

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

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Report of	OFFICE OF THE POLICE AND CRIME COMMISSIONER
Subject	RISK REGISTER
Date	TUESDAY 11 DECEMBER 2018 – 10:00AM
Author	MARTIN HENRY – FINANCE DIRECTOR

## **Purpose of report**

1. This report provides JARAP with the Corporate Risk Register that has been produced for the Office of The Police and Crime Commissioner.

## **Recommendation**

2. The panel is asked to discuss the contents of this report.

## **Information**

3. The force Strategic Organisational Risk Board (SORB) oversees and directs the strategic risks facing the force.
4. The OPCC risks are overseen by the Finance Director within the Office of the Police and Crime Commissioner.
5. When the Finance Director commenced employment with the OPCC he reviewed the current strategic risks within the office that were being reported and drew the conclusion that there needed to be a fundamental review of all the risks.
6. A risk management workshop, facilitated by the force's Risk and Business Continuity adviser, was held as part of a team meeting within the OPCC.
7. Rather than review the risks already in existence it was agreed to start afresh and highlight all the risks that staff currently think are being faced. Once this had been completed it was compared back to the risks that were in existence to ensure that there were no risks missing from the original risk that should have also been captured.

8. It was re-assuring to confirm that none of the original risks had to be carried across as they had all been captured in the new list or were no longer relevant.
9. Following the risk workshop the Finance Director worked with the managers' group and the senior management team within the OPCC to agree the inherent risk scores, mitigating actions and residual risk scores.
10. The risk register was considered and approved at a recent Senior Management Team meeting and is now attached as Appendix A.
11. The risk register has been formulated in a consistent way to the formulation of the Police Force risks. There is also the intention to include the risks within the database used by the Police to ensure consistency of reporting. The risks will also be reported on a regular basis to the SORB meeting on which there is JARAP representation.
12. The panel is requested to consider the attached strategic risk register for the OPCC.

## **Implications**

<i>Financial</i>	There are no direct financial implications stemming from this report
<i>Equality impact assessment</i>	There are no requirement for an equality impact assessment in relation to the subject of this report
<i>Risks and impact</i>	This report relates specifically to strategic risk management within the OPCC
<i>Link to Police and Crime Plan</i>	It is imperative that the strategic risks currently faced by the office are properly managed in order for them to not impact negatively on the Police and Crime Plan.

## **Appendices**

Appendix A: OPCC Strategic Risk Register  
 Appendix B: Strategic Risk Register Scoring Matrix

## **Persons to contact**

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## Police and Crime Commissioner Strategic Risk Register

