

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

PAPER MARKED

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Report of	CHIEF CONSTABLE
Subject	RISK REGISTER
Date	TUESDAY 24 SEPTEMBER 2013 – 2.00 P.M.
Author :	INSPECTOR D MALLOY

Purpose of Report

1. This report provides JARAP with information about the Corporate Risk Register; highlighting the high priority, newly registered and risks of note.

Recommendation

2. The Panel is asked to discuss the contents of this report and note the current state of risk arrangements.

Summary

3. The Force Strategic Organisational Risk Board (SORB) oversees and directs the strategic risks facing the Force
4. This Board last met on 13th August 2013 and was chaired by T/DCC Morgan. The OPCC was represented by Peter Lewis at this Board.
5. The OPCC risks are overseen by the Chief Executive and presented to the Senior Management Team within the Office of the Police and Crime Commissioner.

Risk

6. The Corporate Risk Register identifies the key strategic risks. In the main these risks represent long-term issues, and typically remain on the register for long periods.
7. All risks are scored on an ascending scale of 1-4 in terms of impact and likelihood. Multiplication of these two figures leads to a risk priority which is expressed as a “RAG” rating.

8. “Red” risks will be reviewed at least monthly. “Amber and Green” risks will be reviewed at least quarterly.

Risk Status

9. A “controlled” risk is in the ideal state: Circumstances or time may change this state.
10. A risk is “awaiting control” when additional controls have been identified to control it. These additional controls will have an owner and completion date.
11. A risk is “overdue control” when the completion date for additional controls has passed.
12. A risk is “managed “when no further action can be taken to reduce the risk further, but the risk is not acceptably controlled.
13. Awaiting Review: A managed risk which requires a review (may also be a new risk prior to 1st review).
14. The risk assessment matrix is attached as appendix B

Strategic risks

15. There are 46 identified Police strategic risks on the risk register. There are 9 identified risks on the OPCC risk register.
16. The risk status is shown below.

Date	16 September 2013	OCC	% of Total	OPCC	% of Total
Controlled		15	33	0	0
Awaiting Control		16	35	2	22
Overdue Control		0	0	5	56
Managed		15	33	1	11
Overdue Review		0	0	1	11
Total Risks		46		9	

17. The overall risk rating grid is shown below for the OCC / OPCC risk register.

Strategic Risk Rating Grid		Likelihood			
		Very High	High	Medium	Low
Impact	Very High	1	1	1	1
	High	1	1	13	9
	Medium	1	2	10	8
	Low	1	0	1	4

High Priority Force Risks.

STR430		Inquiry into Disability Related Harassment	
Responsible Officer	Lynne Woodward	Impact / Likelihood	V.High / V.High
Date Recorded	02-Mar-10	Residual Rating	High
Category	Stakeholders/Reputation	Inherent Rating	High
Risk Controls	EHRC Coordinating Group ACPO full response to the inquiry submitted by the 30/6/12 deadline Our evidence sent with the response to the EHRC December 2012 National Gold/Silver groups Media Strategy Strategic Equality & Confidence Board Meeting of key internal stakeholders (Held 31 st July 13) Gold Group		
Additional Controls			
Information	The HMIC carried out an ASB inspection in 2012, which suggested that the Force still faces difficulties in identifying repeat and vulnerable callers. On 23rd October 2012 the Chief Constable received a letter from the EHRC requesting further information on how Leicestershire Police were meeting their equalities duties. This response was sent to the EHRC by Dec 2012.		
Impact	The risk to the force is reputational if disability groups express view that we have let them down or that we do not share info or work well with partners.		
Update	16-Sep-13 -Still awaiting a response from the EHRC: They can issue a Section 23 enforcement letter. <i>(an agreement that they will not investigate or issue unlawful act notice provided that we undertake not to commit an unlawful act and take specified actions.)</i> However as a consequence of a conversation the DCC had with the EHRC, they are conducting a further review.		

STR1679		Missed opportunities: Failure to accurately record crime	
Responsible Officer	Stuart Prior	Impact / Likelihood	High / V.high
Date Recorded	12-Jun-2013	Rating	High
Category	Operational/Performance	Inherent Rating	High
Risk Controls	Audit of "STORM" incidents within CMD Audit Schedule Task and Finish Groups Communication Plan Op Enigma - Gold Group ACPO Lead		
Additional Controls	Delivery Plan – Op Enigma		
Information	The Forces Service Improvement Unit have carried out a number of audits under the heading "Missed opportunities" which have identified issues with the accuracy of our crime recording, both on initial contact and in relation to classification of crime. HMIC have announced plans to carry out visits to examine crime data within forces in 2013/14.		
Impact	Operational: Crimes not being recorded - Reputational: Reported crime figures have been falling, loss of confidence in published figures and in the Police as a whole.		
Update	A Gold Group, chaired by the DCC was established under the name: Op Enigma.. This established a task and finish group, led by the head of Delivering Justice, who meet quarterly. A delivery plan has been developed, from where the additional controls arise..		

