OFFICE OF CHIEF CONSTABLE AND POLICE AND CRIME COMMISSIONER

FORCE RISK REGISTER

WEDNESDAY 29th JULY 2020

MATT JONES – HEALTH, SAFETY AND RISK ADVISOR

Purpose of report

1. 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

2. The panel is recommended to review the contents of this report and the updates provided in respect of both high priority risks and risks of note.

Summary

3. There are currently 45 strategic risks on the risk register with 16 of these risks being rated as ‘High’ priority. This includes several new risks added as part of the COVID-19 response.

High Risks

4. 16 risks are currently rated as ‘High’ priority. These risks are detailed at Appendix A.

New Risks

5. There are 28 new risks. 19 of these are related to COVID-19 and are updated weekly through the Op Talla Gold Group. These have been colour-coded in Appendix B.

Risks of Note / Archived

6. Risks of Note

   1 risk has increased

   1 risk has decreased

   These have been colour-coded and can be seen in Appendix B.

7. Archived Risks

   13 risks have been archived since JARAP last met in January 2020.

   These have been colour-coded and can be seen in Appendix B.
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.

<table>
<thead>
<tr>
<th>Risk Score</th>
<th>‘RAG’ Rating</th>
<th>Review</th>
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<tbody>
<tr>
<td>9 - 16</td>
<td>High</td>
<td>Monthly</td>
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<tr>
<td>5 - 8</td>
<td>Medium</td>
<td>3 Monthly</td>
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<tr>
<td>1 - 4</td>
<td>Low</td>
<td>3 Monthly</td>
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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 46 strategic risks on the force risk register.
Risk Matrix Grid Chart:

Appendices

Appendix A: High priority risks
Appendix B: Summary of 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
Email: Rob.Nixon@leicestershire.pnn.police.uk

Paul Dawkins – Temp Finance Director for OPCC – (0116) 248 2244
Email: Paul.Dawkins@leicestershire.pnn.police.uk

Matt Jones – Health, Safety and Risk Advisor – (0116) 248 6943
Email: matthew.jones@leicestershire.pnn.police.uk
## Appendix A: High Priority Risks (Red)

### Churn of staff and ongoing establishment pressure

<table>
<thead>
<tr>
<th>Risk</th>
<th>Impact Score</th>
<th>Likelihood Score</th>
<th>Current Score</th>
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<th>Movement</th>
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<tbody>
<tr>
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<td>4</td>
<td>4</td>
<td>16</td>
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</table>

Risk Owner: DCC Nixon  
Responsible Officer: Alastair Kelly  

**Controls:**
- Workforce Development Board  
- Target Operating Model and change team analysis  
- Volunteer support  
- Development of an academy and apprenticeships  
- Management of staff uplift  
- Improving skills and technologies  
- Recruitment strategy  
- Workforce Engagement Strategy  
- Mentors and tutors  
- PC to Sgt development programme  
- COVID-19 Recovery Cell and Establishment Workshops

**July 20 Update:**
- The Workforce Development Board met for the first time on 22\textsuperscript{nd} April, merging the previous Strategic Establishment, Leadership & Capabilities Board and the People Programme Board.  
- During the ongoing COVID-19 pandemic, establishment workshops were held and essential training was maintained.  
- The risk register for the People Programme Board was refined to cover this strategic risk.  
- The new risk is being fully reviewed at the next Workforce Development Board on 16\textsuperscript{th} July 2020.
### Uncertainty regarding future COVID19 restrictions on the public and lack of notice when restrictions change

<table>
<thead>
<tr>
<th>Risk</th>
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<td>STR0198</td>
<td>4</td>
<td>4</td>
<td>16</td>
<td>12</td>
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</tr>
</tbody>
</table>

**Risk Owner:** ACC Smith  
**Responsible Officer:** ACC Smith  

**Controls:**
- 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  
- 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

**July 20 Update:**
- Last reviewed with ACC Smith and Peter Coogan 11/06/20. Monitored at Op Talla Gold.
Diminished Capacity and Lack of Accreditation within CSI

<table>
<thead>
<tr>
<th>Risk</th>
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<tr>
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</table>

