

**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 26th JANUARY 2021
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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 43 strategic risks on the risk register. This includes 12 'COVID-19' risks managed through the weekly Op Talla Gold Group; as well as 12 EU Exit risks managed through a Gold Group.

High Risks

4. 11 risks are currently rated as 'High' priority. These risks are detailed at Appendix A. All 43 risks are summarised in Appendix A with the COVID-related risks marked by 'COVID' in the reference column; and EU-Exit-related risks marked 'EU Exit' in the reference column.

Archived risks

5. Five risks have been archived since JARAP last met in October 2020. These are detailed in Appendix B.

Changes in risk score

6. The risk score has reduced for three risks and increased for another two. These are detailed in Appendix C.

New risk

7. There are 12 new risks, detailed in Appendix D. 11 of these are EU Exit risks.

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.

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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.

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 43 strategic risks on the force risk register.

Risk Matrix Grid Chart:

	Low	Medium	High	Very High
Very High	1	0	6	0
High	0	4	2	3
Medium	0	1	14	7
Low	1	0	1	3

Appendices

Appendix A: Summary of force risk register

Appendix B: Archived risks

Appendix C: Changes in risk score

Appendix D: New risks

Appendix E: High priority risks not included in above appendices

Appendix F: Risk scoring matrix

Persons to contact

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Appendix A: Risks Overview

Highlighting Legend:

Risks Archived at last (Dec 2020) SORB
Change to risk score
New risk since last meeting

Appendix A		Force Risk Register				26 th January 2021			
Reference	Owner	Title	Impact	Likelihood	Status	Recorded	Last review	Risk Score	Previous Score
STR0055	Shane O'Neill C/Supt - CalD	Diminished Capacity and Lack of Accreditation within CSI	High	Very High	Controls Tasked	May 2019	16/12/20	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	16/12/20	12	12
STR0127	Alastair Kelly ACO HR	Inability to meet regional Occupational Health demand	High	Very High	Controls Tasked	January 2020	16/12/20	12	12
COVID 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	16/12/20	12	12
COVID STR0185	Kerry Smith ACC	Risk of staff being exposed to COVID virus due to work activities	Very High	High	Controls Tasked	April 2020	16/12/20	12	8
STR0187	Rob Nixon DCC	Churn of staff and ongoing establishment pressure	Very High	High	Controls Tasked	April 2020	10/12/20	12	12
STR0188	Grant Wills Supt - CMD	Management of geographical information	Very High	High	Controls Tasked	April 2020	10/12/20	12	12
STR0228	Paul Dawkins ACO Finance & Resources	Pension remedy for police pension scheme	High	Very High	Controls Tasked	December 2020	10/12/20	12	N/A New Risk

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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	16/12/20	12	12
COVID 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	16/12/20	9	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	10/12/20	9	9
STR0056	Shane O'Neill C/Supt - CalD	Capability to manage the increase in volume and complexity of Fraud Investigations	Very High	Medium	Controls Tasked	May 2019	10/12/20	8	8
COVID STR0164	Kerry Smith ACC	Risk of additional demand to the force from the Coronavirus special measures legislation	Very High	Medium	Controls Tasked	March 2020	16/12/20	8	8
COVID STR0172	Kerry Smith ACC	Inability to meet non-emergency demand for a sustained period during COVID	Very High	Medium	Controls Tasked	March 2020	16/12/20	8	8
STR0082	Gav Drummond DCI - CalD	Non-compliance around ANPR Practices	Very High	Medium	Controls Tasked	May 2019	10/12/20	8	8
STR0186	Shane O'Neill C/Supt - CalD	Use of Cloud to store Indecent Images of Children (IIOC)	Very High	Medium	Controls Tasked	April 2020	10/12/20	8	8
STR0184	David Craig Head of IT	CMD ageing plant and ongoing maintenance	Very High	Medium	Controls Tasked	April 2020	10/12/20	8	4
COVID 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	16/12/20	8	8
COVID STR0212	Kerry Smith ACC	Excessive demand during winter from increased COVID cases, flu and adverse weather events	Very High	Medium	Controls Tasked	August 2020	16/12/20	8	8
STR0016	Rob Nixon DCC	Maintaining Workforce Wellbeing	High	Medium	Controls Tasked	November 2018	10/12/20	6	6
STR0078	Kerry Smith ACC	Ineffective Tracking of Force Assets	High	Medium	Controls Tasked	May 2019	10/12/20	6	9
COVID STR0168	Peter Coogan Principal H&S Advisor	Muscular-skeletal injury due to staff working from home for significant periods of time during COVID	High	Medium	Controls Tasked	March 2020	10/12/20	6	9
COVID STR0176	Kerry Smith ACC	Risk to staff wellbeing due to COVID-19 epidemic	High	Medium	Controls Tasked	March 2020	10/12/20	6	6
COVID STR0183	Paul Dawkins ACO Finance & Resources	Financial impact of the COVID pandemic on the force	High	Medium	Controls Tasked	April 2020	10/12/20	6	12
COVID STR0190	Mark Harrison Head of Prosecutions	Additional demand produced by witness care for magistrate courts during COVID	Medium	High	Controls Tasked	April 2020	16/12/20	6	6
EU EXIT STR0213	Sian Walls Chief Inspector - LPD	Significant increase in calls for service of a general nature from the public	Medium	High	Controls Tasked	November 2020	11/12/20	6	N/A New Risk

