

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

PAPER MARKED

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Report of	OFFICES OF CHIEF CONSTABLE AND POLICE AND CRIME COMMISSIONER
Subject	FORCE RISK REGISTER
Date	WEDNESDAY 23 rd October 2019
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Purpose of report

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

Recommendation

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
- Those risks that SORB supports for archiving.

Summary

There are currently 32 strategic risks on the risk register with nine of these risks being rated as 'High' priority. 11 'Risks of Note' were put forward at Sept 2019 SORB; eight risks for a change of score and three risks for consideration for archive. In addition, seven new risks were approved for inclusion onto the Risk Register. These risks are detailed under sections 2 and 3.

It is for the board to review and ratify or otherwise decide on the recommendations made.

1) High Risks

There are now 32 strategic risks on the force risk register with nine of these being currently rated as 'High' priority. These risks are detailed at Appendix A.

2) New Risks

Seven new risks have been created since May 2019 SORB. These are listed below:

STR0084 - Unsafe & Ineffective Transfer of Archives & Evidential Property to EPAC

STR0094 - Loss of Lost & Found Matching Capability due to SOH

STR0095 - Negative Implications of the National 20k Recruitment of Officers

STR0096 - Inability to Meet Regional Occupational Health Demand

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STR0097 - Capability Issues around the reduction in trained motorbike officers within FIB and Regionally

STR0098 - Impacts from delayed retraining for DVI Training Accreditation

STR0099 - Ineffective Vehicle Tracking

The status of these risks, with the exception of STR0084, is 'Awaiting Review'. Any risks that are subsequently rated as 'High' will be included in the next report for JARAP. STR0084 has been rated as 'Medium'.

3) Risks of Note / Archived

3.1 Risks of Note

It was recommended at SORB that the following risks be re-scored following refreshed scrutiny when entering them onto Keto.

Agreed at SORB:

- STR1329 – Future funding risk – increase from 6 (medium) to 8 (medium)
- STR430 – Disability grievances risk – increase from 2 (low) to 6 (medium)
- STR11 – Industrial action risk – decrease from 4 (low) to 2 (low)
- STR1801 – Meeting mandatory training requirements risk – decrease from 6 (medium) to 4 (low)
- STR2017 – Communication of Firearms Markers – decrease from 6 (medium) to 4 (low)
- STR1679 – Compliance with Home Office Counting Rules – decrease from 12 (high) to 9 (high)
- STR2006 - RRD of Archives – decrease from 6 (medium) to 1 (low)

Contested at SORB:

- STR1844 – Failure to transition to ESN – increase from 4 (low) to 8 (medium) – *new Risk Owner assigned; Risk Advisor will meet with them to re-examine*

3.2 Archived Risks

- STR473 - Compliance with ACPO Vetting Policy – risk controlled; now business as usual
- STR1946 – Failure to adopt GDPR – Downgraded to Departmental risk
- STR1915 – Failure to comply with ICO recommendations around asset owners – Downgraded to Departmental risk

All of the above changes can be seen reflected in Appendix B

4) Risk Grading Criteria

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The strategic risk register identifies the key strategic risks to the force. 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 Score, which is expressed as a Red/Amber/Green or 'RAG' rating.

Risk Score	'RAG' Rating	Review
9 - 16	High	Monthly
5 - 8	Medium	3 Monthly
1 - 4	Low	3 Monthly

The only exception to the above timescales are risks borne from Force Management Statements. These are known as 'FMS Risks'. The enormous scope and complexity of these risks means that they are reported on through several channels within the Force and therefore it is appropriate to report on these risks every 6 months.

5) Risk Status

The 'status' of a risk gives an indication of the extent to which the risk is being managed/controlled. The categories are detailed below:

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 Keto risk management system the term 'Pending 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'.

Controlled – this risk is in the ideal state. Circumstances or time may change this state.

Awaiting Review – a managed risk which requires a review or a new risk to be reviewed for the first time or a risk transferred to a new 'Responsible Officer'.

6) Overview of Current Strategic risks

There are currently 32 strategic risks on the force risk register. The overall risk rating grid can be seen below.

		Impact			
		Low	Medium	High	Very High
Likelihood	Very High	0	1	4	2
	High	0	0	2	1
	Medium	0	2	2	4
	Low	2	1	1	4

The above does not include the six risks that are 'Awaiting Review'. The full summary Risk Register is attached as Appendix B.