Risk Owner: C/Supt Shane O’Neill

Responsible Officer: John O’Dwyer

Controls:
- 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

Jul 20 Update:
- Scene attendance criteria is being amended and will be sent to Ch Supt CAID for review
- Vehicle racking re-fits are currently being done on a rolling programme
- There is a view to increase admin support post C19
- Awaiting a new deadline for ISO accreditation
- There has been staff recruitment, and when 7 vulnerable staff are able to return to work post C19 the risk is expected to reduce
# Ineffective Tracking of Force Assets

<table>
<thead>
<tr>
<th>Risk</th>
<th>Impact Score</th>
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</table>

Risk Owner: C/Supt Martyn Ball

Responsible Officer: Steve Morris

## Controls:

- 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
- 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

## Jul 20 Update:

- Due to impacts of COVID-19 this initially lost traction.
- In April the Information Manager opened up a wider corporate governance work stream, to look at the wider tracking of force assets.
By July the momentum had picked up with CI Ben Gillard taking over. The key update is that a working group now exists and our understanding of the risk is that it has actually reduced and we are just doing some work to reality check this before a recommendation is made to SORB. Our focus at the moment is CAPTOR sprays and we will then look at the wider assets.

<table>
<thead>
<tr>
<th>Risk</th>
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</table>

Risk Owner: David Craig

Responsible Officer: David Craig

Controls:
- 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

Jul 20 update:
- Three Solutions Architects have now been recruited from the IT Department by the Digital Transformation team.
- The risk originally centred on the capability for IT to support TOM
- In March the TOM was introduced and IT found that the resourcing challenges remained. Recruiting the Solutions Architects exposed
capacity issues with other teams.

- The risk was then reframed to monitor the support form IT to enable digital transformation

### Inability to Meet Regional Occupational Health Demand

<table>
<thead>
<tr>
<th>Risk</th>
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<td>4</td>
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<td>12</td>
<td>16</td>
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</tbody>
</table>

Risk Owner: Alastair Kelly

Responsible Officer: Julie Feechan

**Controls:**

- 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

**Jul 20 Update:**

- Questionnaire planned seeking regional views of OH service but stalled due to COVID-19 work.
- Longer term plans in place to improve governance and allocate SPOCS.
- The plan is to stop all forces doing OH work differently.
- By July demand had reduced with fewer referrals during C19, but they are also taking longer.
- Police officer recruits will soon return and will be getting help from West Mids for appointments.
- The OH review was paused but about to restart.
- The review of OH IT system has restarted and there is a meeting coming up.
- Resources being used to review booking system. Hep B is not currently being done unless a BBV incident. OH continue to negotiate with companies to do Hep B vaccinations, blood tests. This would eliminate demand from no shows, and this, plus new IT system will make biggest difference to risk.
### Risk of an information security breach when staff are working from home during COVID-19

<table>
<thead>
<tr>
<th>Risk</th>
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**Risk Owner:** Steve Morris  
**Responsible Officer:** Steve Morris

**Controls:**
- 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

**Jul 20 Update:**
- Communication messages have been released about information security when working from home. This has included information on scams.  
- Information security and IT continue to work closely to track the threat.  
- Work is ongoing with L&D regarding mandatory information security training.
### Financial impact of the COVID pandemic on the force

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Risk Owner: Paul Dawkins

Responsible Officer: Paul Dawkins

**Controls:**
- PSA with airport in place
- Calculation of indirect and opportunity costs
- Creation of methodology of calculating costs with partners

**Jul 20 Update:**
- Monthly report created and sent to the Home Office regarding costs and income forgone.

### Management of geographical information

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<tr>
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Risk Owner: Supt Wills

Responsible Officer: David Craig

**Controls:**
- STORM programme support
- STORM and Niche upgrades
- Support from Enterprise Architect

**Jul 20 Update:**
- Looking at measures to control the number of mapping systems and build the capacity to manage geographical management systems

### Current JES non-equalities compliant and the implementation of new JES scheme carries risk

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</table>

Risk Owner: Alex Stacey-Midgley

Responsible Officer: Colette Cloete

**Controls:**
- 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

**Jul 20 Update:**
- COVID-19 slowed consultation but now back on track
- HR met with UNISON on 18th June and await further progress
- Purple Book remains in use and aim to have new JES in place this financial year
### Evolving Digital Sophistication Impacting Ability to Undertake Investigations

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<tr>
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</tbody>
</table>

Risk Owner: DCI Reme Gibson

Responsible Officer: DI Pete Flynn

**Controls:**
- 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

**Jul 20 Update:**
- Telematics and Tier 3 (ISP / Chip-off) **Lab** – now completed and in use
- Review of all NPAs completed and mobile device kisoks being installed in relevant locations
- Two **Enterprise Architects** have been recruited, bringing in the right technology capabilities to enable digital sophistication.
- **Open Source Portal** – Training has continued to upskill Level 2 internet research and solutions
- **Virtualisation and automation project** – Proof of function stage to assess both feasibility in the ‘cloud’ and estimate costs.