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EU EXIT STR0215	Steve Potter Supt - LPD	Uncertainty within LLR communities regarding their residency status after a no-Deal Brexit	Medium	High	Controls Tasked	November 2020	11/12/20	6	N/A New Risk
EU EXIT STR0216	Steve Potter Supt - LPD	Increase in Hate Crime across LLR	High	Medium	Controls Tasked	November 2020	11/12/20	6	N/A New Risk
EU EXIT STR0217	Lou Cordiner Supt - LPD	The likelihood of planned protest within LLR	High	Medium	Controls Tasked	November 2020	11/12/20	6	N/A New Risk
EU EXIT STR0218	Lou Cordiner Supt - LPD	The likelihood of spontaneous disorder within LLR	High	Medium	Controls Tasked	November 2020	11/12/20	6	N/A New Risk
EU EXIT STR0219	Jonny Starbuck Supt - CAID	Significant increase in investigative demand against available resources	High	Medium	Controls Tasked	November 2020	11/12/20	6	N/A New Risk
EU EXIT STR0220	Peter Coogan Principal H&S Advisor	Increase in custody demand due to disorder	High	Medium	Controls Tasked	November 2020	11/12/20	6	N/A New Risk
EU EXIT STR0221	Peter Coogan Principal H&S Advisor	Access to medicines by health care professionals for detainees	Medium	High	Controls Tasked	November 2020	11/12/20	6	N/A New Risk
EU EXIT STR0222	Peter Coogan Principal H&S Advisor	CPS colleagues dealing with significantly increased caseload	High	Medium	Controls Tasked	November 2020	11/12/20	6	N/A New Risk
EU EXIT STR0223	Peter Coogan Principal H&S Advisor	The courts may not have the capacity to handle the increased case load	High	Medium	Controls Tasked	November 2020	11/12/20	6	N/A New Risk
EU EXIT STR0225	Peter Coogan Principal H&S Advisor	Staff deployment out of force area to support mutual aid	High	Medium	Controls Tasked	November 2020	11/12/20	6	N/A New Risk
EU EXIT STR0226	Ian Fraser Head of Procurement	Procurement implications for EU Exit	High	Medium	Controls Tasked	November 2020	11/12/20	6	N/A New Risk
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	10/12/20	6	6
STR0191	Steve Morris Head of Information Security	3rd party organisations not security cleared nor accredited	High	Medium	Controls Tasked	April 2020	10/12/20	6	6
COVID STR0207	Kerry Smith ACC	Co-ordinating the return to work of directorates and departments during COVID	High	Medium	Controls Tasked	June 2020	10/12/20	6	6
STR0128	Paul Dawkins ACO Finance & Resources	Potential loss of Kier payroll service	Low	Very High	Controls Tasked	January 2020	11/12/20	4	4
COVID STR0209	Kerry Smith ACC	Risk of detained people being exposed to COVID19 in custody	Very High	Low	Controls Tasked	July 2020	11/12/20	4	4
STR1844	Dan Pedley C/Insp - SSD	Failure to transition to the ESN	Very High	Low	Controls Tasked	August 2014	10/12/20	4	4
STR2017	Steve Potter Supt – LPD	Ineffective Communication of Firearms Markers to Deployed Officers	Very High	Low	Controls Tasked	April 2018	10/12/20	4	4
STR430	Lynne Woodward Head of Equalities	Grievances Related to Disability	Medium	Medium	Controls Tasked	May 2019	10/12/20	4	4