STR1329		Transforming Services - Fit For 2017	
Responsible Officer	C/Supt Swann	Impact / Likelihood	V.High / High
Date Recorded	23-Feb-12	Residual Rating	High (12)
Category	Operational/Performance	Inherent Rating	High (16)
Risk Controls	Workforce Modernisation Change Board - Monthly Executive Board Change Programme Regular review – Agenda item at Exec Boards and COT Force Restructure Change Team Agreement of one year plan – 14/15		
Additional Controls	No		
Information	In response to the Comprehensive Spending Review the Force budget has been reduced, requiring us to transform the way we protect our Communities, whilst delivering over £20M in revenue savings by 2016		
Impact	These savings have the potential to have a substantial effect on Service Delivery for the Force.		
Update	Risk reviewed at Aug SORB. Due to the agreement of the one year plan, likelihood reduced to High. Overall rating remains high.		

STR1672		Failure of Custody CCTV	
Responsible Officer	Pete Jackson	Impact / Likelihood	High / High
Date Recorded	28-May-2013	Residual Rating	High
Category	Information Systems/Technology	Inherent Rating	Medium
Risk Controls	Business case and outline of new system agreed by Change Board New system designed Existing CCTV System		
Additional Controls	New system specified and supplier identified		
Information	Safer Detention Guidance recommends that CCTV systems are installed within Custody Suites. The current systems are ageing leading to intermittent losses of recording		
Impact	Critical incidents and evidence may not be captured- compromising investigation		
Update	The Business case for the new system has been agreed and The OPCC has allocated funding. The CFO has stated an audit trail in the form of a decision making log must be completed and once completed the equipment can be ordered; the lead time being circa 2 months. The equipment can be fitted with minimal disruption to custody services and has increased storage and remote access capabilities. However likelihood increased to high due to increasing failure rate; overall rating now high.		

New Risks

18. Since the June 2013 JARAP, the following Strategic Risks have been added to Orchid.

STR1709	EMA Policing Provision – Failure to sign PSA		
Responsible Officer	Chris Haward	Impact / Likelihood	Low / Medium
Date Recorded	29-Aug-2013	Residual Rating	Low
Category	Contract / Partnerships	Inherent Rating	Low
Risk Controls	Risk Advisory Group Arbitration Process		
Additional Controls	Engagement with the arbitration process.- C/Supt Swann – 30-Nov-13		
Information	Policing Services at East Midlands Airport are subject to the Airport Security Planning Framework and are paid for by the airport under the Policing Services Agreement (PSA) , This agreement lapsed in Apr-13 and was not for full cost recovery. The Airport have proposed a reduced payment for the new PSA. Under the Home Office legislation there is a specified arbitration process, which is at the first stage..		
Impact	A reduced PSA will lead to an increased funding deficit. If the PSA goes to further arbitration there may be costs to the Force.		
Update	New Risk		

STR1706	Absence / Loss / Churn of Key Personnel		
Responsible Officer	Ali Naylor	Impact / Likelihood	Medium / Medium
Date Recorded	16-Aug-13	Residual Rating	Low
Category	Governance	Inherent Rating	Low
Risk Controls	Regional Support Clearly recorded decision making Governance structure Accountability of the force Facility to “act “staff up		
Additional Controls	No		
Information	The Force has a command structure to provide strategic direction and support to all areas of business.		
Impact	Disruption to business, impact on our ability to deliver our services, loss of continuity of key relationships and change of strategic direction.		
Update	This is a new risk, recorded at the request of the August SORB, It reflects the Force’s ability to respond to the absence/loss/churn of key personnel. To be presented to the Nov SORB.		