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Risk Owner: DCC Rob Nixon

Responsible Officer: Alex Stacey-Midgley

**Controls:**
- 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

**Jul 20 Update:**
- Wellbeing Strategy has been signed off and will be published along with a single action plan against the Blue Light Framework
• Moved to new EAP ‘Health Assured’
• 4 sub boards (Emotional Health & Resilience, Physical Health, Mental Health and Financial Health) have met and formed a ‘plan on a page’
• Separate and focused strategic risk assessment raised during the COVID-19 pandemic, including enhanced support for those shielding and working at home
• Wellbeing award has been achieved
• Briefing and debriefing trial has commenced
• Stress survey and stress risk assessment completed for CMD
• Results of 2019 National Police Wellbeing Survey released
• Emerging issues being captured such as burnout and working hours

### Risk of muscular-skeletal injury due to staff working from home for significant periods of time

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<tr>
<th>Risk</th>
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Risk Owner: Peter Coogan

Responsible Officer: Peter Coogan

**Controls:**
- 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

**Jul 20 Update:** Scheme of Work and budget agreed for a new and modern display screen equipment assessment system that includes agile working and working within the home, with enhanced case management. Currently in final stage of procurement before moving to implementation phase.
### Impact on operational policing if schools close for summer holidays

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<thead>
<tr>
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**Risk Owner:** ACC Debenham

**Responsible Officer:** ACC Debenham

**Controls:**
- Business Continuity / Prioritisation of Service Plans
- National view sought
- Await further government and scientific advice
- Resourcing Cell

**Jul 20 Update:**
- It is believed that the children of essential workers will be able to attend school during the Leicester specific lockdown period, however, parents may be less inclined to send their children to school.
## Reputational risk to the force due to delays in the criminal justice system

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<tr>
<th>Risk</th>
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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

### Jul 20 Update:
- Use of PI Tests and upskilling Sergeants
- Review of low value / victimless crime going to task and finish group
- Review of HMCTS’ National Recovery Plan when received
- Plan developed to deal with backlog
## Complying with Home Office Counting Rules & Ensuring High Levels of Crime Data Integrity

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**Risk Owner:** Supt Lou Cordiner  
**Responsible Officer:** Caroline Barker

### Controls:

- 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

### Jul 20 Update:

- The DDM team have expanded, with an additional 8 staff having started and the remaining 4 recruited.
- The additional DDM staff have enabled additional areas of risk in relation to CDI to be scrutinised.
- The force audit team have carried out a replica HMICFRS audit, and whilst there are caveats around the results as it does not completely mirror the HMICFRS audit due to resources available, the results show an improvement overall with CDI compliance to 91.4% which would move us to the ‘Good’ grading band.
### Appendix B - Strategic Risks Overview

#### Highlighting Legend:

- Risks Archived at SORB
- Status Change
- COVID-19 related new risks
- New risk since last meeting

