| POLICE & CRIME COMMISSIONER FOR LEICESTERSHIRE JOINT AUDIT, RISK & ASSURANCE PANEL | Paper Marked C |
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| Report of | **OFFICES OF CHIEF CONSTABLE AND POLICE AND CRIME COMMISSIONER** |
| Subject | **RISK REGISTER** |
| Date | **WEDNESDAY 21st FEBRUARY 2018 – 10.00 A.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 6th November 2017 and was chaired by DCC Bannister. At this board the OPCC and JARAP were represented.

4. The 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.

**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 45 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 | 4 | 0 |
| | High | 1 | 3 | 10 | 9 |
| | Medium | 1 | 0 | 12 | 6 |
| | Low | 0 | 1 | 0 | 5 |

There are 5 high priority risks and 4 risks of note.  All of these risks are outlined within Appendix A.  Since the last JARAP meeting, there have been no new or archived risks.

The full corporate risk register is attached as Appendix B.

**Implications**

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| *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. |
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| *Equality impact assessment* | **STR430 – Disability related harassment.**<br>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**

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**Appendix A – Strategic Risks**

**High risks**

| STR1844 | Failure to transition to the ESN | | |
|---|---|---|---|
| Responsible Officer | Helen Chamberlain<br>Chief Superintendent<br>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 | 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 | | |

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| | 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><li>Purchase of repair credits for existing Sepura Airwave radios.</li><li>Monitoring of Airwave performance</li><li>COT oversight</li><li>Maintaining close contact with national police project team</li><li>Regional Airwave user group</li><li>Regional coordination and strategic oversight</li><li>Tri Force Programme</li><li>ICCS infrastructure upgrade</li></ul> |
| Update | **26/01/18 – Sally Brooks (TFC ESN Project Manager):-**<br>The transition plan is due to be released in Spring 2018, however, it is expected in Autumn 2018. A new Regional Devices/Apps Work Stream Lead has been identified and will be in post by Feb 2018. A regional communications strategy/plan has been approved with an emergency services stakeholder event scheduled for March 2018.<br>**Current status: managed.** |

| STR473 | Organisational risk of not complying with the ACPO policy | | |
|---|---|---|---|
| Responsible Officer | Mandy Bogle-Reilly<br>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 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 operational security, corruption and reputation. | | |
| Existing Controls | <ul><li>Centralisation of vetting within PSD</li><li>Review of the force vetting function</li><li>Priority EMOpSS vetting</li><li>Renewal procedure for CTC introduced</li><li>Compliance with policy for all new employees</li><li>Operational security</li><li>New starters vetted per ACPO policy</li><li>Business Case Implementation 2015</li></ul> | | |
| Additional Controls | <ul><li>Ensure all staff are vetted in line with policy</li><li>All staff to be subject of aftercare / review</li></ul> | | |
| Update | **31/01/18 – Mandy Bogle-Reilly:-**<br>Since the beginning of the month, 3 full time Vetting Researchers have been working on the project. Decision made to withdraw the admin function offered to Special Branch beyond the 2nd Feb 2018, due to the impact this was having on BAU and the Project. If the numbers of vetting remain consistent the project is on target for completion in Nov 2019.<br>**Current status: controls tasked.** | | |
| STR2006 | Management of Archive provision | | |
| Responsible Officer | Jason Masters<br>Chief Superintendent | 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. |
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| 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 | • Archive review project<br>• New Force data manager and 6 RRD staff<br>• Proposed regional MOPI RRD procedure<br>• Archive provision moving to shared property new build<br>• Centralised structure incorporated into the Evidential Property Team |
| Update | **31/01/18 – Jez Leavesley (Project Manager):-**<br>There are currently groups of staff working in Archives sitting within different directorates and work is being done to bring them together, consolidated within the broader property team.  The policy and procedure is currently being scoped – this will include how the MOPI compliance team and the archives staff align their practises to ensure compliance to both the force procedure and MOPI requirements.<br>**Current status: controls tasked.** |