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STR0189	Shane O'Neill C/Supt - CaID	Potential withdrawal of LRFS from forensic arson investigation	High	Low	Controls Tasked	April 2020	10/12/20	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	10/12/20	2	2
STR1475	Steve Potter Supt – LPD	Limited ability to collate ASB incidents onto SENTINEL	Low	Low	Managed	May 2012	10/12/20	1	1



Appendix B: Risks archived from strategic risk register

Non-compliance of ANPR standards and server vulnerabilities					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0082	4	2	8 ●	8 ●	→
Risk Owner: DCI Drummond					
Responsible Officer: Lesley McCorkell					
Controls: <ul style="list-style-type: none"> • Delivery Plan • Delivery Group • Assessment of camera audit requirements • Replacement of BOF • Installation of dumb cameras 					
Dec 20: <ul style="list-style-type: none"> • ANPR risks all merged to form 1 risk • All ANPR cars are compliant to Reg 109 • BOF replaced until NAS comes in • Remaining 4 dumb cameras due in Jan 21 • Dec 20 SORB agreed to archive from strategic risk register and monitor at local CAID risk register 					

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
STR0082	3	2	6 	6 	→
Risk Owner: Paul Dawkins					
Responsible Officer: CI Parkes					
Controls: <ul style="list-style-type: none"> Stakeholder meetings Replacement of HUF boxes 					
Dec 20: <ul style="list-style-type: none"> Chosen solution is in place Replacing the entire fleet with new Astra boxes which replace the Huf box. Predictions are around 6 months to complete this as vehicles come in for routine maintenance or repair. The old HUF units are still working - in the main, so we can track the HUF and the Astra box cars in old and new Ir3 respectively We have been advised that the old iR3 can be maintained and used until we have completed the migration. There is still some ongoing work around the fleet solution but in terms of this risk as a whole, it is ready for archive Agreed to archive at Dec 2020 SORB 					



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3rd party organisations not security cleared nor accredited					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0191	3	2	6 	6 	→
Risk Owner: Steve Morris					
Responsible Officer: Steve Morris					
Controls:					
<ul style="list-style-type: none"> • Business process for working with third party organisations • List of third party organisations 					
Dec 20:					
<ul style="list-style-type: none"> • As of the 30th November Steve Morris took over the physical security portfolio from procurement • As such SORB Dec 2020 agreed risk can be archived and added to SSD risk register • We have made inroads already and reduced access to over 150 and counting. 					



Capability Issues around the reduction in trained motorbike officers within FIB and Regionally					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0097	1	2	2 	2 	→
Risk Owner: Supt Bhakta					
Responsible Officer: DCI Drummond					
Controls:					
<ul style="list-style-type: none"> • Training plan 					



Dec 20:

- We now have 2 fully trained bikers within the department with a third due to go on his course in 2 weeks' time. If successful that will bring us up to three
- However, even with 2 the risk is decreased significantly compared to only running with 1.
- FIB also forward planned and have 3 more officers currently in the very early stages of recruitment who all hold motorcycle licenses. This should give further resilience as they progress through their training
- Recommendation that risk is archived was agreed at SORB Dec 2020.

Co-ordinating the return to work of directorates and departments during COVID 19					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0207	3	2	6 	6 	→
Risk Owner: ACC Smith					
Responsible Officer: ACC Smith					
Controls:					
<ul style="list-style-type: none"> • Communication strategy • Risk assessment working group • Building and departmental risk assessments • Individual risk assessments • COVID Delivery Cell 					
Dec 20:					
<ul style="list-style-type: none"> • ACC Smith requested that this risk be archived as work in this area has currently ceased following new government guidance and the increase in COVID cases. • Agreed to archive in Op Talla Gold. 					