<table>
<thead>
<tr>
<th>Reference</th>
<th>Owner</th>
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<th>Likelihood</th>
<th>Status</th>
<th>Recorded</th>
<th>Last review</th>
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<th>Previous Score</th>
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<tr>
<td>STR0187</td>
<td>Rob Nixon DCC</td>
<td>Churn of staff and ongoing establishment pressure</td>
<td>Very High</td>
<td>Very High</td>
<td>Controls Tasked</td>
<td>April 2020</td>
<td>08/07/20</td>
<td>16</td>
<td>N/A – new risk</td>
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<td>Kerry Smith ACC</td>
<td>Uncertainty around future C19 restrictions on the public and lack of notice when restrictions change</td>
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<td>Controls Tasked</td>
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<td>10/07/20</td>
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<td>STR0055</td>
<td>Shane O’Neill C/Supt - CalD</td>
<td>Diminished Capacity and Lack of Accreditation within CSI</td>
<td>High</td>
<td>Very High</td>
<td>Controls Tasked</td>
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<td>09/07/20</td>
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<td>STR0078</td>
<td>Martyn Ball C/Supt - SSD</td>
<td>Ineffective Tracking of Force Assets</td>
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<td>Very High</td>
<td>Controls Tasked</td>
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<td>09/07/20</td>
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<tr>
<td>STR0081</td>
<td>David Craig Head of I.T</td>
<td>Capacity within I.T. to Support and Enable Digital Transformation</td>
<td>High</td>
<td>Very High</td>
<td>Controls Tasked</td>
<td>May 2019</td>
<td>10/07/20</td>
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<tr>
<td>STR0127</td>
<td>Alastair Kelly ACO HR</td>
<td>Inability to meet regional Occupational Health demand</td>
<td>High</td>
<td>Very High</td>
<td>Controls Tasked</td>
<td>January 2020</td>
<td>06/07/20</td>
<td>12</td>
<td>N/A – new risk</td>
</tr>
<tr>
<td>STR</td>
<td>Name</td>
<td>Role</td>
<td>Description</td>
<td>Risk Source</td>
<td>Impact</td>
<td>Control</td>
<td>Tasked</td>
<td>Date</td>
<td>Score</td>
</tr>
<tr>
<td>---------</td>
<td>-----------------------------</td>
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<td>-----------------------------------------------------------------------------</td>
<td>------------------------------------------------------------------------</td>
<td>---------</td>
<td>--------</td>
<td>-------------</td>
<td>-------</td>
</tr>
<tr>
<td>STR0173</td>
<td>Steve Morris</td>
<td>Head of Information Security</td>
<td>Risk of an information security breach when staff are working from home</td>
<td>High</td>
<td>Very High</td>
<td>Controls</td>
<td>Tasked</td>
<td>March 2020</td>
<td>10/07/20</td>
</tr>
<tr>
<td>STR0183</td>
<td>Paul Dawkins</td>
<td>ACO Finance &amp; Resources</td>
<td>Financial impact of the COVID pandemic on the force</td>
<td>Very High</td>
<td>High</td>
<td>Controls</td>
<td>Tasked</td>
<td>April 2020</td>
<td>10/07/20</td>
</tr>
<tr>
<td>STR0188</td>
<td>Grant Wills</td>
<td>Supt - CMD</td>
<td>Management of geographical information</td>
<td>Very High</td>
<td>High</td>
<td>Controls</td>
<td>Tasked</td>
<td>April 2020</td>
<td>10/07/20</td>
</tr>
<tr>
<td>STR380</td>
<td>Alastair Kelly</td>
<td>ACO Finance &amp; Resources</td>
<td>Current JES non-equalities compliant and the implementation of new JES scheme carries risk</td>
<td>Very High</td>
<td>High</td>
<td>Controls</td>
<td>Tasked</td>
<td>January 2010</td>
<td>01/07/20</td>
</tr>
<tr>
<td>STR0050</td>
<td>Jason Masters</td>
<td>C/Supt - Ops</td>
<td>Meeting Increased Demand</td>
<td>High</td>
<td>Very High</td>