| STR1679 | Missed opportunities: failure to accurately record crime | | |
|---|---|---|---|
| Responsible Officer | Johnny Starbuck<br>D/Superintendent | 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 | • Audit of 'STORM' incidents within CMD – compliance check<br>• Audit schedule – conducted by the Service Improvement Unit<br>• Monthly Crime Integrity Meeting<br>• Crime Integrity Sub Group Meetings<br>• Communication plan<br>• Get it Right 1st Time – Gold Group<br>• HMIC inspection<br>• Introduction of the Investigative Management Unit | | |
| Additional Controls | • Crime Integrity delivery plan | | |
| Update | **31/01/18 – Jonny Starbuck:-**<br>Work continues with the 42 strand plan – national best practise scanning was carried out to inform this plan.  Staff that are working on identifying and rectifying issues has increased from 3 to 10 people.  We have the ongoing audit regime in place to monitor improvement and the anecdotal feedback from staff that fewer crimes are being missed around vulnerability.  Residual risks remain around incident to crime conversion in CMC, with most commons missed crimes being low level assault, public order and minor criminal damage.<br>**Current status: controls tasked.** | | |
| OPCC1696 | Poor data quality leads to inefficient decision making in the OPCC and use of resources | | |
| Responsible Officer | Angela Perry<br>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 | • Data quality audits undertaken by HMIC<br>• Systems in place for providing good quality financial information<br>• Additional scrutiny applied by SAB | | |

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| | • Identify and communicate data requirements to the force<br>• Ongoing data audit and assurance programme<br>• Review the findings of recent data quality audits to understand current position<br>• Regular reports on data quality to appropriate forums<br>• Review performance and information requirements to meet PCC's priorities<br>• Detailed action plan review at June SAB meeting<br>• PCC update to Police and Crime Panel in July 2017 |
| Additional Controls | • HMIC effectiveness audit reviewed<br>• Force action plan requested by PCC at each SAB meeting<br>• HMIC data integrity audit underway<br>• Hot debrief and full report awaited<br>• Force to review internal audit methodology to ensure it reflects HMIC methodology |
| Update | **31/01/18 – Nish Padhiar (Assurance Officer):-**<br>The existing controls remain in place with work continuing with the additional controls. The Force action plan is presented at each SAB and until the end of March 2018<br>**Current status: controls tasked.** |

## Risks of note

| STR380 | Current job evaluation scheme unlikely to meet Equal Opportunities Commission | | |
|---|---|---|---|
| Responsible Officer | Alex Stacey-Midgley<br>Senior HR Business Partner | Impact/Likelihood | Medium/Low |
| Date Recorded | 06/01/10 | Current Rating | Low (2) |
| Category | People (Staff & Community) | Previous Rating | High (12) |
| Information | Following a review of the Force Job Evaluation Scheme (JES) - the JES does not meet with the EOC criteria. This particularly relates to: Linked grades, gender, equal pay, & age discrimination. Should a claim be made against the Force and a finding made against us, the claims could be substantial; particularly over generic roles. As a result the Hay Scheme of job evaluation has been undertaken. The findings are now being assessed and shared with Union groups. | | |
| Impact | There is a significant financial risk associated to the findings of the review being implemented. | | |
| Existing Controls | • Existing Control Name<br>• Intrusive management of the JES<br>• Consideration of other JE Schemes<br>• Force Equal Pay Review | | |
| Additional Controls | • Implementation of the Hay Scheme | | |
| Update | **31/01/18 – Alex Stacey-Midgley:-**<br>This risk is associated to the non-compliance of the current job evaluation scheme with Equality Legislation. This has been the case for some time and whilst low there is the risk that a claim could be made against the force until the new scheme is fully implemented. The uncertainty and potential threat associated to implementation of this new scheme is captured within a separate risk therefore the focus on this risk can remain on the existing scheme and the specific threat associated to it.<br>**Current status: managed.** | | |

| STR2009 | Reduced performance as a result of Force changes | | |
|---|---|---|---|
| Responsible Officer | Andy Elliott<br>Head of Change | Impact/Likelihood | High/Low |
| Date Recorded | 24/10/17 | Current Rating | Low (3) |
| Category | Operational/Performance | Previous Rating | Medium (6) |
| Information | Changes are being made to the Force operating model to bridge the gap between increased demand and reduced resource. There is a risk that these changes may not be successful if there is increased demand in areas that the model has not been designed to respond to. | | |
| Impact | If the Force is unable to meet demand in certain areas this may impact upon operational capability, performance and reputation. | | |
| Existing Controls | • Performance measures<br>• Force Change Team | | |