Appendices

Appendix A: High priority risks and risks of note

Appendix B: Summary force risk register

Appendix C: Risk scoring matrix

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

Persons to contact

Rob Nixon – Deputy Chief Constable – (0116) 248 2002

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Paul Dawkins – Temp Finance Director for OPCC – (0116) 248 2244

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Appendix A: High Priority Risks (Red)

FMS 4 - Maintaining Workforce Wellbeing					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0016	4	4	16 	16 	→
Risk Owner: DCC Rob Nixon					
Responsible Officer: Alex Stacey-Midgley					
Controls: <ul style="list-style-type: none"> • Appointment of a Tactical Mental Health Manager • CiC, Occ Health & Chaplains • Enhanced Role Based Risk Assessments • General Analysis Intervention and Needs Model • Health, Safety & Wellbeing Surveys / Assessments • Toolkits & Events • Wellbeing agenda and working group • Wellbeing Awards • Wellbeing Support SPOCs / Champions • Wellbeing Training for Managers • Workforce Wellbeing Board • 'Your Wellbeing' website • LPF Trust Wellbeing sessions 					
Latest Update: We have seen a general decrease in sickness days attributable to psychological illness for Police Officers, but an increase for Staff. This will be investigated through the appropriate Working Groups and Boards. Enhanced Wellbeing package is due to be piloted for those investigating sexual offences (POLIT, CSE, CAIU, Signal).					

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Work currently underway to look at all the mental health training requirements throughout the Force. This is an ongoing piece of work reported through the Mental Health Working Group.

LPF Trusts continue to visit various force locations throughout the year offering wellness sessions to all. The sessions give people the opportunity to have health checks such as Blood pressure, Cholesterol, Pulse, Temperature, BMI, and Blood sugar levels. Alongside this, HR are holding meetings with anyone interested in becoming a Wellbeing Champion and also offer advice and support on health and fitness matters.

FMS 3 - Evolving Digital Sophistication Impacting Ability to Undertake Investigations					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0015	3	2	16 ●	16 ●	→
Risk Owner: DCI Shaun Orton					
Responsible Officer: Dee Singh					
Controls: <ul style="list-style-type: none"> • Blueprint 2025 • Dedicated Digital Hub • Digital Delivery & Optimisation Board • Digital Futures Board • Enterprise & Digital Team • Extracting data from complex car entertainment systems • I.T work streams • J-Tag examinations, Chip-off and ISP examinations • Mobile Phone Encryption Solution • National Change Programmes • Design of Tasking & Briefing Tools with Office 365 • National Digital Forensics Aid Memoir 					

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- Pegasus Suite - Professional Upgrades
- Virtualisation and automation project


New Controls (Sept/Oct 2019):

- Recruitment is underway to employ an 'Enterprise Architecture' role to the Force
- Open Source Portal allowing better internet intelligence

Latest Update:

- Telematics and Tier 3 (ISP / Chip-off) Lab - Comprehensive training has now been delivered to specified staff within the Digital Hub, and some equipment sourced which enables more of this work to take place. Additional funding has been sought from the S106 board to re-purpose an unused area of the Command/Admin building. Bringing this area back online will enable a purpose built lab which is both HSE and ISO 17025 compliant. Bid will be submitted to Change Board in Sept 2019.
- Architecture Role - The Cybercrime Team investigate offences which often require an advanced level of knowledge about the architecture of networks and the interpretation of the data we seize from them. Recruitment is underway to employ an 'Enterprise Architecture' role to the Force.
- Open Source Portal - The Digital Media Investigators have been testing several different means of carrying out internet intelligence and investigation work. A piece of software called 'Longarm' has now been purchased which will allow up to 200 people in the Force to have access to the internet in a non-attributable manner. The software also has purpose built capturing and visualisation tools which will greatly improve the Force's ability to manage auditing and usage stats.