Appendix C: Changes in risk score



Risk of staff being exposed to COVID 19 virus due to work activities					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0185	4	3	12 	8 	↑
Risk Owner: ACC Smith					
Responsible Officer: ACC Smith					
Controls: <ul style="list-style-type: none"> • Staff continue to work from home where possible • CMD manage deployments to reduce exposure • Risk assessments in place for every department and include all measures such as requirement for distancing • PPE management and national guidance • Management of training courses • Wellbeing being managed • Delivery of policing in a remote manner where possible • Staff reminded not to come in if symptomatic • Delivery Cell in place that meets twice per week. This includes an email inbox. 					
Dec 20 Update: <ul style="list-style-type: none"> • Risk level increased and new control added about challenging managers regarding their use of space. • Positive PHE reports following visits to CMD and Coalville • HSE contacted force regarding measures at CMD but were satisfied that they did not need to visit • Delivery Cell visits allow spot checks in buildings • Considering new style of door handles that avoid need to use hand • Antibody and antigen testing regimes introduced 					

CMD ageing plant and ongoing maintenance					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0184	4	2	8 	4 	↑
Risk Owner: David Craig					
Responsible Officer: Grant Wills					
Controls: <ul style="list-style-type: none"> • Identified plant improvement options • Considering options including new plant • Considering mirrored system • Looking at options to outsource some IT equipment • Ongoing planned repair work 					
Dec 20: <ul style="list-style-type: none"> • Recent IT outages not linked to the electrical system • This risk been included as part of the broader IT Outage review. Proposals to replace key infrastructure elements are being considered by the PCC. • The money has now been agreed to upgrade the cooling system in CMD, resolve the issues with the UPS/generator and replace the defective switch gear. • However, the spend is not authorised until next financial year so we are running with the risk for a few more months. ➤ The longer term is more of a problem. Although we have a good robust system we do not have a mirrored system meaning we have to close part/all of the system to carry out maintenance. This causes CMD/IT huge issues when this work needs to be carried out. As the plant gets older, more maintenance is required to retain its robustness. The last full shut down took a year to plan, the current request for a shutdown (date still not agreed) has taken a year so far and will probably be 18 months before it is complete. It is recommended that we have two full day shut downs each year to adequately maintain the system. 					

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Two options have been discussed to allow the maintenance without causing disruption to IT/CMD.

- Firstly to install a mirrored system.
- Mirror systems are hundreds of thousands of pounds, if not over a million and we do not have the space at HQ. The current building is around 60 years old.
- This would really mean replacing the building and infrastructure. As there is insufficient space left at the HQ site this would also mean purchasing land elsewhere. However, a new CMD building could be at least £20 million so years away if ever possible.
- Secondly, an alternative would be to house much of the IT off site in third party server rooms or in the cloud so it has less interruptions
- These options are being considered by IT. Estates are not party to any discussions regarding the longer-term issues.



Ineffective Tracking of Force Assets					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0078	3	2	6 	9 	↓
Risk Owner: ACC Smith					
Responsible Officer: Steve Morris					
Controls:					
<ul style="list-style-type: none"> • Asset Owner and Working Group established to holistically examine the tracking of incapacitant spray. • Internal Audit of Inca System - Apr 2019 • Refresher training provided • Review of all existing users undertaken • Review of Policy and Procedure completed • Physical review of Police Buildings to identify the location of all current cannisters. • 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) 					

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- INCA included as a mandatory audit within Information Management on a quarterly basis with action plans tracked via SORB
- Consideration of replacing INCA and moving to Chronicle – this is the system that currently tracks all of our Firearms
- 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

Dec 20 Update:

- Software for tracking is being mapped out
- Continue to ensure all assets have adequate tracking and accountability
- A separate workstream is being developed around the reporting of lost assets
- We have Equitrax to track certain items of kit but it doesn't extend as far as we would like.
- A further solution around tracking of all assets will be driven by IT, SSD and the Change Team.
- It needs a project officer but given the oversight, SORB agreed the risk was medium in Dec 2020.