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| | • Change Board<br>• COT oversight |
| Update | **03/01/18 – Andy Elliott:-**<br>Darwin has now been implemented, which consisted of significant change. Performance continues to be monitored via the gold group and PDG and there have been no concerns around performance as a result of changes. We are now entering a steady state and the risk is currently low.<br>**Current status: controlled.** |

| STR1948 | Resilience of LAN connectivity | | |
|---|---|---|---|
| | David Craig<br>Head of IT | Impact/Likelihood | High/Low |
| Date Recorded | 13/12/16 | Current Rating | Low (3) |
| Category | Information Systems/Technology | Previous Rating | Medium (6) |
| Information | Following the flood in Admin 2, there is just one Local Area Network (LAN) node providing network services to headquarters.  Whilst we have physical controls (Air Con, Uninterrupted Power Supply, fire protection and physical access) in place to protect the service, we have reduced resilience until a further node can be restored in Admin 2. | | |
| Impact | Having just one LAN node creates vulnerability for headquarters networking. If this fails or the physical controls do not behave as expected the ability to maintain critical functions will be compromised. | | |
| Existing Controls | • BC plans<br>• Network maintenance contract<br>• Change control process<br>• DR plans<br>• Engagement with Estates around restoration of Admin 2<br>• Physical controls (UPS, AC, fire and physical)<br>• Preservation of Comms server room | | |
| Additional Controls | • Reinstate resilient node at Force headquarters | | |
| Update | **01/01/18 – David Craig:-**<br>All controls are complete and normal service has been restored.  I have reduced the likelihood of occurrence as a result and recommend that this is now closed.<br>**Current status: controls tasked.** | | |

| STR1947 | Resilience of WAN connectivity | | |
|---|---|---|---|
| Responsible Officer | David Craig<br>Head of IT | Impact/Likelihood | High/Low |
| Date Recorded | 12/09/16 | Current Rating | Low (3) |
| Category | Information Systems/Technology | Previous Rating | Medium (6) |
| Information | Following the flood in Admin 2, there is just one Wide Area Network (WAN) link providing connectivity for headquarters and the wider force.  Work is being completed to reinstate the service with Virgin Media to reroute the existing fibre and terminate it in HQ Comms. This will be an interim measure until it can be restored in Admin 2. | | |
| Impact | Having just one WAN link creates vulnerability issues for the force as there is no resilience.  If the remaining WAN link fails the force will be unable to access critical systems based at Force HQ. | | |

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| Existing Controls | • Engagement with Virgin Media<br>• Engagement with contractors to make them aware<br>• DR plans<br>• BC plans<br>• Change control process<br>• Network maintenance contract<br>• Service level agreement with suppliers<br>• WAN link temporarily restored to HQ CR1 & 4 data centre |
| Additional Controls | • Reinstate resilient node at Force headquarters |
| Update | **23/01/18 – David Craig:-**<br>All controls are now in place; full service has been restored and tested.<br>**Current status: controls tasked.** |

| | Appendix B | Corporate Risk Register | | | | | | 31st January 2018 | | |
|---|---|---|---|---|---|---|---|---|---|---|
| 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 | 26/01/18 | 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 | 31/01/18 | 12 | 12 |
| STR2006 | Jason Masters Assistant Chief Constable | Management of archive provision. | High | High | Control Tasked | October 2017 | 31/01/18 | 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 | 31/01/18 | 9 | 9 |
| STR1679 | Johnny Starbuck D/Superintendent | Missed opportunities: failure to accurately record crime. | High | High | Controls Tasked | June 2013 | 31/01/18 | 9 | 9 |
| STR1954 | Mick Graham Director of Intelligence | Failure of ANPR server resulting in loss of live feed. | Very High | Medium | Managed | January 2017 | 31/01/18 | 8 | 8 |
| STR1935 | Jason Masters Assistant Chief Constable | Management of seized and found property provision. | Very High | Medium | Controls Tasked | June 2016 | 31/01/18 | 8 | 8 |
| STR1949 | Mick Graham Director of Intelligence | Inability to upload non crime statistics from Niche onto PND. | Very High | Medium | Managed | December 2016 | 20/11/17 | 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 | 06/11/17 | 8 | 8 |
| STR1922 | Chris Cockerill Operations Lead Criminal Justice | Inability to adequately audit Niche. | Medium | Very High | Controls Tasked | October 2015 | 07/12/17 | 8 | 8 |
| OPCC1694 | Angela Perry Head of Governance & Assurance | Lack of resource and capacity available to OPCC. | High | Medium | Controls Tasked | July 2013 | 31/01/18 | 6 | 6 |
| STR1991 | David Craig Head of IT | Threat of cyber-attack on Leicestershire Police. | High | Medium | Managed | June 2017 | 28/11/17 | 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 | 19/01/18 | 6 | 6 |
| STR1926 | Simon Cure Head of Serious Crime | Quality of video recorded evidence. | High | Medium | Controlled | January 2016 | 31/10/17 | 6 | 6 |
| STR1939 | Andrew Rodwell Communications Manager | Transition to the new Contact Management phone platform. | High | Medium | Controlled | September 2016 | 20/11/17 | 6 | 6 |
| STR420 | Peter Coogan Head of Health and Safety | Management system for energy use. | High | Medium | Controls Tasked | February 2010 | 03/11/17 | 6 | 6 |
| STR1801 | Alison Naylor HR Director | Ability to meet mandatory training requirements. | High | Medium | Controlled | June 2014 | 19/01/18 | 6 | 6 |
| STR1329 | Andy Elliott Head of Change | Transforming services – meeting the budget challenge for 2020. | High | Medium | Controls Tasked | February 2012 | 03/01/18 | 6 | 6 |

