

**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	TUESDAY 16 th OCTOBER 2020
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Purpose of report

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

Recommendation

2. The panel is recommended to review the contents of this report and the updates provided within.

Summary

3. There are currently 35 strategic risks on the risk register with 12 of these risks being rated as 'High' priority. This includes 13 'COVID-19' risks managed through the weekly Op Talla Gold Group.

High Risks

4. 12 risks are currently rated as 'High' priority. These risks are detailed at Appendix A. All 35 risks are summarised in Appendix B with the COVID-related references marked in bold.

Archived risks

5. 11 risks have been archived since JARAP last met in July 2020. These are detailed in Appendix C.

Changes in risk score

6. The risk score has reduced for 10 risks. These are detailed in Appendix A for current/previous High Priority risks and in Appendix D for Medium and Low risks.

New risk

7. There is one new risk, detailed in Appendix E.

Risk Grading Criteria

8. 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.
9. 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.

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

Risk Status

10. 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'.

Overview of Current Strategic risks

11. There are currently 35 strategic risks on the force risk register.

Risk Matrix Grid Chart:

	Low	Medium	High	Very High
Very High	1	0	5	0
High	0	1	4	3
Medium	1	1	5	7
Low	1	0	1	5

Appendices

Appendix A: High priority risks

Appendix B: Summary of force risk register

Appendix C: Archived risks

Appendix D: Changes in risk score

Appendix E: New risks

Appendix F: Risk scoring matrix

Persons to contact

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Appendix A: High Priority Risks (Red)

Churn of staff and ongoing establishment pressure					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0187	4	3	12 □	16 □	↓
Risk Owner: DCC Nixon					
Responsible Officer: Alastair Kelly					
Controls: <ul style="list-style-type: none"> • Workforce Development Board oversight with assigned responsibilities providing governance • 3 delivery pillars ensuring right numbers of people, with right skills and capabilities, at the right time (pipeline, workforce 2.0, careers) • Continued Target Operating Model and change team analysis • Management of staff uplift • Improving skills and technologies • COVID-19 Recovery Cell and Establishment Workshops 					
Sep 20 Update: <ul style="list-style-type: none"> ➤ 3 delivery pillars continue to provide risk mitigation: <ol style="list-style-type: none"> 1) Pipeline: <i>toy car to day 1</i> <ul style="list-style-type: none"> -Recruitment and Attraction Plan in place -School/University relationships have continued to be developed -VIP support has continued -Virtual webinars / familiarisation workshops -DHEP campaign – 941 applicants with 24% BAME and 45% female -Enough applicants so far to fill Jan/Feb/Mar/April 2021 cohorts -Direct Entry Graduate Detective Programme has been agreed 2) Workplace 2.0: <i>Experience with the Force</i> <ul style="list-style-type: none"> -Job Evaluation Project continues 					

- Workforce Engagement Strategy in place
- C19 recovery / virtual working / wellbeing workstreams
- Force-wide surveys are taking place to capture informative data to feed in to risk mitigation
- Chief Officer Roadshows / VLOGs
- Gender pay-gap report
- 3) *Careers: Nurturing potential from entry to exit*
 - Skills and capabilities continue to be analysed to identify any gaps
 - Strategic Placement Board in place
 - Talent management / PDR / Pathways are being developed
 - CPD design and delivery / Academy / leadership/management ongoing
 - Review of retirements up to March 2021 taking place to inform future training priorities and ensure we have the right capabilities
 - Given the governance around this risk, together with the establishment of the 3 delivery pillars with oversight at the Workforce Development Board, it was recommended and ratified in the Sept 2020 SORB that the likelihood has reduced from 'major' to 'serious'; reducing the risk from 4x4 to 4x3.

Uncertainty regarding future COVID19 restrictions on the public and lack of notice when restrictions change					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0198	4	2	8 □	16 □	↓
Risk Owner: ACC Smith					
Responsible Officer: ACC Smith					
Controls:					
<ul style="list-style-type: none"> • Concerns regarding the timing of announcements fed back to NPCC • Action plan created • Short notice Gold Group held when necessary following government announcements • Additional resources provided through Op Formidable 					

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- Monitoring of force resources
- Availability of volunteers and former officers and staff
- Liaison with partners to understand their enforcement approach
- External media strategy
- Scenario planning within the force
- Scenario planning with LRF partners

Oct 20 Update:

- Updated map of protected area published, and communication has continued around local protected areas. Given the increased familiarity with C19 restrictions, the likelihood of this risk was reduced in Op Talla Gold from High to Medium
- Video messaging form COT to help explain changed to regulations and policing stance