Current JES non-equalities compliant and the implementation of new JES scheme carries risk					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR380	3	4	12 	12 	→
Risk Owner: Carol Hever					
Responsible Officer: SJ Coxon					
Controls: <ul style="list-style-type: none"> • Consulting regularly with the TUs • Development of Employee Support • Gold Group Considering Hay Scheme Implementation • Intrusive management of the current JES • Working with External Consultant to develop the new pay model • Implementation of the Hay Scheme • Silver Group Considering Hay Scheme Implementation 					
Latest Update: Regular weekly consultation meetings in place with Unions. Project Lead has changed resulting in slight delay in timescales. Timeline document is now progressed and elements requiring consultation pre-offer completed. Silver Group meetings have been arranged and have commenced.					

Diminished Capacity and Lack of Accreditation within CSI					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0055	3	4	12 	N/A	N/A
Risk Owner: C/Supt Andy Lee					
Responsible Officer: John O'Dwyer					
Controls: <ul style="list-style-type: none"> • EMSOU-FS Cross Border Assistance • UKAS Accreditation plan and budget • Amending Scene Attendance Criteria • Business Case for CSI Capacity • Increase admin support to operational staff 					
New Risk – Description: <p>There is a risk around forensic capacity as CSIs are inundated with recent homicides and volume of serious crime. There are also risks associated with the forensics UKAS accreditation. CPS warns CSI fingerprint experts must be accredited by April 2020 and if not, evidence will not be suitable for court. This risk has ramifications for EMSOU; if one Force fails to have full accreditation then the East Mids Region as a whole will fail.</p>					
Latest Update: <ul style="list-style-type: none"> • EMSOU-FS Cross Border Assistance – This is still ongoing with daily ring rounds to regional forces as to work load and capacity to help where needed • UKAS Accreditation plan and budget – This is on target for accreditation by October 2020, new office is in use as are new cleaning rooms and drying cabinet room, Finance have agreed to fund the initial monies needed for initial UKAS assessment. • Amending Scene Attendance Criteria – limited examination being conducted of low level crime inc vehicle crime where we are concentrating on drivers area only to maximise results • Business Case for CSI Capacity – Nick Loxley is working with Mr Lee on a business case for more staff based on the current crime profile and predicted future profile 					

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- Increase admin support to operational staff – Post being created for office manager within CSI

With regard to the emerging risk EMSOU-FS fingerprint experts are already UKAS accredited so are free to continue to work

Ineffective Tracking of Force Assets					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0078	3	4	12 ●	12 ●	→
Risk Owner: C/Supt Martyn Ball					
Responsible Officer: Steve Morris					
<p>Controls:</p> <ul style="list-style-type: none"> • Asset Owner • Auditing • Contract Details Review • General Controls • Internal Audit of Inca System - Apr 2019 • Refresh Training • Review of all existing users • Urgent Review of Policy and Procedure <p>New Controls (Sept/Oct 2019):</p> <ul style="list-style-type: none"> • Physical review of Police Buildings to identify the location of all current cannisters. This will include cross referencing every issued canister with the INCA records to ensure that we have an accurate current position • Circulation of new guidance and procedures to all INCA Special Points of Contact who allocate new cannisters • Input with the property team to ensure that destruction of cannisters is appropriately logged moving forward 					


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- Replacement of all captor sprays that have a worn identification tracking number (likely to be a small number only)
- Rolling training programme for all SPOCS with constant refreshers
- INCA to be included as a mandatory audit within Information Management on a quarterly basis to begin with and subsequent action plans to be tracked via SORB
- Consideration of replacing INCA and moving to Chronicle – this is the system that currently tracks all of our Firearms




Latest Update:

Since the audit of the INCA system, work has been ongoing to determine the level of risk posed by this issue. The current position is that it is understood that the administration of the system has not been to the standard expected as outlined in our INCA Policy and Procedure. However, it is unlikely that the issue poses any practical risk as it is believed that the Captor Sprays have been destroyed appropriately. However, in order to ensure that this is the case the Information Manager has met with Ch Insp Steff Shellard to discuss a number of actions and for this reason we have not amended the overall risk score until this is complete. The latest control measures being put in place can be seen above under 'new controls'.

Longer term, we are in talks with the developer of Equitrax to create a new asset managing system that is user friendly and allows the tracking and updating of assets via a range of media such as laptops or via mobile. However delays have been caused due to Equitrax itself becoming end of life requiring a complete overhaul at significant cost. IT SMT are exploring new options which is why I have begun exploring the feasibility of Chronicle.