Shared Force / OPCC Risk

STR1705	OPCC Stage 2 Transfers		
Responsible Officer	Steph Pandit	Impact / Likelihood	Medium / High
Date Recorded	16-Aug-13	Residual Rating	Medium
Category	People (Staff / Community)	Inherent Rating	Medium
Risk Controls	H.O Process and guidelines Timetable for process Regional Meetings OPCC- National engagement On-going dialogue between PCC and Ch. Constable Development of Management Information Pack		
Additional Controls	Discussion with staff associations - Ali Naylor - 25-Oct-13 MofU and SLA for services - Steph Pandit 31-Oct-13		
Information	Following PCC implementation all Police assets and liabilities were transferred to them. Stage 2 concerns the transfer of staff/properties and rights back to the CC. This transfer should be completed by April 2014		
Impact	Staff and staff association consultation needs to be carried out and the proposals delivered to the Home Secretary by Sept 2013. Failure to deliver proposals may mean the Home Sec. making a decision on the transfers. The transfer itself has resource implication for HR, Finance, etc.		
Update	This is a new risk which was identified at the Aug 2013 SORB. The OPCC risk OPCC1697 has been amalgamated with this and archived.		

OPCC Risks

OPCC1690	Failure to consult and engage sufficiently with public		
Strategic Lead	Paul Stock	Impact/ Likelihood	Med / Med
Date Recorded	19 July 2013	Residual Rating	Low
Category	Politics / Legal	Inherent Rating	Low
Risk Controls	Responding to individual public enquiries Inherited relationships remain effective Increase proactive use of website and other media Facilitate the PCC's public presence and impact Actively foster positive relations with the media/press Web site presence and effective use PCC actively meeting with community and stakeholders Apply a proportionality mechanism for dealing with public enquiries to ensure best use of PCC time and resources		
Additional Controls	Secure the appropriate capability and capacity to support the engagement process - Paul Stock – 2 Sept 2013 Develop a proactive Community Involvement Strategy - Martyn Ball – 30 Sept 2013 Develop a proactive Public Communications strategy - Rebecca Watson – 30 Sept 2013		

Information	<p>The amendments to the Police Act makes the PCC the person responsible for ensuring that appropriate consultation and engagement with communities takes place and the results of this are acted upon and inform the strategic and operational direction of policing in the Force area (although the delivery of operational policing is solely the remit of the Chief not the PCC, it is the PCC's duty to ensure that the public's views are known to the Chief so he can deliver this).</p> <p>The communications made by a PCC will inform the public's perceptions of the PCC and the public's awareness of the role of the PCC, both as an individual and the relationship between the roles of PCC and that of the Chief.</p>
Impact	<p>A failure of the PCC to consult and engage sufficiently may or may not have an impact in Leicestershire (see below) but it would have a reputational impact on the Government as it could be seen in the media as a failure of their policy.</p> <p>If there is very low awareness of the PCC in Leicestershire then it would have minimal impact on policing in the Force area other than the indirect impact of the cost of administrating the OPCC leading to less funding being available for delivering the policing service.</p> <p>If there is awareness of the existence of the PCC but a lack of understanding of the role of the PCC there is the financial implications of having a layer of bureaucracy to transfer matters erroneously received by the PCC that should have been received by Chief (and vice versa although this is less likely). Again this has Value for Money consequences.</p> <p>As well as any legality, if consultation is taking place but is ineffective, the information being received as a result will not be representative of the views of communities and could result in inappropriate objectives being set which could cause reputational damage to PCC and/or Chief.</p>
Update	

OPCC1694	Lack of resource and capacity available to OPCC		
Strategic Lead	Paul Stock	Impact/ Likelihood	High / Low
Date Recorded	19 July 2013	Residual Rating	Low
Category	Infrastructure	Inherent Rating	Medium
Risk Controls	<p>Inherited and interim staff provide capacity</p> <p>All "non operational" employees of the Office of the Chief Constable available to PCC at all times under legislation.</p>		
Additional Controls	<p>Recruit, induct and develop permanent resource - Paul Stock – 30 Sept 2013</p> <p>Complete skills analysis requirements for the OPCC - Peter Lewis – 2 Aug 2013. The Office of the Police and Crime Commissioner is close to permanently filling all established positions on a permanent basis. At the time of this report there are currently 4 posts vacant, 2 have been appointed to and awaiting clearance and 1 post which has been interviewed and anticipated to be appointed to during September. The remaining post is currently subject of a review to ensure it encaptures the skills requirements to support finance, commissioning and performance. It is anticipated that this will be completed by the end of September with the aim of going to advert during October.</p> <p>Undertake OPCC team development sessions to focus and develop the workforce - Peter Lewis - 31 Aug 2013. The OPCC staff have been set objectives and will be undergoing PDR's. From these staff have attended events, seminars and conferences, which have been relevant to their development, but also to the OPCC with respect to current and up and coming issues.</p> <p>Agree and implement with the PCC the Business Plan for 2013/14 - Peter Lewis</p>		