<td>Controls</td>
<td>Tasked</td>
<td>November 2018</td>
<td>01/04/20</td>
</tr>
<tr>
<td>STR0015</td>
<td>Reme Gibson</td>
<td>DCI - CaID</td>
<td>Evolving Digital Sophistication Impacting Ability to Undertake Investigations</td>
<td>High</td>
<td>High</td>
<td>Controls</td>
<td>Tasked</td>
<td>November 2018</td>
<td>10/07/20</td>
</tr>
<tr>
<td>STR0016</td>
<td>Rob Nixon</td>
<td>DCC</td>
<td>Maintaining Workforce Wellbeing</td>
<td>High</td>
<td>High</td>
<td>Controls</td>
<td>Tasked</td>
<td>November 2018</td>
<td>10/07/20</td>
</tr>
<tr>
<td>STR0168</td>
<td>Peter Coogan</td>
<td>Principal H&amp;S Advisor</td>
<td>Muscular-skeletal injury due to staff working from home for significant periods of time</td>
<td>High</td>
<td>High</td>
<td>Controls</td>
<td>Tasked</td>
<td>March 2020</td>
<td>10/07/20</td>
</tr>
<tr>
<td>STR0204</td>
<td>Julia Debenham</td>
<td>ACC</td>
<td>Impact on operational policing if schools close for summer holidays</td>
<td>High</td>
<td>High</td>
<td>Controls</td>
<td>Tasked</td>
<td>May 2020</td>
<td>10/07/20</td>
</tr>
<tr>
<td>STR0208</td>
<td>Mark Harrison</td>
<td>Head of Prosecutions</td>
<td>Reputational risk to the force due to delays in the criminal justice system</td>
<td>High</td>
<td>High</td>
<td>Controls</td>
<td>Tasked</td>
<td>June 2020</td>
<td>10/07/20</td>
</tr>
<tr>
<td>STR0083</td>
<td>Paul Dawkins</td>
<td>ACO Finance &amp; Resources</td>
<td>Back-up Generators unable to operate due to unsuitable diesel</td>
<td>High</td>
<td>High</td>
<td>Controls</td>
<td>Tasked</td>
<td>May 2019</td>
<td>09/04/20</td>
</tr>
<tr>
<td>STR1679</td>
<td>Lou Cordiner</td>
<td>Supt - SSD</td>
<td>Complying with Home Office Counting Rules &amp; Ensuring High Levels of Crime Data Integrity</td>
<td>High</td>
<td>High</td>
<td>Controls</td>
<td>Tasked</td>
<td>June 2013</td>
<td>09/07/20</td>
</tr>
<tr>
<td>STR0054</td>
<td>Rob Nixon</td>
<td>DCC</td>
<td>FMS 2 - Insufficient Workforce Numbers &amp; Skills</td>
<td>Very High</td>
<td>Medium</td>
<td>Controls</td>
<td>Tasked</td>
<td>November 2018</td>
<td>21/03/20</td>
</tr>
<tr>
<td>STR0052</td>
<td>Reme Gibson</td>
<td>DCI - CaID</td>
<td>FMS 5 - Reduction in Partnership Working</td>
<td>Very High</td>
<td>Medium</td>
<td>Controls</td>
<td>Tasked</td>
<td>November 2018</td>
<td>01/04/20</td>
</tr>
<tr>
<td>STR1329</td>
<td>Paul Dawkins</td>
<td>ACO Finance &amp; Resources</td>
<td>Uncertainty Around Future Funding (CSR) Leading to a Reduction in Available Budget</td>
<td>Very High</td>
<td>Medium</td>
<td>Controls</td>
<td>Tasked</td>
<td>May 2019</td>
<td>21/03/20</td>
</tr>
<tr>
<td>STR0079</td>
<td>Julia Debenham</td>
<td>ACC</td>
<td>Impacts of EU Exit on Policing</td>
<td>Medium</td>
<td>Very High</td>
<td>Controls</td>
<td>Tasked</td>
<td>May 2019</td>
<td>10/04/20</td>
</tr>
<tr>
<td>STR0084</td>
<td>Martyn Ball</td>
<td>C/Supt – SSD</td>
<td>Unsafe &amp; Ineffective Transfer of Archives &amp; Evidential Property to EPAC</td>
<td>Very High</td>
<td>Medium</td>
<td>Controls</td>
<td>Tasked</td>
<td>July 2019</td>
<td>09/04/20</td>
</tr>
<tr>
<td>STR0056</td>
<td>Shane O’Neill</td>
<td>C/Supt - CaID</td>
<td>Capability to manage the increase in volume and complexity of Fraud Investigations</td>
<td>Very High</td>
<td>Medium</td>
<td>Controls</td>
<td>Tasked</td>
<td>May 2019</td>
<td>07/05/20</td>
</tr>
</tbody>
</table>
| STR0094 | Martyn Ball  
C/Supt – SSD | Loss of Lost & Found Matching Capability due to SOH | Medium | Very High | Controls Tasked | Sept 2019 | 07/05/20 | 8 | 8 |
| STR0099 | Paul Dawkins  
ACO Finance & Resources | Decreasing ability to track vehicles and get accurate data required for Ops/CMD. TU & PSD | Very High | Medium | Controls Tasked | Sept 2019 | 07/05/20 | 8 | 8 |
| STR0129 | Matt Ditcher  