Capacity within I.T. to Support TOM Requirements and Enable Digital Transformation					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0081	3	4	12 	N/A	N/A
Risk Owner: David Craig					
Responsible Officer: David Craig					
Controls: <ul style="list-style-type: none"> • Change Board • Change Team Programme Management • Design Authority • Digital Futures Board • IT Department Work Programme • Project Management 					
New Risk – Description: <p>There is a risk that IT Department capacity is insufficient to support implementation of the TOM and the delivery of digital transformation for the Force. This could hinder progressive initiatives, impact strategic objectives and affect the reputation of the Force.</p>					
Latest Update: <p>The IT Department’s Information Systems Section has recently lost 3 Solutions Architects to the Digital Transformation team, reducing the team from 8.6 to 5.6 FTE. Solutions Architects undertake a critical role in the support and delivery of information and communications technology systems and services to the Force. The loss of 35% of capacity creates an immediate and significant service and delivery risk; strategic risk (STR0081) has been created to document and manage this risk.</p> <p>Loss of these Solutions Architects creates an additional deficit in support and delivery capacity whilst time is taken with the remaining architects to transition project and support workloads, undertake knowledge acquisition, complete system and support familiarisation and ensure cover arrangements are in place; this in itself is a significant piece of work and thereby reduces the remaining architects’ capacity to deliver.</p>					

Back-up Generators unable to operate due to unsuitable diesel					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0083	3	3	9 	N/A	N/A
Risk Owner: Paul Dawkins					
Responsible Officer: Kim Jebson-Hambly / Jim Sturdy					
Controls: <ul style="list-style-type: none"> • Information from other Forces • Working with Andel • Report outlining viable options 					
New Risk – Description: <p>Diesel with added sulphur, which is stored in our backup generators, is no longer permitted for use. There is a need to review diesel replenishment, cost implications etc. which impact on business continuity. The alternative is to look at other options around fuel.</p> <p>We also hold a lot of unusable diesel stock (due to sulphur content, mould, bacteria, diesel bug) which means generators probably wouldn't work even if we started them up, meaning key sites would potentially be without power.</p> Latest Update: <p>Dip sampling of diesel stock across the Force undertaken by Andel (environmental solutions). Results published in August found that most of our stock is not suitable for use due to sulphur content, mould, and/or diesel bug. Andel have quoted a total to fix for all including disposal, tank cleaning, and filtration system installation and refuelling. The DCC has asked that this be examined under TOM Layer 5 with Paul Dawkins as the lead. Risk Advisor will ensure this is reflected on Keto.</p>					

Complying with Home Office Counting Rules & Ensuring High Levels of Crime Data Integrity					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR1679	3	3	9 	12 	
Risk Owner: Supt Lou Cordiner					
Responsible Officer: Caroline Barker					
<p>Controls:</p> <ul style="list-style-type: none"> • Audit Regime • CDI Board • CDI Training • NPCC Lead <p>New Controls (Sept/Oct 2019):</p> <ul style="list-style-type: none"> • Revised Niche training includes a focus on crime data integrity 					
<p>Latest Update:</p> <p>The HMICFRS replica audit has been completed and has shown a small improvement since the force were audited in 2018. To provide ongoing improvements, the key themes have been highlighted to ensure Crime Data Integrity is considered as part of the ongoing Target Operating Model planning work. Collaborative work with Learning and Development has been undertaken to ensure revised Niche training includes a focus on crime data integrity. The on-going audit regime continues to promote internal performance understanding.</p>					

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Appendix B - Strategic Risks Overview