	<p>– 2 Aug 2013. The business plan has been developed and key measures are being established.</p> <p>Use the Business Plan to agree clear lines of responsibility and accountability for the OPCC - Peter Lewis – 2 Aug 2013. Each task within the Business will have a clear owner, responsible for ensuring they have been achieved.</p>
Information	The ability of the PCC to fulfil his duties would be hindered if he does not have access to administrative support.
Impact	<p>There is no risk in terms of workload to the PCC from a lack of resource since the PCC is legally entitled to utilise any of the Chief's resources at any time. The impact would be felt by the Chief if the PCC was accessing resource on an unplanned basis.</p> <p>Regardless of the PCC's legal entitlements, there is a risk to the interpersonal relationships between Chief and PCC if the PCC is continually making short term demands for resource from the Chief.</p>
Update	

OPCC1695	Failure to deliver Police and Crime Plan during a period of reducing funding		
Strategic Lead	Paul Stock	Impact/ Likelihood	High / Medium
Date Recorded	19 July 2013	Residual Rating	Medium
Category	Operational / Performance	Inherent Rating	High
Risk Controls	<p>Crisis Management - both formal and informal arrangements</p> <p>Launch plan for the Police and Crime Plan developed</p> <p>Summary version of Police and Crime Plan for general circulation</p> <p>On-going review of effectiveness of partner delivery</p> <p>Develop a mechanism for structured and controlled changes to the plan</p> <p>A good quality well thought through plan that has been developed in conjunction with the CC Office</p> <p>Balanced budget set for 2013/14 along with intention to deliver a balanced Medium Term Financial Strategy (MTFS)</p> <p>Well developed regional collaborative arrangements that supports best use of resources</p> <p>East Midlands PCC Board established to oversee collaboration in the region</p>		
Additional Controls	<p>Pursue rigorously the Change Programme with the Force in order to deliver a balanced MTFS (with regards savings and impact on service quality) including appropriate measures - Peter Lewis - 2 Aug 2013. A Change programme has been developed detailing the savings to meet the gap identified within the Medium Term Financial Strategy. The Chief Finance Officer has regular meetings with the Head of the Change team to provide support and constructive challenge to ensure that the change programme is rigorously pursued.</p> <p>Ensure clarity over roles and responsibilities for Crisis Management between PCC, CC and partners - Peter Lewis – 2 Aug 2013. Clarity is to be sought with the CC and Partners to establish appropriate arrangements for Crisis Management.</p> <p>Develop an on-going collaboration audit and assurance plan - Peter Lewis – 30 Sept 2013</p>		

Information	The PCC is the recipient of all funding for policing, whilst the OCC and OPCC are separate legal entities there is a single pot of money that funds both bodies. Therefore the level of funding received by the PCC directly impacts on the Chief's ability to deliver the objectives within the Police and Crime Plan.
Impact	<p>A reduction in funding could have a detrimental impact on the Chief's ability to deliver policing and, specifically within this, the objectives set in the Police and Crime Plan. The impact of such a reduction will depend on the timescales of when it will take place from, the shorter the notice given the greater the likely impact since there is less time to plan and make provision.</p> <p>Equally if strategic objectives are to be changed then the timescales required for their delivery are greater in times of austerity than they might be otherwise.</p> <p>Any failure to by the Chief Constable also has potential reputational risks for the PCC.</p>
Update	

OPCC1696	Poor data quality leads to inefficient decision making and use of resources		
Strategic Lead	Robert Vickers	Impact/ Likelihood	Low / Low
Date Recorded	19 July 2013	Residual Rating	Low
Category	Governance	Inherent Rating	Low
Risk Controls	Data Quality audits undertaken internally and by HMIC Existing robust systems in place for providing good quality financial information provided		
Additional Controls	<p>Arrange for a data quality audit report to be presented to the JARAP on 3 December - Robert Vickers – 31 October 2013</p> <p>Review the findings of recent data quality audits to understand current position - Suzanne Houlihan – 30 September 2013</p> <p>Identify and communicate data requirements to the Force - Suzanne Houlihan – 30 Sept 2013</p> <p>Develop an on-going data audit and assurance programme - Suzanne Houlihan – 30 September 2013</p>		
Information	If information is being incorrectly recorded then the risk is that decisions made based on such information could be inappropriate and/or lead to ineffective use of policing and other resources.		
Impact	<p>The impacts on the PCC relating to data quality are primarily twofold. Firstly, poor data could lead to ill-informed strategic decisions and/or a Police and Crime Plan that does not address the highest priority matters.</p> <p>Secondly, and linked to the first impact, there could be a reputational impact on the PCC of using poor quality data.</p> <p>For the Chief Constable, poor quality data is likely to lead to poorer quality tactical decisions about the deployment of resources and hence inefficient use of those resources.</p>		
Update	Work continues with RSM Tenon using data quality as a pilot for an assurance framework.		