Diminished Capacity and Lack of Accreditation within CSI					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0055	3	4	12 □	12 □	□
Risk Owner: C/Supt Shane O'Neill					
Responsible Officer: John O'Dwyer					
Controls:					
<ul style="list-style-type: none"> • EMSOU-FS Cross Border Assistance • UKAS Accreditation plan and budget • Amended Scene Attendance Criteria • Business Case for CSI Capacity • Increase admin support to operational staff 					

Oct 20 Update:

- Regional Scene attendance criteria (Form FS360) now in place
- Vehicle racking re-fits continue to be done on a rolling programme
- Still await a new deadline for ISO accreditation, but working towards having all forces having one base assessed. Leics to be done by Summer 2021, but C19 may restrict as UKAS cannot currently do physical base visits
- Some staff have now returned, but others who are vulnerable are being re-assessed following new government announcements.
- Demand being managed with volume crime lower than pre-COVID, but serious and major jobs are back at pre-COVID levels
- Staff business case signed off for year 1 with 4 more staff, with plan to request a further 4 staff in year 2
- In a CAID risk meeting held 01/10/20 there is appetite that the recent recruitment will reduce this risk by the next SORB

Ineffective Tracking of Force Assets					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0078	3	3	9 □	12 □	↓
Risk Owner: C/Supt Martyn Ball					
Responsible Officer: Steve Morris					
Controls:					
<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 					

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- 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
- 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

Sept 20 Update:

- Working Group established to holistically examine the tracking of incapacitant spray.
- Working Group has introduced processes that keep INCA updated and ensure canisters are correctly disposed of.
- Funding obtained from SSD for both new and old canisters at FHQ to be housed under appropriate security.
- Training created for roll out to operational supervisors, and for incapacitant users during their officer protection training.
- There is a new draft policy/process.
- Issuing centres (NPA's and certain Depts.) are now fully engaged with compliance work.
- The Head of each issuing centre has nominated SPOC's who are accredited on INCA and are the only supervisors who will issue canisters or order stock from supplies.
- Each issuing centre now conducting regular audits of their own stocks.
- Given the improvements in tracking of incapacitant spray, SORB agreed to reduce the likelihood score, reducing the risk from 3x4 to 3x3.

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Capacity within I.T. to Support and Enable Digital Transformation					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0081	3	4	12 □	12 □	□
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 • Tactical and Strategic TOM group and IT TOM Management Forum • Change, Digital Transform, Information Management and IT Working Group • Review of I.T Job Descriptions • Application for market supplements to ensure the retention of Solutions Architects within the IS Section • Options are being explored for external companies and contractors to assist with programme delivery • Additional funding granted to allow uplifts in numbers of skilled IT staff. Recruitment is underway 					
Sept 20 update: <ul style="list-style-type: none"> • Review of job descriptions within IT underway to ensure they are up to date and accurate • Options are being explored for external companies and contractors to assist with programme delivery. Additional funding may be required. 					

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Inability to Meet Regional Occupational Health Demand					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0127	4	3	12 □	12 □	□
Risk Owner: Alastair Kelly					
Responsible Officer: Julie Feechan					
Controls: <ul style="list-style-type: none"> Addressing the retention of staff Looking at how cancellations can be reduced Identifying IT and process issues Considering new future models Improving the management of records 					
Oct 20 <ul style="list-style-type: none"> An outline business case has been written for the procurement of an IT system and is due to be discussed at the DCC's Board later in October. Assistance has been sought from SSD to provide a tool which would assist in profiling and prioritising the OH demand across all of the region. The OH Review is underway and SPOCSs are currently speaking with key stakeholders in Forces using a structured interview approach. It is envisaged that this will be completed by the end of October. It has been identified that EMCHRS OHU would benefit from a Business Manager role, in line with other regional units and this is currently being explored. Early discussions have taken place between pharmacy companies to try to outsource the provision of Hep B. It is likely that contracts will be required at each individual Force. This particular activity has been selected to outsource as it does not require OH knowledge to provide the service. The risk score remains the same as although issues are being progressed the outcome and therefore the benefits have not as yet been realised. 					

Risk of an information security breach when staff are working from home during COVID-19					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0173	3	3	9 □	12 □	↓
Risk Owner: Steve Morris					
Responsible Officer: Steve Morris					
Controls: <ul style="list-style-type: none"> • Op Talla keep home working under review and have distributed communication to staff • Departmental heads have reviewed what work can be completed at home for highly vetted staff • Increased transaction validation monitoring • Police assets generally not used in public places • Managers supervising staff remotely • Staff can work from police sites if risk is too high • Access to high risk apps restricted • Oversight and guidance from National Cyber Security Centre 					
Oct 20 Update: <ul style="list-style-type: none"> • 'Working from home securely' poster distributed force-wide. This includes advice on using force-systems only; keeping devices safe; document control; increased awareness of phishing; keeping the screen and communications private and how to report security breaches • Additional messages have been sent force-wide on homeworking scams to be aware of. • Creation of VPNs in high risk cases with remote desk protocol • Requests for software are ratified by DCC • IT carrying out checks on software 					