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	2	6 	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 					

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

Dec 20 Update:


- Risk reduced to Medium in October 2020 as staff who are struggling are able to return to the workplace
- New DSE package 'Q-Pulse' being built for roll out in New Year
- Very few DSE assessments or issues being raised

Financial impact of the COVID pandemic on the force					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0183	3	2	6 	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. • 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 					

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<ul style="list-style-type: none"> 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
<p>Dec 20 Update:</p> <ul style="list-style-type: none"> Reimbursement received for some of our expenditure, reducing the risk to medium


Appendix D: New Risks

Pension Remedy for the police scheme					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0228	3	4	12 	N/A	New Risk
Risk Owner: Paul Dawkins					
Responsible Officer: Ruth Gilbert					
<p>Controls:</p> <ul style="list-style-type: none"> Remedy Plan Remedy Lead Local Pension Board Monthly NPCC Pension Team Meeting 					
<p>Dec 20 Update:</p> <ul style="list-style-type: none"> New risk generated. Resources are required to implement a Pension Remedy for the police pension scheme. A National NPCC Scheme questionnaire generated a number of recommendations. A major one of these is to produce a remedy plan by end 2021. Each force needs a remedy lead early in 2021. These need to be built in to the budget. Due to increased system investment and resourcing, force's budget 					

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involves a 50% increase in outsource pension administration costs. Finally, Chiefs Council have agreed an increase of resourcing of NPCC team, so this increases our force contribution.


EU EXIT Significant increase in calls for service of a general nature from the public					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0213	2	3	6 	N/A	New Risk
Risk Owner: Supt Walls					
Responsible Officer: Supt Walls					
Controls: <ul style="list-style-type: none"> • Up to date BC plans • Increased staffing for New Year's Eve and EU Exit period • Minimising flu related absences • COVID secure workplaces to reduce likelihood of C19 related absence 					
Nov 20 Update: <ul style="list-style-type: none"> • New risk generated 					


EU Exit - Uncertainty within European communities within LLR regarding their residency status after a no-Deal Brexit					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0215	2	3	6 	N/A	New Risk


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Risk Owner: Supt Potter
Responsible Officer: Supt Potter
Controls: <ul style="list-style-type: none"> Monitoring through EU Exit Gold meetings
Nov 20 Update: <ul style="list-style-type: none"> New risk generated

EU Exit - Increase in Hate Crime across LLR					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0216	3	2	6 	N/A	New Risk
Risk Owner: Supt Potter					
Responsible Officer: Supt Potter					
Controls: <ul style="list-style-type: none"> Force communications strategy Neighbourhood patrols to provide reassurance 					
Nov 20 Update: <ul style="list-style-type: none"> New risk generated 					


EU Exit - The likelihood of planned protest within LLR					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0217	3	2	6 	N/A	New Risk
Risk Owner: Supt Cordiner					
Responsible Officer: Supt Cordiner					
Controls: <ul style="list-style-type: none"> Force engagement with protest organisers Monitoring of public order resources 					
Nov 20 Update: <ul style="list-style-type: none"> New risk generated 					


EU EXIT - The likelihood of spontaneous disorder within LLR					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0218	3	2	6 	N/A	New Risk
Risk Owner: Supt Cordiner					
Responsible Officer: Supt Cordiner					
Controls:					
<ul style="list-style-type: none"> Monitoring of public order resources 					
Nov 20 Update:					
<ul style="list-style-type: none"> New risk generated 					

EU EXIT - Significant increase in investigative demand against available resources					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0219	3	2	6 	N/A	New Risk
Risk Owner: Supt Starbuck					
Responsible Officer: Supt Starbuck					
Controls:					
<ul style="list-style-type: none"> Monitoring resources against demand 					
Nov 20 Update:					
New risk generated					


EU EXIT - Increase in custody demand due to disorder					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0220	3	2	6 	N/A	New Risk
Risk Owner: Peter Coogan					
Responsible Officer: Peter Coogan					
Controls: <ul style="list-style-type: none"> • Additional resources for custody • Existing actions from COVID Gold to mitigate flu and COVID absence • Updated BC Plans • COVID secure workplaces 					
Nov 20 Update: <ul style="list-style-type: none"> • New risk generated 					


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EU EXIT - Access to medicines by health care professionals for detainees					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0221	2	3	6 	N/A	New Risk
Risk Owner: Peter Coogan					
Responsible Officer: Peter Coogan					
Controls: <ul style="list-style-type: none"> Monitoring through EU Exit Gold meeting 					
Nov 20 Update: <ul style="list-style-type: none"> New risk generated 					

EU EXIT - CPS colleagues dealing with significantly increased caseload					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0222	3	2	6 	N/A	New Risk
Risk Owner: Peter Coogan					
Responsible Officer: Peter Coogan					
Controls: <ul style="list-style-type: none"> Monitoring through EU Exit Gold meeting 					
Nov 20 Update: <ul style="list-style-type: none"> New risk generated 					