OPCC1698	Failure to provide governance to all East Midlands Police collaboration projects		
Strategic Lead	Paul Stock	Impact/ Likelihood	High / Medium
Date Recorded	19 July 2013	Residual Rating	Medium
Category	Governance	Inherent Rating	High
Risk Controls	<p>East Midlands' PCCs' Board</p> <p>Regional CEO Board</p> <p>Regional CFOs' Meeting</p> <p>Governance Framework</p> <p>DCC oversight</p>		
Additional Controls	-		
Information	It has long been recognised that for many policing functions it makes financial sense that these are better delivered regionally rather than at Force level. However, structures need to be put in place to ensure appropriate oversight of such projects which would otherwise not have any degree of accountability.		
Impact	<p>A lack of governance over EM police collaboration projects could take 2 forms.</p> <p>A lack of governance in general could give rise to a risk that projects do not run smoothly and risk not delivering the benefits that they are intended to bring.</p> <p>Alternatively, a lack of governance by an individual PCC could lead to a risk of projects favouring one Force area to the detriment of another Force area.</p>		
Update			

OPCC1699	Failure to produce and maintain a commissioning framework		
Strategic Lead	Paul Stock	Impact/ Likelihood	Medium / Low
Date Recorded	19 July 2013	Residual Rating	Low
Category	Contracts & Partnerships	Inherent Rating	High
Risk Controls	<p>Six month transition funding arrangements in place</p> <p>Commissioning framework and action plan to deliver intentions</p> <p>Engagement with partners</p> <p>Considerable groundwork already undertaken to understand and appreciate existing commissioning arrangements</p> <p>Interim commissioning resource in place</p> <p>Resourcing requirements identified and delivered to deliver effective commissioning</p> <p>Existing communications used to inform the public of the commissioning role</p>		
Additional Controls	-		
Information	<p>The PCC has the power to commission services through the awarding grants. This power was previously held by local authorities and community safety funding has transferred from the local authorities to PCCs. Whilst this is merely a power not a statutory responsibility there are risks attached in the event that a PCC chooses to utilise this power.</p> <p>The Police Authority did not have the power to give grants; therefore there were</p>		

	no historical processes that could be adopted by the PCC. Also all personnel with expertise in this area were employed by local authorities and hence no immediately available as a resource to the PCC.
Impact	<p>The provision of funding through awarding grants is a process new to the police governance body. Therefore all risks arise from the transfer of responsibilities from one set of public bodies to the OPCC.</p> <p>There was a risk that processes would not be in place in time for there to be a seamless transfer from local authorities to PCCs and that recipients of funding would have delays in receiving monies.</p> <p>There was also a risk that access to expertise would be delayed so that the PCC was limited in his ability to have a strategic oversight of the appropriateness of the grant and what it is to be used for. Ultimately the grants should be used for activities that contribute towards the achievement of the Police and Crime Plan objectives.</p>
Update	

OPCC1700	Failure to maintain relationships with key partners		
Strategic Lead	Paul Stock	Impact/ Likelihood	Very High / Medium
Date Recorded	19 July 2013	Residual Rating	Medium
Category	Contracts & Partnerships	Inherent Rating	High
Risk Controls	<p>Inherited partner relationships and some understanding of the interdependencies through transition programme</p> <p>Strategic Partnership Board (SPB)</p> <p>Existing relationships at BCU and LPU level</p> <p>PCC, CEO and CFO engaging with national bodies and policy makers</p> <p>Defined and identified who the key partners are and align to Police & Crime Plan objectives</p> <p>Find opportunities to better understand the complexities and interdependencies of the partner landscape</p> <p>New governance arrangements</p> <p>New oversight arrangements via Police and Crime Panel</p> <p>Continuity of Auditors (both internal and external)</p> <p>Solid internal control framework inherited from PA</p> <p>Interim JARAP provides some continuity</p> <p>Some good relationships with partners</p> <p>Proactive work with the PCP to enhance relationships and avoid over-burdensome scrutiny</p> <p>Proactive work with Local Government partners for the purpose of strengthening relationships</p> <p>Recruitment, induction and development of JARAP members</p> <p>JARAP work programme developed</p>		