Financial impact of the COVID pandemic on the force					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0183	4	3	12 □	12 □	□
Risk Owner: Paul Dawkins					
Responsible Officer: Paul Dawkins					
Controls: <ul style="list-style-type: none"> • PSA with airport in place • Calculation of indirect and opportunity costs • Creation of methodology of calculating costs with partners • Monthly report created and sent to the Home Office regarding costs and income forgone. 					
Oct 20 Update: <ul style="list-style-type: none"> • There has been increased oversight regarding the fitting of screens in offices, to ensure they follow risk assessment processes and government guidance • The financial impact of C19 continues to be a weekly agenda item in Op Talla Gold • The full financial implications remain uncertain, and risk remains high • Letter received from Home Office to confirm that in November we will receive a reimbursement for money spent on medical-grade PPE • Looking at other claims for lost income from areas such as EMA policing and football matches 					

Management of geographical information					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0188	4	3	12 □	12 □	□
Risk Owner: Supt Wills					
Responsible Officer: David Craig					
Controls: <ul style="list-style-type: none"> • STORM programme support • STORM and Niche upgrades • Support from Enterprise Architect 					
Sept 20 Update: <ul style="list-style-type: none"> • Considering how the introduction of new mapping systems can be controlled to limit growth • Identifying capacity for gazetteer management. Head of IT has written a paper to request a new post to manage maps and gazetteers for the Force • At the same time, the force is recognising the links to NFLMS risk. If NFLMS interface opens for testing/implementation, we need the two gazetteers (Storm / NFLMS) to align in order for the details to transfer. • Exploring the possibility of bringing in a Temp to manage immediate demands to bring maps and gazetteers up to date on priority systems 					

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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: Alex Stacey-Midgley					
Responsible Officer: Colette Cloete					
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 					
Sept 20 Update: <ul style="list-style-type: none"> • The risk score remains unchanged because whilst we are using Purple Book to undertake evaluations, this system remains non-compliant with Equality Law and needs changing. There also remains the issue with employee relations where staff are unhappy with the JE result. The possible impact on morale, productivity, service delivery and overall reputation remain. • Update sent to all staff on 30/09/20 • Discussions ongoing with the Force and Trade Unions 					

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Maintaining Workforce Wellbeing					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0016	3	2	6 □	9 □	↓
Risk Owner: DCC Rob Nixon					
Responsible Officer: Alex Stacey-Midgley					
Controls: <ul style="list-style-type: none"> • Appointment of a Tactical Mental Health Manager • Health Assured, 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 • Wellbeing Board and sub-groups • 'Your Wellbeing' website • LPF Trust Wellbeing sessions • Change in recruitment profile 					
Oct 20 Update: <ul style="list-style-type: none"> • Analysis of wellbeing training identified across all 4 areas • Oscar Kilo 'policing through a pandemic' results released. • Second working from home survey launched 					

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- First report from Health Assured for Q1. 90 of 92 calls were counselling calls (no referrals for face-to-face counselling), which is 23% above their benchmark. The main reasons were partner, low mood and family. Op Talla Gold have addressed impact of C19 on partners through risk register with reminder of support from Health Assured. 470 hits registered on their online portal. This is up to 30th June 2020.
- Regular wellbeing communication, including the October 2020 Health Assured newsletter promoting World Mental Health Day on 10/10/20 and Work Life Week from 12/10/20 together with promotion of Equality and Diversity.
- Wellbeing website redesigned to promote Health Assured features
- Continued virtual fitness classes
- Toolbox advice released on areas such as alcohol and sleep
- COVID Q & A Skype sessions
- TRiM Welfare Operational Response Model produced
- 5/10K challenge
- Emotional Health and Resilience Group have identified 2 sessions of a 'Road to Resilience' course via Health Assured for 14th October for around 60 people. This support the Bluelight Framework and Home Office Common Goal for Policing's need for resilience training
- Stress surveys and departmental stress risk assessments completed for bot Custody and CMD. CAID survey planned for October.
- Continued work of wellbeing group has identified the numerous offerings the force has, and work to improve the communication of the wellbeing offer, and felt risk reduced, agreed at 2020 Sep SORB
- Given ongoing mitigation, it was agreed at SORB to reduce the risk from 3x3 to 3x2 to a medium risk

Risk of muscular-skeletal injury due to staff working from home for significant periods of time					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0168	3	3	9 □	9 □	□
Risk Owner: Peter Coogan					
Responsible Officer: Peter Coogan					
Controls:					
<ul style="list-style-type: none"> • NCALT training package 					

