	8	8
STR1949	Mick Graham Director of Intelligence	Inability to upload non crime statistics from Niche onto PND.	Very High	Medium	Managed	December 2016	26/10/18	8	8
STR-FMS-2	Rob Nixon DCC	Workforce numbers	Very High	Medium	Awaiting Control	November 2018	01/11/18	8	8
STR-FMS-5	Shane O'Neill Superintendent	Partnership	Very High	Medium	Awaiting Control	November 2018	01/11/18	8	8
STR2017	Nat Wignall Superintendent	Implementing the HMIC targeting the risk recommendations for firearms checks	Medium	High	Awaiting Control	April 2018	11/10/18	6	6
STR473	Mandy Bogle-Reilly Security Vetting Manager	Compliance with the ACPO vetting policy for the policing community.	High	Medium	Controls Tasked	March 2010	15/10/18	6	6
STR1991	Steve Morris Head of Information Security	Threat of cyber-attack on Leicestershire Police.	High	Medium	Managed	June 2017	16/10/18	6	6
STR1801	Alison Naylor HR Director	Ability to meet mandatory training requirements.	High	Medium	Controlled	June 2014	09/10/18	6	6
STR1329	Andy Elliott Head of Change	Transforming services – meeting the budget challenge for 2020.	High	Medium	Controls Tasked	February 2012	15/10/18	6	6
OPCC1690	Angela Perry Head of Governance & Assurance	Failure to consult and engage sufficiently with the public.	High	Medium	Controls Tasked	July 2013	01/03/18	6	6
STR1844	Ian Freeman IT Communications Manager	Failure to transition to the ESN.	Very High	Low	Managed	August 2014	11/10/18	4	4

STR1946	Steve Morris Information Manager	Adoption of EU General Data Protection Regulations and Directive in May 2018.	Medium	Medium	Controls Tasked	November 2016	16/10/18	4	4
STR11	Alison Naylor HR Director	Potential for industrial action affecting our service.	Medium	Medium	Controlled	October 2007	09/10/18	4	4
OPCC1700	Angela Perry Head of Governance & Assurance	Failure to maintain relationships with key partners.	Medium	Medium	Controls Tasked	July 2013	14/03/18	4	4
STR1706	Alison Naylor HR Director	Loss/absence/churn of key personnel.	Medium	Medium	Controlled	August 2013	23/10/18	4	4
OPCC1698	Angela Perry Head of Governance & Assurance	Failure to provide governance to all East Midlands police collaboration projects.	Medium	Medium	Controls Tasked	July 2013	14/03/18	4	4
OPCC1864	Angela Perry Head of Governance & Assurance	Impact of changes in legislation on the PCC.	Medium	Medium	Controls Tasked	October 2014	14/03/18	4	4
OPCC1699	Angela Perry Head of Governance & Assurance	Failure to produce and maintain a commissioning framework.	Medium	Medium	Controls Tasked	July 2013	28/03/18	4	4
OPCC1694	Angela Perry Head of Governance & Assurance	Lack of resource and capacity available to OPCC.	High	Low	Controls Tasked	July 2013	01/03/18	3	3
STR1910	Dan Pedley Contact Management	Lack of resilience and foreseeable attrition in RTI-PNC compromises service.	High	Low	Controlled	August 2015	02/11/18	3	3
STR1915	Steve Morris Information Manager	Failure to comply with the ICO recommendations - asset owners.	Medium	Low	Controls Tasked	August 2015	16/10/18	2	2
STR430	Lynne Woodward Head of Equalities	Inquiry into disability related harassment.	Medium	Low	Managed	March 2010	16/08/18	2	2
STR1623	Mick Graham Director of Intelligence	Preparing for new communities, travelling and foreign national offending.	Medium	Low	Controlled	February 2013	17/10/18	2	2
OPCC1695	Angela Perry Head of Governance & Assurance	Failure to deliver Police and Crime Plan during period of reducing funding.	Low	Low	Controls Tasked	July 2013	01/03/18	1	1
STR1475	Shane O'Neill Local Policing Lead	Limited ability to collate ASB incidents onto SENTINEL.	Low	Low	Controls Tasked	May 2012	11/10/18	1	1