	Further develop the Police and Crime Plan in consultation with partners
Additional Controls	Prioritise efforts that will influence national policy and enhance the reputation of the OPCC - Paul Stock - 30 Sep 2013
	Further strengthen the relationship between the PCC/OPCC and the Police and Crime Panel - Paul Stock - 30 Sep 2013
	Develop soft assurance mechanism(s)/network(s) - Paul Stock – 30 Sep 2013
	Development of the new Executive Board, reporting to the SPB and chaired by CEO - Paul Stock – 30 Sep 13
Information	The Police operate in a multi-agency environment and collaboration becomes more important in these times of financial constraint. A good working relationship between agencies is therefore imperative.
Impact	The absence of a good working relationship between the PCC and partner agencies would impact on the ability of these agencies to work collaboratively with the police. This would hinder effective working and increase the likelihood of duplication of effort which would in turn lead to poor value for money to the taxpayer. There are particular areas of risk around the relationship with agencies where the leadership represents a different political party to the PCC.
Update	

19. In addition 2 new temporary Strategic Risks have been created to cover the period that the new Policing governance arrangements bed in:

OPCC1691	Failure to manage the OPCC functions during early stages of office		
Strategic Lead	Paul Stock	Impact/ Likelihood	High / Low
Date Recorded	19 July 2013	Residual Rating	@ 31/8/13 Low
Category	Governance	Inherent Rating	@ 22/11/12 High By 31/3/14 None
Risk Controls	Embed new governance arrangements New governance arrangements Solid internal control framework inherited from Police Authority Executive Board is designed to facilitate transparent decision making Experienced staff providing some continuity		
Additional Controls	Recruitment to agreed structure to enhance governance and control including appropriate competences and skills - Angela Perry – 2 Aug 2013 Enhance the use of the Strategic Assurance Board and review effectiveness on a cyclical basis - Angela Perry – 2 Aug 2013 Recruitment completed to the roles of Chief Finance Officer, Communications/PR Manager, Engagement Manager and Personal Assistant. All recruitment subject to HR oversight and based on skills and competences. All recruitment processes included tests and assessments in addition to interview. Governance review to be undertaken during Autumn 2013 where Boards and decision making processes will be reviewed for effectiveness.		
Information	Unless mitigated earlier – The levels of Impact and Likelihood are reducing with		

	a perception that these will be zero by 31 March 2014
Impact	<p>Until new administrative arrangements are fully embedded there is a risk that the PCC will not be able to fulfil some of his statutory duties either because he is unaware of them or because he has not got sufficient administrative support on hand to assist in the timely fulfilment of these.</p> <p>There was a perceived risk (based on the experiences of elected mayors) that within his initial 12 months in office the PCC would receive a large volume of contact/correspondence driven by the public awareness of the new post (but a lack of understanding of the remit of the role) but that these levels would be temporary and would reduce as there became a better public understanding. This risk was always seen as reducing over time and that the levels would settle to a more constant long term level after about 12 months.</p>
Update	

OPCC1693	Failure in accountability of PCC during early stages of office		
Strategic Lead	Paul Stock	Impact/ Likelihood	High / Low
Date Recorded	19 July 2013	Residual Rating	@ 31/8/13 Low
Category	Governance	Inherent Rating	@ 22/11/12 High By 31/3/14 None
Risk Controls	<p>PCC actively meets with specialists across the Force</p> <p>Executive Board provides evidence of decision making and performance management</p> <p>PCC attends Force Performance Delivery Group on a cyclical and scheduled basis</p> <p>Develop systematic and structured discussions between CEO and DCC</p> <p>Create clarity on decision making process in the absence of the PCC</p> <p>Develop systematic and structured discussions between PCC and CC</p> <p>Develop systematic and structured discussions between CFO and FD</p> <p>Develop audit rail of PCC and CC meetings to evidence that CC is being held to account effectively</p>		
Additional Controls	<p>Improving briefing on lines of enquiry for the PCC to hold CC to account - Angela Perry – 2 Aug 2013</p> <p>PCC meets with Force specialists at intervals throughout the year. Regular meetings also occur with BCU and LPU Commanders.</p> <p>Log of decision from meetings of the Executive Board (now called Strategic Assurance Board) compiled and all decision logs published on the PCC website.</p> <p>PCC attends Performance Delivery Group on a regular basis accompanied by his Performance officer.</p> <p>CEO holds regular diarised meetings with DCC. Agenda items listed and notes of outcome of discussions taken by CEO.</p> <p>Delegations have been amended to the CEO in the Corporate Governance Framework to cover periods of absence of the PCC.</p> <p>PCC holds regular 1-2-1 meetings with CC – diarised weekly - agendas produced and notes of meetings taken.</p>		