- Staff permitted to take equipment home with manager permission
- Oskar Kilo home working advice communicated
- Assistive technology and additional equipment for those at most risk
- Information provided to managers about managing remote staff
- Free face-to-face telephone consultations available through Posturite

Oct 20 Update:

- Analysis of OHU referrals – no spike so far
- Designing of post COVID working principles
- WorkRite DSE system purchased and at implementation stage

Reputational risk to the force due to delays in the criminal justice system

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0208	3	3	9 <input type="checkbox"/>	9 <input type="checkbox"/>	<input type="checkbox"/>

Risk Owner: Mark Harrison

Responsible Officer: Mark Harrison

- Controls:**
- Additional resources provided to Custody
 - MoU with HMCTS to share data
 - GEO Amey used for prisoner transfer
 - Sending of IO offences directly
 - Police support for resumption of court hearings
 - Greater use of out of court disposals
 - Review of low value / victimless crime going to task and finish group
 - Review of HMCTS' National Recovery Plan when received

Oct 20 Update:

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<ul style="list-style-type: none"> Review of current backlogs and plan created to deal with backlog Use of PI tests and upskilling Sergeants 					
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	2	6 □	9 □	↓
Risk Owner: Supt Lou Cordiner					
Responsible Officer: Caroline Barker					
Controls: <ul style="list-style-type: none"> Audit Regime CDI Board CDI Training NPCC Lead Crime Data Integrity is considered as part of the ongoing TOM planning work Work with L&D to ensure revised Niche training includes a focus on crime data integrity On-going audit regime continues to promote internal performance understanding Increase in Dedicated Decision Maker staff to support crime data integrity 					
Sept 20 Update: <ul style="list-style-type: none"> All 12 additional staff have now started within the DDM team and are finishing off their training. In October the force audit team are carrying out a full HMICFRS replica audit this will provide the force with a statistically reliable measure of crime recording compliance in the categories reviewed by HMICFRS, of violence, sexual and all other offences. Once this has been completed we should be in a position to review the risk level. 					

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Appendix B - Strategic Risks Overview

Highlighting Legend:

Risks Archived at last (Sept 2020) SORB
Status Change
New risk since last meeting

Appendix B		Force Risk Register				16 th October 2020			
Reference	Owner	Title	Impact	Likelihood	Status	Recorded	Last review	Risk Score	Previous Score
STR0187	Rob Nixon DCC	Churn of staff and ongoing establishment pressure	Very High	High	Controls Tasked	April 2020	11/09/20	12	16
STR0055	Shane O'Neill C/Supt - CaID	Diminished Capacity and Lack of Accreditation within CSI	High	Very High	Controls Tasked	May 2019	01/10/20	12	12
STR0081	David Craig Head of I.T	Capacity within I.T. to Support and Enable Digital Transformation	High	Very High	Controls Tasked	May 2019	01/10/20	12	12
STR0127	Alastair Kelly ACO HR	Inability to meet regional Occupational Health demand	High	Very High	Controls Tasked	January 2020	02/10/20	12	12
STR0183	Paul Dawkins ACO Finance & Resources	Financial impact of the COVID pandemic on the force	Very High	High	Controls Tasked	April 2020	02/10/20	12	12
STR0188	Grant Wills Supt - CMD	Management of geographical information	Very High	High	Controls Tasked	April 2020	11/09/20	12	12
STR380	Alastair Kelly ACO HR	Current JES non-equalities compliant and the implementation of new JES scheme carries risk	Very High	High	Controls Tasked	January 2010	11/09/20	12	12
STR0078	Martyn Ball C/Supt - SSD	Ineffective Tracking of Force Assets	High	High	Controls Tasked	May 2019	11/09/20	9	12