Supt - CaID | Poor retention of Digital Media Investigators within CAID | Medium | Very High | Controls Tasked | January 2020 | 07/05/20 | 8 | N/A new risk |
| STR0184 | Julia Debenham  
ACC | Risk of additional demand to the force from the Coronavirus special measures legislation | Very High | Medium | Controls Tasked | March 2020 | 10/07/20 | 8 | 8 |
| STR0185 | Kerry Smith  
ACC | Risk of staff being exposed to COVID 19 virus due to work activities | Very High | Medium | Controls Tasked | April 2020 | 10/07/20 | 8 | 4 |
| STR0186 | Shane O’Neill  
C/Supt - CaID | Use of Cloud to store Indecent Images of Children (IIOC) | Very High | Medium | Controls Tasked | April 2020 | 07/05/20 | 8 | N/A new risk |
| STR0082 | Gav Drummond  
DCI - CaID | Non-compliance around ANPR Practices | High | Medium | Controls Tasked | May 2019 | 07/07/20 | 6 | 6 |
| STR0176 | Julia Debenham  
ACC | Risk to staff wellbeing due to COVID-19 epidemic | High | Medium | Controls Tasked | March 2020 | 10/07/20 | 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 | 10/07/20 | 6 | 6 |
| STR0189 | Shane O’Neill  
C/Supt - CaID | Potential withdrawal of LRFS from forensic arson investigation | High | Medium | Controls Tasked | April 2020 | 07/05/20 | 6 | N/A new risk |
| STR0190 | Mark Harrison  
Head of Prosecutions | Additional demand produced by witness care for magistrate courts | Medium | High | Controls Tasked | April 2020 | 10/07/20 | 6 | 6 |
| STR0191 | Steve Morris  
Head of Information Security | 3rd party organisations not security cleared nor accredited | High | Medium | Controls Tasked | April 2020 | 07/05/20 | 6 | N/A new risk |
| STR0199 | Kerry Smith  
ACC | Risk to organisational learning and corporate memory as some Op Talla decisions have not | High | Medium | Controls Tasked | April 2020 | 10/07/20 | 6 | 6 |
| STR0207 | Kerry Smith  
ACC | Co-ordinating the return to work of directorates and departments | High | Medium | Controls Tasked | June 2020 | 10/07/20 | 6 | 6 |
| STR430 | Lynne Woodward  
Head of Equalities | Grievances Related to Disability | High | Medium | Controls Tasked | May 2019 | 07/05/20 | 6 | 6 |
| STR0128 | Paul Dawkins  
ACO Finance & Resources | Potential loss of Kier payroll service | Low | Very High | Controls Tasked | January 2020 | 07/05/20 | 4 | N/A new risk |
| STR0184 | David Craig  
Head of IT | CMD ageing plant and ongoing maintenance | Very High | Low | Controls Tasked | April 2020 | 07/05/20 | 4 | N/A new risk |
| STR0172 | Kerry Smith  
ACC | Inability to meet non-emergency demand for a sustained period | Very High | Low | Controls Tasked | March 2020 | 10/07/20 | 4 | 8 |
| STR0209 | Kerry Smith  
ACC | Risk of detained people being exposed to COVID19 as all Leicestershire Police custody suites are within the protected zone | Very High | Low | Controls Tasked | July 2020 | 10/07/20 | 4 | 4 |
<table>
<thead>
<tr>
<th>ID</th>
<th>Name</th>
<th>Description</th>
<th>Severity</th>
<th>Control</th>
<th>Tasked</th>
<th>Date</th>
<th>Code</th>
<th>Code</th>
</tr>
</thead>
<tbody>
<tr>
<td>STR1801</td>
<td>Alastair Kelly ACO HR</td>
<td>Ability to meet mandatory training requirements</td>
<td>High</td>
<td>Medium</td>
<td>Managed</td>
<td>June 2014</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>STR1844</td>
<td>Dan Pedley C/Insp - SSD</td>
<td>Failure to transition to the ESN</td>
<td>Very High</td>
<td>Low</td>
<td>Controls Tasked</td>
<td>August 2014</td>
<td>4</td>
<td>4</td>
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<tr>
<td>STR1991</td>
<td>Steve Morris Head of Information Security</td>
<td>Threat of cyber-attack on Leicestershire Police</td>
<td>Very High</td>
<td>Low</td>
<td>Controls Tasked</td>
<td>June 2017</td>
<td>4</td>
<td>4</td>
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<tr>
<td>STR2017</td>
<td>Steve Potter Supt – LPD</td>