Appendix B		Force Risk Register				23 rd October 2019			
Reference	Owner	Title	Impact	Likelihood	Status	Recorded	Last review	Risk Score	Previous Score
STR0015	Shaun Orton DCI - CaID	FMS 3 - Evolving Digital Sophistication Impacting Ability to Undertake Investigations	Very High	Very High	Controls Tasked	November 2018	01/10/19	16	16
STR0016	Rob Nixon DCC	FMS 4 - Maintaining Workforce Wellbeing	Very High	Very High	Controls Tasked	November 2018	01/10/19	16	16
STR380	Alex Stacey-Midgley Senior HR Business Partner	Current JES non-equalities compliant and the implementation of new JES scheme carries risk	Very High	High	Controls Tasked	January 2010	01/10/19	12	12
STR0050	Jason Masters C/Supt - Ops	FMS 1 - Meeting Increased Demand	Very High	High	Controls Tasked	November 2018	01/10/19	12	12
STR0055	Andy Lee C/Supt - CaID	Diminished Capacity and Lack of Accreditation within CSI	High	Very High	Controls Tasked	May 2019	01/10/19	12	N/A
STR0078	Martyn Ball C/Supt - SSD	Ineffective Tracking of Force Assets	High	Very High	Controls Tasked	May 2019	01/10/19	12	N/A
STR0081	David Craig Head of I.T	Capacity within I.T. to Support TOM Requirements and Enable Digital Transformation	High	Very High	Controls Tasked	May 2019	01/10/19	12	N/A
STR0083	Paul Dawkins ACO Finance & Resources	Back-up Generators unable to operate due to unsuitable diesel	High	High	Controls Tasked	May 2019	01/10/19	9	N/A
STR1679	Lou Cordiner Supt - SSD	Complying with Home Office Counting Rules & Ensuring High Levels of Crime Data Integrity	High	High	Controls Tasked	June 2013	01/10/19	9	12
STR0054	Rob Nixon DCC	FMS 2 - Insufficient Workforce Numbers & Skills	Very High	Medium	Controls Tasked	November 2018	01/10/19	8	8
STR0052	Reme Gibson DCI - CaID	FMS 5 - Reduction in Partnership Working	Very High	Medium	Controls Tasked	November 2018	01/10/19	8	8
STR1329	Paul Dawkins ACO Finance & Resources	Uncertainty Around Future Funding (CSR) Leading to a Reduction in Available Budget	Very High	Medium	Controls Tasked	Revised May 2019	01/10/19	8	6
STR0079	Julia Debenham ACC	Impacts of EU Exit on Policing	Medium	Very High	Controls Tasked	May 2019	01/10/19	8	N/A
STR0084	Martyn Ball C/Supt - SSD	NEW - Unsafe & Ineffective Transfer of Archives & Evidential Property to EPAC	Very High	Medium	Controls Tasked	July 2019	01/10/19	8	N/A

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STR0082	Gav Drummond DCI - CaID	Non-compliance around ANPR Practices	High	Medium	Controls Tasked	May 2019	01/10/19	6	N/A
STR430	Lynne Woodward Head of Equalities	Grievances Related to Disability	High	Medium	Controls Tasked	Revised May 2019	01/10/19	6	2
STR2017	Steve Potter Supt – LPD	Ineffective Communication of Firearms Markers to Deployed Officers	Medium	High	Controls Tasked	April 2018	01/10/19	4	6
STR1801	Carol Hever Temp Head of HR	Ability to meet mandatory training requirements	High	Medium	Managed	June 2014	01/10/19	4	6
STR1844	Dan Pedley C/Insp - SSD	Failure to transition to the ESN	Very High	Low	Controls Tasked	August 2014	01/10/19	4	4
STR1991	Steve Morris Head of Information Security	Threat of cyber-attack on Leicestershire Police	Very High	Low	Controls Tasked	June 2017	01/10/19	4	4
STR0056	Andy Lee C/Supt - CaID	Increasing Volume and Complexity of Fraud Investigations	Medium	Medium	Controls Tasked	May 2019	01/10/19	4	N/A
STR0080	Martyn Ball C/Supt – SSD	Capacity Risk of EMOpSS Returning into Force	Medium	Medium	Controls Tasked	May 2019	01/10/19	4	N/A
STR1935	Jason Masters C/Supt - Ops	Management of seized and found property provision	High	Low	Controls Tasked	June 2016	01/10/19	3	3
STR11	Carol Hever Temp Head of HR	Potential for industrial action affecting our service	Medium	Medium	Controlled	October 2007	01/10/19	2	4
STR2006	Jason Masters C/Supt – Ops	Management of archive provision	High	Medium	Controls Tasked	October 2017	01/10/19	1	6
STR1475	Steve Potter Supt – LPD	Limited ability to collate ASB incidents onto SENTINEL	Low	Low	Managed	May 2012	01/10/19	1	1
STR0094	Martyn Ball C/Supt – SSD	NEW - Loss of Lost & Found Matching Capability due to SOH	TBC	TBC	Awaiting Review	Sept 2019	01/10/19	TBC	N/A
STR0095	Simon Cole Chief Constable	NEW - Negative Implications of the National 20k Recruitment of Officers	TBC	TBC	Awaiting Review	Sept 2019	01/10/19	TBC	N/A
STR0096	TBC	NEW - Inability to Meet Regional Occupational Health Demand	TBC	TBC	Awaiting Review	Sept 2019	01/10/19	TBC	N/A
STR0097	Shane O'Neill Supt - CaID	NEW - Capability Issues around the reduction in trained motorbike officers within FIB and	TBC	TBC	Awaiting Review	Sept 2019	01/10/19	TBC	N/A
STR0098	Julia Debenham ACC	NEW - Impacts from delayed retraining for DVI Training Accreditation	TBC	TBC	Awaiting Review	Sept 2019	01/10/19	TBC	N/A
STR0099	Paul Dawkins ACO Finance & Resources	NEW - Ineffective Vehicle Tracking	TBC	TBC	Awaiting Review	Sept 2019	01/10/19	TBC	N/A
STR473	Mandy Bogle-Reilly Security Vetting Manager	Compliance with the ACPO vetting policy for the policing community.	High	Medium	Controlled	March 2010	01/10/19	6	6