	CEO holds regular meetings with DCC. CFO and Force FD take place on a weekly basis.
Information	Unless mitigated earlier – The levels of Impact and Likelihood are reducing with a perception that these will be zero by 31 March 2014
Impact	Until new governance arrangements settled in and are recognised there is a risk that the Chief Constable acts in a manner that is either not appropriate or not in line with the expectations of the public and that this is not recognised and/or addressed by the PCC.
Update	

Implications

Financial :	Risk STR1329 revolves around providing services with the reduced budget. In risk 1709 the Policing Services Agreement may lead to a reduced payment for Policing at EMA. If the case goes to arbitration there will be legal costs for the Force.
Legal :	In risk STR430 the Force may face legal action.
Equality Impact Assessment :	In risk STR 430 our reputation for providing a fair and equitable service may be damaged.
Risks and Impact :	As per the tables above
Link to Police and Crime Plan	As per report

List of Appendices

Appendix A: Corporate Risks List.
Appendix B: Risk Matrix.

Background Papers

None.

Persons to Contact

DCC Steph Morgan – Tel 0116 248 2005
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Appendix A							OCC and OPCC Corporate Risk Register							Date	
Reference	Responsible	Title	Impact	Likelihood	Priority	Status									
STR430	Lynne Woodward	Inquiry into Disability Related Harassment	Very High	Very High	16	Managed									
STR1679	Stuart Prior	Missed opportunities: Failure to accurately record crime	High	Very High	12	Awaiting Control									
STR1329	Rachel Swann	Transforming Services - Fit For 2017	Very High	High	12	Managed									
STR1672	Stuart Prior	Failure of Custody CCTV	High	High	9	Managed									
OPCC1700	Paul Stock	Failure to maintain relationships with key partners	Very High	Medium	8	Awaiting Control									
STR1521	Colin Stott	Criminal Behaviour/Impropriety by staff,	Medium	Very High	8	Controlled									
OPCC1695	Paul Stock	Failure to deliver Police and Crime Plan during period of reducing funding	High	Medium	6	Overdue Control									
OPCC1698	Paul Stock	Failure to provide governance to all E.Mids Police collaboration projects	High	Medium	6	Managed									
STR1650	David Sandall	Impact of implementing new ACPO definition of missing/absent person	High	Medium	6	Awaiting Control									
STR1651	Alison Naylor	BC for HR Transactional Work	Medium	High	6	Managed									
STR420	Peter Coogan	Energy Use, Environmental & financial risk.	High	Medium	6	Awaiting Control									
STR310	Stuart Prior	Failure to recognise & respond to critical incidents & "learn lessons"	High	Medium	6	Managed									
STR459	Mark Newcombe	Failure to respond to ASB	High	Medium	6	Controlled									
STR1571	David Sandall	Genie / DASH not being used correctly results incorrect risk assessment	High	Medium	6	Managed									
STR1608	Steph Pandit	Governance of partnership working arrangements	High	Medium	6	Awaiting Control									
STR1475	Mark Newcombe	Limited ability to collate ASB incidents onto our case management system	High	Medium	6	Awaiting Control									
STR1705	Steph Pandit	OPCC Stage 2 Transfers	Medium	High	6	Awaiting Control									
STR11	Alison Naylor	Potential for industrial Action Affecting our Service	High	Medium	6	Managed									
STR1519	Paul Hooseman	RMADS management for Information Security.	High	Medium	6	Awaiting Control									
STR533	Chris Haward	The FAIR and EFFECTIVE use of stop and search to promote confidence	High	Medium	6	Awaiting Control									
STR127	Colin Stott	Unauthorised use/misuse of IT systems, loss of information	High	Medium	6	Managed									
OPCC1690	Paul Stock	Failure to consult and engage sufficiently with public	Medium	Medium	4	Overdue Control									
STR1648	Stuart Prior	Failure to manage the licensing and holding of firearms within Force Area	Very High	Low	4	Awaiting Control									
STR508	Steph Pandit	Failure to meet requirements of the Police & Crime Plan.	Medium	Medium	4	Controlled									
STR893	Wendy Champion	Impact of Winsor / Hutton Reforms	Medium	Medium	4	Managed									
STR1224	Simon Hurst	Inability to assess GENIE2 search information in a timely fashion	Medium	Medium	4	Awaiting Control									
STR325	Tim Glover	IT Strategy at risk if each department requirement is not captured	Medium	Medium	4	Controlled									
STR1706	Alison Naylor	Loss/absence of key personnel	Medium	Medium	4	Managed									
STR1552	Thomas Reynolds	New patrol vehicles without fitted MDT's	Low	Very High	4	Awaiting Control									
STR1479	Chris Haward	New version of DMS for HR Regionalisation.	Medium	Medium	4	Controlled									
STR537	Mark Newcombe	Risk of reduced service delivery if public confidence reduces	Medium	Medium	4	Managed									
STR1163	Jim Holyoak	Risk to the force to deal with spontaneous or preplanned widespread protest	Medium	Medium	4	Controlled									