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STR0173	Steve Morris Head of Information Security	Risk of an information security breach when staff are working from home during COVID	High	Very High	Controls Tasked	March 2020	02/10/20	9	12
STR0015	Reme Gibson DCI - CaID	Evolving Digital Sophistication Impacting Ability to Undertake Investigations	High	High	Controls Tasked	November 2018	01/10/20	9	9
STR0168	Peter Coogan Principal H&S Advisor	Muscular-skeletal injury due to staff working from home for significant periods of time during COVID	High	High	Controls Tasked	March 2020	02/10/20	9	9
STR0204	Julia Debenham ACC	Impact on operational policing if schools close for summer holidays	High	High	Controls Tasked	May 2020	02/10/20	9	9
STR0208	Mark Harrison Head of Prosecutions	Reputational risk to the force due to delays in the criminal justice system	High	High	Controls Tasked	June 2020	02/10/20	9	9
STR0198	Kerry Smith ACC	Uncertainty around future C19 restrictions on the public and lack of notice when restrictions change	Very High	Medium	Controls Tasked	April 2020	02/10/20	8	16
STR0056	Shane O'Neill C/Supt - CaID	Capability to manage the increase in volume and complexity of Fraud Investigations	Very High	Medium	Controls Tasked	May 2019	01/10/20	8	8
STR0094	Martyn Ball C/Supt – SSD	Loss of Lost & Found Matching Capability due to SOH	Medium	Very High	Controls Tasked	Sept 2019	11/09/20	8	8
STR0082	Gav Drummond DCI - CaID	Non-compliance around ANPR Practices	Very High	Medium	Controls Tasked	May 2019	11/09/20	8	8
STR0129	Matt Ditcher Supt - CaID	Poor retention of Digital Media Investigators within CAID	Medium	Very High	Controls Tasked	January 2020	01/10/20	8	8
STR0172	Kerry Smith ACC	Inability to meet non-emergency demand for a sustained period during COVID	Very High	Medium	Controls Tasked	March 2020	02/10/20	8	8
STR0185	Kerry Smith ACC	Risk of staff being exposed to COVID virus due to work activities	Very High	Medium	Controls Tasked	April 2020	02/10/20	8	8
STR0186	Shane O'Neill C/Supt - CaID	Use of Cloud to store Indecent Images of Children (IIOC)	Very High	Medium	Controls Tasked	April 2020	11/09/20	8	8
STR0212	Kerry Smith ACC	Excessive demand during winter from increased COVID cases, flu and adverse weather events	Very High	Medium	Controls Tasked	August 2020	02/10/20	8	N/A New Risk
STR0016	Rob Nixon DCC	Maintaining Workforce Wellbeing	High	Medium	Controls Tasked	November 2018	01/10/20	6	9
STR1679	Lou Cordiner Supt - SSD	Complying with Home Office Counting Rules & Ensuring High Levels of Crime Data Integrity	High	High	Controls Tasked	June 2013	11/09/20	6	9
STR0099	Paul Dawkins ACO Finance & Resources	Decreasing ability to track vehicles and get accurate data required for Ops/CMD, TU & PSD	High	Medium	Controls Tasked	Sept 2019	11/09/20	6	8
STR0176	Kerry Smith ACC	Risk to staff wellbeing due to COVID-19 epidemic	High	Medium	Controls Tasked	March 2020	02/10/20	6	6
STR0182	Michelle Keen D/Supt - CaID	Withdrawal of partner diversion services and effects of COVID 19 on the drugs market	High	Medium	Controls Tasked	March 2020	20/08/20	6	6

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STR0190	Mark Harrison Head of Prosecutions	Additional demand produced by witness care for magistrate courts during COVID	Medium	High	Controls Tasked	April 2020	02/10/20	6	6
STR0191	Steve Morris Head of Information Security	3rd party organisations not security cleared nor accredited	High	Medium	Controls Tasked	April 2020	11/09/20	6	6
STR0199	Kerry Smith ACC	Organisational learning and memory if Op Talla decisions are not captured during COVID	High	Medium	Controls Tasked	April 2020	21/08/20	6	6
STR0207	Kerry Smith ACC	Co-ordinating the return to work of directorates and departments during COVID	High	Medium	Controls Tasked	June 2020	02/10/20	6	6
STR0128	Paul Dawkins ACO Finance & Resources	Potential loss of Kier payroll service	Low	Very High	Controls Tasked	January 2020	11/09/20	4	4
STR0164	Kerry Smith ACC	Risk of additional demand to the force from the Coronavirus special measures legislation	Very High	Medium	Controls Tasked	March 2020	02/10/20	4	8
STR0184	David Craig Head of IT	CMD ageing plant and ongoing maintenance	Very High	Low	Controls Tasked	April 2020	11/09/20	4	4
STR0209	Kerry Smith ACC	Risk of detained people being exposed to COVID19 in custody	Very High	Low	Controls Tasked	July 2020	02/10/20	4	4
STR1844	Dan Pedley C/Insp - SSD	Failure to transition to the ESN	Very High	Low	Controls Tasked	August 2014	11/09/20	4	4
STR1991	Steve Morris Head of Information Security	Threat of cyber-attack on Leicestershire Police	Very High	Low	Controls Tasked	June 2017	11/09/20	4	4
STR2017	Steve Potter Supt – LPD	Ineffective Communication of Firearms Markers to Deployed Officers	Medium	High	Controls Tasked	April 2018	11/09/20	4	4
STR430	Lynne Woodward Head of Equalities	Grievances Related to Disability	High	Medium	Controls Tasked	May 2019	11/09/20	4	6
STR0189	Shane O'Neill C/Supt - CaID	Potential withdrawal of LRFS from forensic arson investigation	High	Medium	Controls Tasked	April 2020	11/09/20	3	6
STR0169	Kerry Smith ACC	Risk of reduced confidence in the force due to changes in its service delivery during COVID	High	Low	Controls Tasked	March 2020	22/08/20	3	3
STR0177	Kerry Smith ACC	Risk to the force due to closure of front enquiry offices during COVID	High	Low	Controls Tasked	March 2020	22/08/20	3	3
STR0178	Steve Potter Supt – LPD	Risk to staff from lack of available PPE during COVID	High	Low	Controls Tasked	March 2020	22/08/20	3	3
STR0201	Kerry Smith ACC	Managing the return to work of staff with building-based H&S or wellbeing roles during COVID	High	Low	Controls Tasked	May 2020	22/08/20	3	3
STR0097	Tange Bhakta Supt - CaID	Capability Issues around the reduction in trained motorbike officers within FIB and Regionally	Low	Medium	Controls Tasked	Sept 2019	11/09/20	2	2
STR1475	Steve Potter Supt – LPD	Limited ability to collate ASB incidents onto SENTINEL	Low	Low	Managed	May 2012	11/09/20	1	1