Risk of note for archiving

Risk Scoring Matrix

Impact							
	Score	Performance/ Service Delivery	Finance/ Efficiency £	Confidence/Reputation	Health and Safety	Environment	Strategic Direction
Very High	4	Major disruption to service delivery. Major impact on performance indicators noticeable by stakeholders.	Force >1,000,000 Business area >150,000	Major stakeholder/investigations/longer lasting community concerns. Major reputational damage; adverse national media coverage > 7 days.	Death or a life changing injury.	Very high negative environmental impact (high amount of natural resources used, pollution produced, biodiversity affected).	Major impact on the ability to fulfil strategic objective.
High	3	Serious disruption to service delivery. Serious impact on performance indicators noticeable by stakeholders.	Force 251,000-1,000,000 Business area 41,000-150,000	Serious stakeholder/investigations/prolonged specific section of community concerns. Serious reputational damage; adverse national media coverage < 7 days.	An injury requiring over 24 hours hospitalisation and/or more than 3 days off work or a major injury as defined by the RIDDOR regulations.	High negative environmental impact (medium amount of natural resources used, pollution produced, biodiversity affected).	Serious impact on the ability to fulfil strategic objective.
Medium	2	Significant disruption to service delivery. Noticeable impact on performance indicators.	Force 51,000-250,000 Business area 11,000-40,000	Significant investigations/specific section of community concerns. Significant reputational damage; adverse local media coverage.	An injury requiring hospital/professional medical attention and/or between one day and three days off work with full recovery.	Medium negative environmental impact (low amount of natural resources used, pollution produced, biodiversity affected).	Significant impact on the ability to fulfil strategic objective.
Low	1	Minor disruption to service delivery. Minor impact on performance indicators.	Force <50,000 Business area <10,000	Complaints from individuals. Minor impact on a specific section of the community.	An injury involving no treatment or minor first aid with no time off work.	Low negative environmental impact (limited amount of natural resources used, pollution produced, biodiversity affected).	Minor impact on the ability to fulfil strategic objective.

Likelihood			
Score			
Very High	4	>75% chance of occurrence	Almost certain to occur
High	3	51-75% chance of occurrence	More likely to occur than not
Medium	2	25-50% chance of occurrence	Fairly likely to occur
Low	1	<25% chance of occurrence	Unlikely to occur

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

Ref	Risk Owner	Title	Impact	Likelihood	Current Score	Agreed action at SORB Sept 18
STR1961	Michelle Chambers DB Vetting Manager	Failure to upload information from Niche to the DBS PLX system.	Very High	Medium	8	Archived
STR1922	Dan Granger Inspector - Niche Team	Inability to adequately audit Niche	Medium	Very high	8	Removed (managed locally)
STR1953	Alex Stacey-Midgley Senior HR Business Partner	Risk of significant change following implementation of Hay Review	High	Medium	6	Archived (merged with STR380)
STR1939	Ian Freeman IT Comms Manager	Transition to new Contact Management phone platform	High	Medium	6	Archived
STR1926	Matt Ditcher Head of Serious Crime	Quality of video recorded evidence	High	Medium	6	Archived
STR420	Peter Coogan Head of Health and Safety	Energy use: environmental and financial risk	High	Medium	6	Removed (managed locally)
STR1954	Mick Graham Director of Intelligence	Failure of ANPR server resulting in loss of live feed	Very High	Low	4	Archived
STR1917	Steve Morris Head of Info Management	Failure to comply with 'Building the Picture' HMIC recommendations	Medium	Medium	4	Archived
STR1916	Steve Morris Head of Info Management	Failure to comply with ICO recommendations around records management	Medium	Medium	4	Removed (managed locally)
STR2007	Andrew Wroe Head of Estates	Continuity of power supply to FHQ site	High	Low	3	Archived
STR1940	Dan Pedley Chief Inspector - CMD	Failure to meet 101 call handling target	Low	High	3	Removed (managed locally)
STR1764	David Craig Head of IT	Accreditation for the use of the PSN	High	Low	3	Removed (managed locally)
STR458	Matt Ditcher Head of Serious Crime	Failure to protect vulnerable persons	High	Low	3	Removed (managed locally)
STR253	David Craig Head of IT	High risk of virus introduction and data loss	High	Low	3	Removed (managed locally)
STR1571	Matt Ditcher Head of Serious Crime	Genie/DASH not being used correctly resulting in incorrect risk assessments	High	Low	3	Removed (managed locally)

STR508	Adam Streets Chief Superintendent	Failure to meet requirements of the police and crime plan	Medium	Low	2	Archived
STR2009	Andy Elliott Head of Change	Reduced performance as a result of Force changes	Medium	Low	2	Removed (managed locally)
STR1975	Carol Hever Head of HR	Gateway upgrade project	Medium	Low	2	Archived
STR1519	Steve Morris Head of Info Management	RMADS resilience for information security	Medium	Low	2	Archived
STR1987	Emma Corns Volunteers Project Manager	Volunteer Police Cadets completing their DofE Awards Expeditions 'off site'	Medium	Low	2	Archived
STR1990	David Craig Head of IT	Risk of uncertainty of impact of IT TFC changes upon Leicestershire	Low	Low	1	Archived
STR310	David Sandall Head of Crime and Intel	Failure to recognise and respond to critical incidents and 'learn lessons'	Low	Low	1	Archived

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