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|---|---|---|---|---|---|---|---|---|---|
| STR1910 | Jason Ross<br>Contact Management | Lack of resilience and foreseeable attrition in RTI-PNC compromises service. | High | Medium | Controlled | August 2015 | 10/01/18 | 6 | 6 |
| OPCC1690 | Angela Perry<br>Head of Governance & Assurance | Failure to consult and engage sufficiently with the public. | High | Medium | Controls Tasked | July 2013 | 31/01/18 | 6 | 6 |
| STR1917 | Steve Morris<br>Information Manager | Failure to comply with the 'Building the Picture' HMIC recommendations. | Medium | Medium | Controls Tasked | August 2015 | 31/01/18 | 4 | 4 |
| STR1946 | Steve Morris<br>Information Manager | Adoption of EU General Data Protection Regulations and Directive in May 2018. | Medium | Medium | Controls Tasked | November 2016 | 08/01/18 | 4 | 4 |
| STR2008 | Andy Elliott<br>Head of Change | Impact of Darwin implementation. | Medium | Medium | Controls Tasked | October 2017 | 03/01/18 | 4 | 4 |
| STR1916 | Steve Morris<br>Information Manager | Failure to comply with the ICO recommendations - records management. | Medium | Medium | Controls Tasked | August 2015 | 31/01/18 | 4 | 4 |
| STR11 | Alison Naylor<br>HR Director | Potential for industrial action affecting our service. | Medium | Medium | Controlled | October 2007 | 19/01/18 | 4 | 4 |
| OPCC1700 | Angela Perry<br>Head of Governance & Assurance | Failure to maintain relationships with key partners. | Medium | Medium | Controls Tasked | July 2013 | 31/01/18 | 4 | 4 |
| STR508 | Adam Streets<br>Head of Corporate Services | Failure to meet requirements of the Police and Crime Plan. | Medium | Medium | Controlled | April 2010 | 20/11/17 | 4 | 4 |
| STR1706 | Alison Naylor<br>HR Director | Loss/absence/churn of key personnel. | Medium | Medium | Controlled | August 2013 | 19/01/18 | 4 | 4 |
| STR533 | Jason Masters<br>Assistant Chief Constable | The fair and effective use of stop and search to promote confidence. | Medium | Medium | Controls Tasked | June 2010 | 31/01/18 | 4 | 4 |
| OPCC1698 | Angela Perry<br>Head of Governance & Assurance | Failure to provide governance to all East Midlands police collaboration projects. | Medium | Medium | Controls Tasked | July 2013 | 31/01/18 | 4 | 4 |
| OPCC1864 | Angela Perry<br>Head of Governance & Assurance | Impact of changes in legislation on the PCC. | Medium | Medium | Controls Tasked | October 2014 | 31/01/18 | 4 | 4 |
| OPCC1699 | Angela Perry<br>Head of Governance & Assurance | Failure to produce and maintain a commissioning framework. | Medium | Medium | Controls Tasked | July 2013 | 31/01/18 | 4 | 4 |
| STR2007 | Andrew Wroe<br>Head of Estates | Continuity of power supply to the FHQ site. | High | Low | Controls Tasked | October 2017 | 11/01/18 | 3 | 3 |
| STR1940 | Jason Ross<br>Chief Inspector CMD | Failure to meet 101 call handling target. | Low | High | Controlled | September 2016 | 30/01/18 | 3 | 3 |
| STR1764 | David Craig<br>Head of IT | Accreditation for the use of the PSN. | High | Low | Controlled | January 2014 | 20/11/17 | 3 | 3 |
| STR564 | Simon Cure<br>Head of Serious Crime | Management of MFH enquiries. | High | Low | Controlled | August 2010 | 31/10/17 | 3 | 3 |
| STR1571 | Simon Cure<br>Head of Serious Crime | Genie/DASH not being used correctly resulting in incorrect risk assessments. | High | Low | Managed | September 2012 | 31/10/17 | 3 | 3 |
| STR458 | Simon Cure<br>Head of Serious Crime | Failure to protect vulnerable persons. | High | Low | Controlled | March 2010 | 31/10/17 | 3 | 3 |
| STR253 | David Craig<br>Head of IT | High risk of virus introduction and data loss. | High | Low | Controls Tasked | July 2009 | 03/11/17 | 3 | 3 |