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EU EXIT - The courts may not have the capacity to handle the increased case load					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0223	3	2	6 	N/A	New Risk
Risk Owner: Peter Coogan					
Responsible Officer: Peter Coogan					
Controls: <ul style="list-style-type: none"> • MoU with HMCTS to share their data • Plans exist to deal with backlog • Weekly meetings with HMCTS to discuss court capacity • Plans prioritise vulnerability • Greater use of out of court disposals 					
Nov 20 Update: <ul style="list-style-type: none"> • New risk generated 					

EU EXIT - The deployment of staff out of force area to support mutual aid & therefore unable to perform their primary role for the force					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0225	3	2	6 	N/A	New Risk
Risk Owner: Peter Coogan					
Responsible Officer: Peter Coogan					
Controls: <ul style="list-style-type: none"> • Monitoring through EU Exit Gold meeting 					
Nov 20 Update: <ul style="list-style-type: none"> • New risk generated 					



EU EXIT Procurement implications for EU Exit					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0226	3	2	6 	N/A	New Risk
Risk Owner: Ian Fraser					
Responsible Officer: Ian Fraser					
Controls:					
<ul style="list-style-type: none"> Contract review 					
Nov 20 Update:					
<ul style="list-style-type: none"> New risk generated 					

Appendix E: High Priority Risks (Red)

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:					

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<ul style="list-style-type: none"> • EMSOU-FS Cross Border Assistance • UKAS Accreditation plan and budget • Regional Scene attendance criteria (Form FS360) now in place • Business Case for CSI Capacity • Increased admin support to operational staff
<p>Dec 20:</p> <ul style="list-style-type: none"> ➤ All sites are within the timeframe to gain accreditation next year ➤ Accreditation is down to the Forensic Science Regulator as it has been reset to 1st Oct 2021 ➤ UKAS may not be able to visit by the deadline ➤ There is still a lot of work needed to do to get accredited ➤ Budget set aside to facilitate accreditation ➤ Recognised COVID may result in having to extend time-scales further ➤ Most staff back in workplace but approx. 3 still at home and workload is increasing ➤ It is just volume crime that is down on normal levels as serious and major are back to normal ➤ The 5 new staff recruited have not landed yet and are due Dec/Jan and then will require 3-4 months training

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					
<p>Controls:</p> <ul style="list-style-type: none"> • Change Board and Change Team Programme Management • Design Authority and Digital Futures Board 					

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- 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
- Solutions Architects within the IS Section

Dec 20 update:

- The paper for additional resource has been approved in principle at Change Board and is now awaiting SAB approval
- The restructuring of the Comms and Support section is underway, single leadership has been established and review of the team's roles underway to merge 1st, 2nd and 3rd line support.
- Management lead regrades underway, only two roles outstanding.
- Whilst the approval in principle from Change Board is in place, SORB felt the risk score is unchanged due to the ongoing programmes of work that will require high levels of IT support.

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 					

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- Looking at how cancellations can be reduced
 - Identifying IT and process issues
 - Considering new future models
 - Improving the management of records
 - Regional review of Occupational Health
- Dec 20**
- Business case written for procurement of new IT system and seeking regional funding, which may evolve into a separate risk
 - Assistance has been sought from SSD to provide a tool which would assist in profiling and prioritising OH demand
 - Exploring Business Manager role.
 - Early discussions have taken place between pharmacy companies to try to outsource the provision of Hep B.

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	4	12 ●	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 					

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- Oversight and guidance from National Cyber Security Centre
- 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
- The force has identified systems that should not be used at home

- Dec 20 Update:**
- Any concerns will continue to be flagged to Professional Services Department
 - Staff reminded not to use personal devices for force business
 - Principles for working post COVID have been released
 - Formal assessments taking place for each role and the long-term suitability for home working
 - Formal staff briefings and confidentiality agreement in process
 - Home working policy, procedures and guidance being written

Churn of staff and ongoing establishment pressure					
Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
STR0187	4	3	12 	12 	→
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

Dec 20:

Pillar approach continues with each having priority activities.