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Appendix C: Risks archived from strategic risk register

Evolving Digital Sophistication Impacting Ability to Undertake Investigations					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0015	3	3	9 □	9 □	□
Risk Owner: DCI Reme Gibson					
Responsible Officer: DI Pete Flynn					
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 • Pegasus Suite - Professional Upgrades • Virtualisation and automation project 					
Oct 20 Update: <ul style="list-style-type: none"> • Tier 3 lab and mobile device kiosks are helping manage the risk • Open Source Portal training is ongoing • Liaising with L&D and Change Team on all digital investigation training 					

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- Virtualisation and automation project: 'Proof of function' completed and business case being written. Expected to go to Digital Futures and Design Authority in September 2020.
- This is a national issue that will always be present. Due to the controls in place, it was recommended and agreed at SORB that this risk is removed from the strategic register and managed as a priority risk on the CAID SMT risk register.
- In a CAID risk meeting on 01/10/20 it was agreed that this will remain on their risk register, but likely to also reduce in terms of risk score.

Impact on operational policing if schools close for summer holidays					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0204	3	3	9 □	9 □	□
Risk Owner: ACC Debenham					
Responsible Officer: ACC Debenham					
Controls:					
<ul style="list-style-type: none"> • Business Continuity / Prioritisation of Service Plans • National view sought • Await further government and scientific advice • Resourcing Cell 					
Sept 20 Update:					
<ul style="list-style-type: none"> • Risk archived at Op Talla Gold as schools had re-opened and there was no direct impact on policing during the summer holidays. 					

Loss of lost and found matching capability due to SOH					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0094	2	4	8 □	8 □	□

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Risk Owner: C/Supt Ball
Responsible Officer: Amie Peplow
Controls: <ul style="list-style-type: none"> Issue raised at National level SOH development
Sept 20 Update: <ul style="list-style-type: none"> SOH development remains on hold amid COVID-19 outbreak Content team still working at limited capacity Whilst the functionality to report lost property online has been absent from external Internet since April 2019, there has been no challenge from a MOP or any cases where property has been destroyed without identifying an owner. The public still have the option of attending an FEO or enquiring through 101. The employee taking the enquiry can search records on Niche to identify a link to found property. There remains a benefit to an online form, but as we remain compliant with recommendations made through a national review by the PFCF on behalf of the Home Office led Collaborative Law Enforcement Programme, it is recommended that this risk be removed from the strategic risk register and managed at the local SSD SMT risk register.

Poor retention of Digital Media Investigators within CAID					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0129	2	4	8 □	8 □	□
Risk Owner: Supt Ditcher					
Responsible Officer: DCI Gibson					
Controls: <ul style="list-style-type: none"> Golden handcuffs bonding agreement 					

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- Making the Hub more attractive
- Oct 20 Update:**
- Paper submitted to Head of HR to work on staff contracts and secure our position
 - Golden handcuff arrangements not yet in place, but staff are starting to want to return to Police
 - Police staff manager being recruited
 - Given ongoing mitigation, SORB agreed to archive the risk from the strategic risk register and manage through the local CAID risk register

Withdrawal of partner diversion services and effects of COVID 19 on the drugs market					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0182	3	2	6 □	6 □	□
Risk Owner: D/Supt Keen					
Responsible Officer: D/Supt Keen					
Controls:					
<ul style="list-style-type: none"> • Service offer from Turning Point • Trends are monitored • Monitoring of crime trends relating to drugs and pharmacies. • Monitoring the effects of drug distribution with partners. • Liaison with Turning Point to assess issues • Liaison with regional NHS partnership. • Additional support provided to drug users. • NPA patrol strategies in place for pharmacies. • Crime prevention letters sent to pharmacies. • Pharmacies offered additional support from COVID crime prevention strategy. 					