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|---|---|---|---|---|---|---|---|---|---|
| STR2009 | Andy Elliott<br>Head of Change | Reduced performance as a result of Force changes. | High | Low | Controls Tasked | October 2017 | 03/01/18 | 3 | 6 |
| STR1948 | David Craig<br>Head of IT | Resilience of LAN connectivity. | High | Low | Controls Tasked | December 2016 | 01/01/18 | 3 | 6 |
| STR1947 | David Craig<br>Head of IT | Resilience of WAN connectivity. | High | Low | Controls Tasked | September 2016 | 23/01/18 | 3 | 6 |
| STR380 | Alex Stacey-Midgley<br>Senior HR Business Partner | Current JES unlikely to meet Equal Opportunities Commission (EOC) criteria. | Medium | Low | Controls Tasked | January 2010 | 31/01/18 | 2 | 12 |
| STR1519 | Steve Morris<br>Information Manager | RMADS management for information security. | Medium | Low | Controls Tasked | June 2012 | 31/01/18 | 2 | 2 |
| STR1915 | Steve Morris<br>Information Manager | Failure to comply with the ICO recommendations - asset owners. | Medium | Low | Controls Tasked | August 2015 | 31/01/18 | 2 | 2 |
| STR430 | Lynne Woodward<br>Head of Equalities | Inquiry into disability related harassment. | Medium | Low | Managed | March 2010 | 02/11/17 | 2 | 2 |
| STR1975 | Carol Hever<br>Head of HR | Gateway upgrade project. | Medium | Low | Controls Tasked | April 2017 | 02/11/17 | 2 | 2 |
| STR1623 | Mick Graham<br>Director of Intelligence | Preparing for new communities, travelling and foreign national offending. | Medium | Low | Controlled | February 2013 | 20/11/17 | 2 | 2 |
| STR310 | David Sandall<br>Head of Crime and Intelligence | Failure to recognise and respond to critical incidents and 'learn lessons'. | Low | Low | Controlled | November 2009 | 08/01/18 | 1 | 1 |
| STR1990 | David Craig<br>Head of IT | Risk of uncertainty of impact of IT changes upon Leicestershire | Low | Low | Controls Tasked | June 2017 | 18/01/18 | 1 | 3 |
| OPCC1695 | Angela Perry<br>Head of Governance & Assurance | Failure to deliver Police and Crime Plan during period of reducing funding. | Low | Low | Controls Tasked | July 2013 | 01/11/17 | 1 | 1 |
| STR1945 | Steve Morris<br>Information Manager | Freedom of information requests – demand v capacity. | Low | Low | Controls Tasked | November 2016 | 08/01/18 | 1 | 1 |
| STR1475 | Shane O'Neill<br>Local Policing Lead | Limited ability to collate ASB incidents onto SENTINEL. | Low | Low | Controls Tasked | May 2012 | 31/01/18 | 1 | 1 |

Risk of note

# 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.<br><br>Major impact on performance indicators noticeable by stakeholders. | Force >1,000,000<br><br>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.<br><br>Serious impact on performance indicators noticeable by stakeholders. | Force 251,000-1,000,000<br><br>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.<br><br>Noticeable impact on performance indicators. | Force 51,000-250,000<br><br>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.<br><br>Minor impact on performance indicators. | Force <50,000<br><br>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 |

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