1) Pipeline: *toy car to day 1*

- Focus Groups and questionnaires have provided data on experiences from initial engagement to initial induction
- Pillar organised in to 3 workstreams (engage and encourage; attract and recruit; welcome, support and develop):

Engage and encourage

- Reviewing engagement and recruiting profiles
- Providing earlier information to potential candidates e.g. on healthy living and fitness
- Continued engagement with schools
- Looking at cadet profile including Somalian cadets

Attract and recruit

- Continue to manage unprecedented scale of officer recruitment
- Pre-employment data analysis completed (vetting and occupational health) which will inform a business case
- Special to PC transition scheme – one of 10 forces to run pilot
- Vetting fact sheet created
- Contacted all BAME candidates that withdrew their application since Jan 20. 25% reapplied with additional support provided
- DHEP business case completed with focus groups to help influence assessment criteria before piloting the assessment
- Designing a new recruitment campaign with a creative agency

Welcome, support and development

- Review of familiarisation events
- Welcome pack being further updated
- Further improvement to induction process

2) Workplace 2.0: *Experience with the Force*

- Analysing COVID learning and recovery to inform new normal
- Coordinating ageing workforce deployment workstreams to support a diverse ageing profile

Wellbeing

- Bluelight framework self-assessment 89% complete
- Improving access to Health Assured system together with advertisement of the range of offers
- Trialled resilience training from Health Assured and considering further roll-out
- Wellbeing offer promoted in all training
- Wellbeing brochure being designed
- Developing a Strategic workforce Wellbeing Assessment

Workforce engagement

- Completed Q&A sessions and looking at arranging more
- Working Safely in the Workplace newsletter finalised
- Revised Workforce Engagement Strategy drafted
- Chief Inspector secondment created to lead engagement

Policy regime and COVID recovery

- Weekly review of COVID HR and Wellbeing pages
- 1-page document created on future ways of working
- Mediation training was postponed due to COVID restrictions

Reward recognition and benefits

- Increased value of cycle to work scheme

3) Careers: *Nurturing potential from entry to exit*

Academy

- Completed the mapping of existing L&D leadership learning provision
- Leadership & management with L&D merged to create one academy team
- Drafted roles and responsibilities for faculty leads, practice leads and communities of practice
- Considering post-retirement opportunities and alumni
- Academy allowing better use of the many subject matter experts
- Identifying future use of video uploads to allow peer-to-peer knowledge sharing

PDR



- Visionary document produced and initial set-up shared with boards
- New vision has improved links to competency and values framework
- On target for April 2021 delivery but need a more developed IT solution

Skills and capabilities

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-Handover document has been drafted
 -Continued development and roll-out of Power BI
 -Continued review of retirements over next 2 years to identify skills gaps
 -Learning Needs Analysis completed and findings being shared with pillar leads
Strategic Placement Board
 -New officer recruitment remains on track to achieve agreed uplift milestones
 -Local risk register set up

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 					
Dec 20 Update: <ul style="list-style-type: none"> • Requested new post to manage maps and gazetteers • Paper for this resource has been approved at Change Board • Contractor engaged for pressing work to update maps. 					

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 					
Dec 20 Update: <ul style="list-style-type: none"> • Consultants' report recommended a way forward being presented to Gold • It will extend the project by 6 months' potentially (so 6 months from Gold) to bring us to the point of sharing outcomes • The current purple book scheme would need so much revision to make it fit for purpose, that it would to all intents and purposes be a new scheme. • The knock-on effect of this would be starting the project from scratch and re-evaluating all posts. • The staff risks are the same, but could be exacerbated by further delay in delivery. 					

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- The other emerging risk is the resourcing of JE as we are stretching the capacity of trained evaluator by running with 2 schemes at the moment, particularly in light of the additional work that COVID has brought into all departments

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 	9 	→
Risk Owner: Mark Harrison					
Responsible Officer: Mark Harrison					
Controls: <ul style="list-style-type: none"> 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 Review of current backlogs and plan created to deal with backlog Use of PI tests and upskilling Sergeants 					
Dec 20 Update: <ul style="list-style-type: none"> Work continues with the CPS to deal with delays and avoid reputational risk 					

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 ●	9 ●	→
Risk Owner: Supt Lou Cordiner					
Responsible Officer: Caroline Barker					
Controls: <ul style="list-style-type: none"> • 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 • 12 additional staff have now started within the DDM team • 					
Dec 20 Update: <ul style="list-style-type: none"> • HMICFRS replica audit undertaken which 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. • Awaiting results of the audit. 					

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.

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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.

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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