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Aug 20 Update:

- Archived following a meeting with ACC Smith. This has not materialised and will take some time to materialise following lockdown if it is an issue for us. This issue will be picked up as business as usual through the crime and ops meeting.

Risk to organisational learning and corporate memory as some Op Talla decisions have not been captured					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0199	3	2	6 □	6 □	□
Risk Owner: ACC Smith					
Responsible Officer: ACC Smith					
Controls:					
<ul style="list-style-type: none"> • Liaison with directorates and departments to ensure all decisions have been captured. • RAG rating of decisions made. • We have contacted each directorate and department to identify ongoing learning. 					
Aug 20 Update:					
<ul style="list-style-type: none"> • Archived following a meeting with ACC Smith on 21st August. We have retrieved the decisions previously made and we have an ongoing process in place for capturing new decisions. 					

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Risk of a successful cyber-attack on Leicestershire Police					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR1991	4	1	4 □	4 □	□
Risk Owner: Steve Morris					
Responsible Officer: Steve Morris					
Controls: <ul style="list-style-type: none"> • Reporting system • Accreditation process • Business continuity and disaster planning • Technical perimeter controls • Technical internal control • Annual IT health checks • Recruitment procedures • Physical security of buildings and assets • Training and awareness • GDPR compliance • Security incident management procedure 					
Sept 20 Update: <ul style="list-style-type: none"> • Risk closed as a strategic risk in September 2020 SORB. A loop hole in our network configuration had been identified and closed, and all required work has been completed. 					

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Risk of reduced confidence in the force due to changes in its service delivery brought about by the need for social distancing					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0169	3	1	3 <input type="checkbox"/>	3 <input type="checkbox"/>	<input type="checkbox"/>
Risk Owner: ACC Smith					
Responsible Officer: ACC Smith					
Controls: <ul style="list-style-type: none"> • Community impact assessment • External comms plan including neighbourhood engagement • Identification of possibility of statement taking over the phone • Internal comms strategy to inform officers of the force's expectations. • Equality impact assessment of our policing strategy. • Engagement with faith IAG around religious festivals and gatherings. • NPA level CIAs created. • Complaints from the public are monitored. • Weekly crime and ops meeting monitors trends. • Op order for VE Day. • County FEOs now open. 					
Aug 20 Update: <ul style="list-style-type: none"> • Following a meeting with ACC Smith it was felt that this risk hadn't materialised. 					

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Risk to the force through the closure of front enquiry offices					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0177	3	1	3 <input type="checkbox"/>	3 <input type="checkbox"/>	<input type="checkbox"/>
Risk Owner: ACC Smith					
Responsible Officer: ACC Smith					
Controls: <ul style="list-style-type: none"> • Alternative contact arrangements now in place. • Alternative means of property return in place. • Protective screens have been installed within all force FEOs. • Recovery plan in place. • LSTOs have been briefed regarding the properties and limitations of the screens i.e. they're not fully impact resistant but are shatterproof. 					
Aug 20 Update: <ul style="list-style-type: none"> • Archived following a meeting with ACC Smith. There was little evidence of public disquiet over the FEOs being closed and they are now open. 					

Risk to staff from lack of available PPE					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0178	3	1	3 <input type="checkbox"/>	3 <input type="checkbox"/>	<input type="checkbox"/>
Risk Owner: Supt Potter					
Responsible Officer: ACC Potter					

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Controls:

- Silver oversees stocks and deliveries of PPE.
- Internal comms about the appropriate use of PPE.
- Burn rate monitored. Sharing of information regarding stocks with other forces.
- Tactical plan for distribution and use.
- Mapping of PPE stocks within wider LRF Comms sent to officers regarding updated NPCC guidance.
- National PPE assurance process.
- Discrepancies between NPCC guidance and exhibit handling guidance clarified.
- Investigation into counterfeit PPE.
- PPE orders increased due to predicted higher burn rate when first aid and OST courses recommence in August.

Aug 20 Update:

- Archived following a meeting with ACC Smith. Due to the management system around PPE, this issue had not materialised. It is dealt with as BAU through Silver.

Managing the return to work of staff with building-based health & safety or wellbeing roles

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0201	3	1	3 <input type="checkbox"/>	3 <input type="checkbox"/>	<input type="checkbox"/>

Risk Owner: ACC Smith

Responsible Officer: ACC Smith

Controls:

- Ongoing monitoring of alarm testing
- Management of return to work

Aug 20 Update:

- Archived following a meeting with ACC Smith. This risk has not materialised and is dealt with as business as usual.