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STR1946	Steve Morris Information Manager	Adoption of EU General Data Protection Regulations and Directive in May 2018	Medium	Medium	Controls Tasked	November 2016	01/10/19	4	4
STR1915	Steve Morris Information Manager	Failure to comply with the ICO recommendations - asset owners	Medium	Low	Controls Tasked	August 2015	01/10/19	2	2

Highlighting Legend:

Risks Archived from SORB
Status Change

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Appendix C - 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.	

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Likelihood		
	Score	Chance of Occurrence
Very High	4	>75% (almost certain to occur)
High	3	51-75% (more likely to occur than not)
Medium	2	25-50% (fairly likely to occur)
Low	1	<25% (unlikely to occur)

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

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Appendix D - Risks Archived following Sept 2019 SORB

Failure to comply with ICO recommendations around information asset owner					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR1915	1	1	1 ●	1 ●	→
Risk Owner: Steve Morris					
Responsible Officer: Ian Ginns					
Controls: <ul style="list-style-type: none"> • Programme of Work Mapped out and being delivered as part of Information Management Strategy • Programme Support • Progress Governance 					
Latest Update: <p>The Information Asset work has become BAU for the Information Management department and is a long term area of work. It is monitored at the Specialist Support Directorate (SSD) SLT meetings and is not considered a strategic risk at this time. Putting forward for downgrade to Departmental Risk.</p>					

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Failure to Adopt EU General Data Protection Regulations and Directive - May 2018					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR1946	2	2	4 ●	4 ●	→
Risk Owner: DCC Rob Nixon					
Responsible Officer: Steve Morris					
Controls: <ul style="list-style-type: none"> • Centralised Information Management Section in Force • Mazars Audit 2019 • National gap analysis • Training and Awareness Raising 					
Latest Update: <p>GDPR is now a departmental BAU priority and it is not recommended that this remains as a strategic risk. The DCC (as SIRO) and the Information Manager meet regularly and briefs will be given re GDPR risks. Should a specific issue of non-GDPR compliance become a risk to the force, this specific risk will be recommended to SORB. However, on the whole this is recommended to be downgraded to a Departmental Risk.</p>					

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Compliance with the ACPO / ACPOs Vetting Policy for the Policing Community					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR473	3	2	6 ●	6 ●	→
Risk Owner: Amanda Bogle-Reilly					
Responsible Officer: Amanda Bogle-Reilly					
Controls: <ul style="list-style-type: none"> • All staff to be subject of aftercare / review • Business Case Implementation 2015 • Centralisation of vetting within PSD • Compliance with policy for all new employees • Ensure all staff are vetted in line with policy • New starters vetted per ACPO policy • Operational security • Priority EMOpSS vetting • Priority vetting cases identification • Renewal procedure for CTC introduced • Review of the force vetting function 					
Latest Update: Amanda Bogle-Reilly: Phase 3 of the Force Vetting Review Project has been handed back to me to manage as business as usual. Change Board have given their approval for this. Request that the Risk & BC Advisor put forward for archive at Sept SORB.					