<td>Ineffective Communication of Firearms Markers to Deployed Officers</td>
<td>Medium</td>
<td>High</td>
<td>Controls Tasked</td>
<td>April 2018</td>
<td>4</td>
<td>4</td>
</tr>
<tr>
<td>STR0080</td>
<td>Martyn Ball C/Supt – SSD</td>
<td>Capacity Risk of EMOpSS Returning into Force</td>
<td>Medium</td>
<td>Medium</td>
<td>Controls Tasked</td>
<td>May 2019</td>
<td>4</td>
<td>4</td>
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<tr>
<td>STR1935</td>
<td>Martyn Ball C/Supt – SSD</td>
<td>Management of seized and found property provision</td>
<td>High</td>
<td>Low</td>
<td>Controls Tasked</td>
<td>June 2016</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>STR0169</td>
<td>Julia Debenham ACC</td>
<td>Risk of reduced confidence in the force due to changes in its service delivery brought about by the need for social distancing</td>
<td>High</td>
<td>Low</td>
<td>Controls Tasked</td>
<td>March 2020</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>STR0177</td>
<td>Kerry Smith ACC</td>
<td>Risk to the force due to closure of front enquiry offices</td>
<td>High</td>
<td>Low</td>
<td>Controls Tasked</td>
<td>March 2020</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>STR0178</td>
<td>Steve Potter Supt – LPD</td>
<td>Risk to staff from lack of available PPE</td>
<td>High</td>
<td>Low</td>
<td>Controls Tasked</td>
<td>March 2020</td>
<td>3</td>
<td>3</td>
</tr>
<tr>
<td>STR0201</td>
<td>Kerry Smith ACC</td>
<td>Managing the return to work of staff with building based H&amp;S or wellbeing roles</td>
<td>High</td>
<td>Low</td>
<td>Controls Tasked</td>
<td>May 2020</td>
<td>3</td>
<td>9</td>
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<tr>
<td>STR11</td>
<td>Alastair Kelly ACO HR</td>
<td>Potential for industrial action affecting our service</td>
<td>Low</td>
<td>Medium</td>
<td>Controlled</td>
<td>October 2007</td>
<td>2</td>
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<tr>
<td>STR0097</td>
<td>Shane O’Neill Supt - CaID</td>
<td>Capability Issues around the reduction in trained motorbike officers within FIB and Regionally</td>
<td>Low</td>
<td>Medium</td>
<td>Controls Tasked</td>
<td>Sept 2019</td>
<td>2</td>
<td>2</td>
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<tr>
<td>STR2006</td>
<td>Martyn Ball C/Supt – SSD</td>
<td>Management of archive provision</td>
<td>High</td>
<td>Medium</td>
<td>Controls Tasked</td>
<td>October 2017</td>
<td>1</td>
<td>1</td>
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<tr>
<td>STR1475</td>
<td>Steve Potter Supt – LPD</td>
<td>Limited ability to collate ASB incidents onto SENTINEL</td>
<td>Low</td>
<td>Low</td>
<td>Managed</td>
<td>May 2012</td>
<td>1</td>
<td>1</td>
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<tr>
<td>STR0098</td>
<td>Julia Debenham ACC</td>
<td>Impacts from delayed retraining for DVI Training Accreditation</td>
<td>Low</td>
<td>Low</td>
<td>Controls Tasked</td>
<td>Sept 2019</td>
<td>1</td>
<td>1</td>
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## Appendix C - Risk Scoring Matrix

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

<table>
<thead>
<tr>
<th>Score</th>
<th>Chance of Occurrence</th>
</tr>
</thead>
<tbody>
<tr>
<td>Very High</td>
<td>&gt;75% (almost certain to occur)</td>
</tr>
<tr>
<td>High</td>
<td>51-75% (more likely to occur than not)</td>
</tr>
<tr>
<td>Medium</td>
<td>25-50% (fairly likely to occur)</td>
</tr>
<tr>
<td>Low</td>
<td>&lt;25% (unlikely to occur)</td>
</tr>
</tbody>
</table>

## Overall Risk Rating

<table>
<thead>
<tr>
<th>Impact x Likelihood</th>
<th>Rating</th>
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</thead>
<tbody>
<tr>
<td>9 - 16</td>
<td>High</td>
</tr>
<tr>
<td>5 - 8</td>
<td>Medium</td>
</tr>
<tr>
<td>1 - 4</td>
<td>Low</td>
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