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Appendix D: Changes in risk score (Medium and Low risks)

Risk of additional demand to the force from the Coronavirus special measures legislation					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR016	4	1	4 □	8 □	↓
Risk Owner: ACC Smith					
Responsible Officer: Peter Coogan					
Controls: <ul style="list-style-type: none"> • Maximising frontline capacity • Communications strategy • Resource levels monitored through daily management meeting • Local authority responsibilities • Documents regarding most appropriate agency shared • Investigation guidance document • Demand monitored through Crime and Ops meeting • Monitoring of FPNs • Grading policy • FOI requests answered nationally 					
Oct 20 Update: <ul style="list-style-type: none"> • Details of changed in legislation regularly communicated • National strategy updated following changes in legislation and move of focus from recovery to response • FPN disproportionality investigation • Risk reduced at Op Talla Gold as likelihood had fallen with force managing demand 					

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Decreasing ability to track vehicles and get accurate data required for Ops/CMD, TU, and PSD					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0099	3	2	6 □	8 □	↓
Risk Owner: Paul Dawkins					
Responsible Officer: C/Insp Parkes					
Controls: <ul style="list-style-type: none"> Stakeholder meetings IR3 upgrade Replacement of HUF boxes with ASTRA boxes 					
Sept 20 Update: <ul style="list-style-type: none"> Tests of the new ASTRA boxes were successful and they work Have now been able to start solution implementation This process is complex with lots of internal and external stakeholders, in addition to being resource intensive We continue to be able to map individuals, if not the cars All hardware available to put in vehicles which will work with IR3 The conversion to the new boxes will take a few months Recommend the risk (impact) has reduced from 4x2 to 3x2 because we now have a solution that is in progress Once the conversion is completed the risk will be put forward for archive 					

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Unacceptable Volume of Grievances Related to Disability					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0430	2	2	4 □	6 □	↓
Risk Owner: Lynne Woodward					
Responsible Officer: Lynne Woodward					
Controls: <ul style="list-style-type: none"> • Strategic Fairness and Equality Board • Engagement with key internal stakeholders • OP Fox • Disability Independent Advisory Group • Renewed disability confident employer application 					
Sept 20 Update: <ul style="list-style-type: none"> • There has been a new Diversity and Inclusion Strategy adopted • A series of events were planned around Diversity but were cancelled due to C19 • There has been a fall in grievances around issues such as menopause and reasonable adjustments, but could be due to increased working from home • 2019/20 (July-June) saw 24 grievances in total. 12 had some form of discrimination attached. Of those 2 sited disability, 3 did not identify what kind, 2 for pregnancy/maternity, 3 sex discrimination, 1 marriage and civil partnership, 1 race, religion and belief. • In relation to disability, the risk has therefore gone down • Recommend Impact reduces to 2x2 = 4 (Low) 					

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Potential withdrawal of LFRS from forensic arson investigation					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0189	3	1	3 □	6 □	↓
Risk Owner: C/Supt O'Neill					
Responsible Officer: Supt Starbuck					
Controls: <ul style="list-style-type: none"> • Lead from Derbyshire FRS • EMSOU-FS collaboration • Arson strategy • Regular meetings with senior FRS colleagues • Working Group set up 					
Sept 20 Update: <ul style="list-style-type: none"> • Ascertained that Andrew Price from EMSOU FS has been dealing with Derbyshire FRS in relation to ISO 17020 • In 2019, LFRS Level 2 Fire Investigators attended an arson scene (with CSI) 64 times. On each occasion an MG22a was completed. Similarly, in 2020 12 MG22a have been completed to date • Neither CoP or NCA can provide fire investigation forensic support, It would be a matter for the Home Office • UK Association of Fire Investigators have been liaising with fire services around the country to gauge their commitment and readiness for accreditation, so there is awareness in the sector of what needs to be done and attempts to coordinate action. • The Forensic Science Regulator recently updated codes of conduct which includes a revised deadline for fire investigation accreditation of <u>October 2023</u> – so the deadline is no longer next year, giving 3 years' grace • There is a new national lead being created through the National Fire Chief Council (NFCC) and the Forensic Capability Network (FCN). • Whilst the impact of the risk remains the same, the extended deadline improves the likelihood of finding a solution and it is recommended that this reduces the overall likelihood of the risk from '2' to '1' reducing the risk from '6' to '3' 					

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Appendix E: New Risks

Risk of excessive demand during winter 2020/21 due to upsurge of COVID cases, flu and adverse weather events					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0212	4	2	8 □	N/A	New Risk
Risk Owner: ACC Smith					
Responsible Officer: ACC Smith					
Controls: <ul style="list-style-type: none"> Controls from risk assessments to control COVID will also be protective against flu 					
Oct 20 Update: <ul style="list-style-type: none"> New risk generated to prepare for winter period All buildings have had 2 walkthroughs and will have a third in October/November to ensure C19 measures are in place and working Business continuity plans are all up to date to deal with winter events 					

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Appendix F - 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