STR1335	Steph Pandit	Shift Pattern Review	Medium	Medium	4	Managed
OPCC1693	Paul Stock	Failure in accountability of PCC during early stages of office	High	Low	3	Overdue Control
OPCC1691	Paul Stock	Failure to manage the OPCC functions during early stages of office	High	Low	3	Overdue Control
OPCC1694	Paul Stock	Lack of resource and capacity available to OPCC	High	Low	3	Overdue Control
STR458	David Sandall	Failure to protect vulnerable persons	High	Low	3	Controlled
STR520	Simon Edens	Governance of collaborative arrangements	High	Low	3	Managed
STR253	Tim Glover	High risk of virus introduction and data loss	High	Low	3	Awaiting Control
STR2	Tim Glover	Impact of Loss of I.T. and/or Communications Infrastructure	High	Low	3	Awaiting Control
STR564	David Sandall	Management of MFH enquiries	High	Low	3	Controlled
STR1660	Simon Hurst	Partnership funding withdrawal for ICSB analysts	High	Low	3	Controlled
OPCC1699	Paul Stock	Failure to produce and maintain a commissioning framework	Medium	Low	2	Overdue Review
STR380	Alex Stacey-Midgley	Current JES unlikely to meet EOC (Equal Opportunities Commission) criteria	Medium	Low	2	Controlled
STR1709	Chris Howard	EMA Policing Provision- Fail to sign PSA	Low	Medium	2	Awaiting Control
STR187	Paul Hooseman	Implementation of the Police National Database (PND)	Medium	Low	2	Awaiting Control
STR473	Colin Stott	Organisational risk of not complying with the ACPO National Vetting Policy	Medium	Low	2	Managed
STR1537	Simon Preston	Persons working on Police premises without security vetting	Medium	Low	2	Managed
STR1623	Simon Hurst	Preparing for New and Emerging Communities	Medium	Low	2	Awaiting Control
STR1172	Colin Stott	Publication of HMIC Integrity report	Medium	Low	2	Controlled
STR1164	Peter Coogan	Risk to Health & Safety management.	Medium	Low	2	Controlled
OPCC1696	Rob Vickers	Poor data quality leads to inefficient decision making and use of resources	Low	Low	1	Awaiting Control
STR1522	Steph Pandit	APP implementation.	Low	Low	1	Controlled
STR612	Carol Hever	Changes to Pensions - 2012	Low	Low	1	Controlled
STR613	Carol Hever	Key people may leave the Force to protect their pensions	Low	Low	1	Controlled

Risk Status

Description

Managed	A risk is identified, no further controls are identified and it is not yet controlled
Overdue Review	A managed risk, which requires a review (may also be a new risk prior to 1st review).
Awaiting Control	Controls have been identified, with an owner and completion date
Overdue Control	A control completion date is overdue
Controlled	The ideal state for a risk. May change over time or with circumstances

Appendix B

RISK SCORING MATRIX

Overall “RAG” Risk Rating = Impact x Likelihood

IMPACT

Score	Performance/ Service Delivery	Finance /Efficiency £	Confidence/ Reputation	Health & Safety	Environment	Strategic Direction
Very High 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
High 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 Regs	High negative environmental impact (medium amount of natural resources used, pollution produced, biodiversity affected)	Serious impact on the ability to fulfil strategic objective
Medium 2	Significant disruption to service delivery 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
Low 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	Overall Risk Rating: = Impact x Likelihood
Very High 4	>75% chance of occurrence	Almost certain to occur
High 3	51-75% chance of occurrence.	More likely to occur than not.
Medium 2	25-50% chance of occurrence.	Fairly likely to occur.
Low 1	<25% chance of occurrence.	Unlikely to occur.
		High - 9-16
		Medium - 5-8
		Low - 1-4

NOT PROTECTIVELY MARKED

NOT PROTECTIVELY MARKED