Risk #	Date Originated	Risk Originator	Risk Title	Risk Description (source of risk, threat, consequence)	Risk Owner	Control Measures	Residual Impact	Residual Likelihood	Residual Risk Score
OPCC012	30/08/2018	OPCC Risk Workshop	Impact of Funding Reductions	Funding reductions (including the impact of increased demand and pensions pressures) impact on the resources available to the Commissioner for the provision of frontline policing.	Martin Henry	New freedoms and flexibilities have been given in terms of raising funds for the Police. Medium term financial projections look forward four years providing time to address any funding problems expected. Reserves are carefully managed. The in-year budget is monitored on a monthly basis. External grant funding is applied for when available and there is a desire to seek funds for that particular initiative	4	3	12
OPCC003	30/08/2018	OPCC Risk Workshop	Election of a new PCC	Election of a new Police and Crime Commissioner and the uncertainty associated with it.	Paul Hindson	Have been through the process previously but we do not know who the new commissioner will be and therefore the risk of the impact of this remains.	4	3	12
OPCC015	30/08/2018	Managers' meeting	Office Policies and Procedure	Office policies and procedures become outdated and therefore the Office is not working as effectively as it should be or in line with good practice or legislative requirements.	Angela Perry	A schedule is being compiled to set out all of the policies and procedures and when they need to be updated. The Corporate Governance Framework is in the progress of being reviewed and updated.	3	3	9
OPCC017	30/08/2018	Managers' meeting	Over reliance on key individuals	There are a number of key individuals where significant reliance is placed. If they were to leave the organisation there would be a serious impact on the work that the office carries out and the effectiveness of the office.	Martin Henry	Individuals within teams do provide support and cover for each other on a regular basis. The managers' meeting highlights any particular pinch points. Regular one to ones take place between line managers and their staff. Processes and important documents are held on the shared drive where other members of staff can access them.	3	3	9
OPCC002	30/08/2018	OPCC Risk Workshop	Effectiveness of the OPCC Structure	The new structure does not become embedded quickly or carry out its role effectively as a result of lack of training, inability to recruit staff, development of staff and operating as an effective team.	Paul Hindson	A number of new posts have been recruited and the structure appears to be bedding in well. The structure will be reviewed by the Chief Executive to ensure it is delivering as expected. Training for the new staff will be identified and support provided where required. manager meetings have been implemented to ensure effective working across the teams.	4	2	8
OPCC005	30/08/2018	OPCC Risk Workshop	Inadequate internal and external communication	Poor communication internally and/or externally leading to reputational damage and loss of confidence and trust in the Police Commissioner	Paul Hindson	The new structure provides sufficient resource to enable proper consideration of issues and the best means to communicate them internally or externally. There is a dedicated Communications Adviser in addition to the Chief Executive, adviser to the Commissioner and research and engagement specialists	4	2	8
OPCC006	30/08/2018	OPCC Risk Workshop	Inadequate IT systems in operation	ICT systems are not used effectively and therefore become an inefficient way of operating. For example Skype, Office 365 and Cyclops correspondence management system.	Martin Henry	ICT team in place which implements new systems, provides advice and assists with problems. Training programmes align with the roll out of new systems. Office 365 implementation plan in place. Cvc system evaluation to be run as a project.	4	2	8
OPCC008	30/08/2018	OPCC Risk Workshop	Reduced Partner Funding	Partners reduce the amount of funding that is put into joint service delivery and arrangements	Simon Down	There are a number of posts within the office structure that have the opportunity to influence the actions of partners. Effective partnership governance arrangements in place for considering how to manage reductions	2	4	8
OPCC013	30/08/2018	OPCC Risk Workshop	Engagement with the Community	Engagement with the Community is poor and damages the reputation of the Commissioner as a result	Sam Watson	Engagement officer in post, communications and marketing advisers employed, case work officer in post with policies and procedures in place. Reputation of the commissioner is currently high.	4	2	8
OPCC016	30/08/2018	Managers' meeting	Inadequate Resources to deal with emerging issues	The office is running with a number of projects (people zones, devolution of probation services, new victim support arrangements). If successful and the office is not resourced adequately for these projects then there could be serious reputational damage.	Martin Henry	Applications for external funding and the bid for the devolution of services are still in their infancy. If successful, consideration will be given to the additional resource requirements needed and how these will be funded.	4	2	8
OPCC018	30/08/2018	Managers' meeting	Commissioning Framework	Significant amounts of money are provided through the Commissioning Framework. If the service is provided poorly or the organisation runs into financial or operational difficulties it could have a significant reputational and financial impact.	Simon Down	Strong governance arrangements in place with regards to the major contracts issued. Strong relationships with partners and organisational leads. Requirement to provide monitoring information and how the funds have been used from all recipients of Commissioning Framework funding.	4	2	8
OPCC019	30/08/2018	Managers' meeting	Project risk management	There are a number of projects being managed by the Office. Should any of them be poorly delivered then there would be a reputational and possible financial impact on the office	Sam Watson	There are project management resources within the team who are responsible for delivering each of the projects. There is a monthly meeting which provides an update on the projects and is used as a forum to highlight any risks associated with them. Significant risks would become a specific strategic risk and added to this risk register.	4	2	8
OPCC020	30/08/2018	Managers' meeting	Strategic Partnership Development Fund	The Strategic Partnership development Fund was an initiative promoted by the previous Commissioner where funds of £2.5m were earmarked for use on one off initiatives and projects. If the closure of the time limited projects funded by SPDF is poorly managed or the project does not deliver as expected then there is potential significant risk to the office.	Sam Watson	There are resources within the team who are responsible for management of the SPDF and the projects funded through this funding stream. Governance arrangements are in place to monitor each of the schemes through the Strategic Partnership Board.	4	2	8
OPCC021	30/08/2018	Managers' meeting	People Zones	People Zones is a new initiative that is being rolled out across the LLR area. Unsuccessful roll out of the People Zones initiative could lead to significant reputational damage and damage the current partnership working arrangements thereby impacting on the most vulnerable in the area.	Paul Hindson	Significant resources within the team are being used on the development and roll out of the People Zone initiative. A plan and toolkit is in place to deliver the initiative and being monitored against.	4	2	8
OPCC014	30/08/2018	Managers' meeting	General Data Protection Regulations (GDPR)	The requirements set out under the GDPR legislation are not met	Angela Perry	Resource provided to assess initial and ongoing compliance with the new regulations	3	2	6
OPCC001	30/08/2018	OPCC Risk Workshop	Insufficient Resource within the OPCC	Insufficient resource within the OPCC to properly hold the Chief Constable to account on all matters including the performance of the force and the delivery of the Police and Crime Plan	Paul Hindson	Budget and staffing structure in place. Chief Executive recruited and in post. Recruitment drive in progress with the majority of posts now filled.	4	1	4
OPCC004	30/08/2018	Managers' meeting	Preparation for the PCC Elections	Preparation for the election and appointment of a new Police and Crime Commissioner	Sam Watson	Project team within the office, full project plan will be produced, regular staff briefings, engagement with partners and candidates.	4	1	4
OPCC007	30/08/2018	OPCC Risk Workshop	Police and Crime Plan commitments not delivered	The commitments in the Police and Crime Plan are not delivered, not delivered to the standard expected or not properly evidenced which could lead to reputational damage.	Paul Hindson	The Police and Crime plan clearly sets out what is required over the Commissioners terms of office. Progress against the Police and Crime Plan is tracked and reported on a regular basis.	4	1	4
OPCC010	30/08/2018	OPCC Risk Workshop	Changes in Legislation	Changes in legislation which have a direct impact on the role of the Commissioner's office.	Paul Hindson	Outside the direct control of the office although political influence is likely to have an impact on the outcome	4	1	4
OPCC009	30/08/2018	OPCC Risk Workshop	Partner Relationships deteriorate	The relationships with partners deteriorate and partners become disengaged in projects and initiatives impacting negatively on the reputation of the Commissioner and potentially the delivery of the Police and Crime Plan.	Paul Hindson	Currently the relationships with partners are good and the newly implemented office structure provides resource to improve these relationships. Effective partnership governance arrangements currently in place.	3	1	3
OPCC011	30/08/2018	OPCC Risk Workshop	Changes to the Political Landscape across LLR	The structure and/or composition of the political landscape changes across the LLR including the composition of the Police and Crime Panel	Paul Hindson	Outside the direct control of the office and will have to be managed by the office should this occur. New relationships would need to be built but the posts and postholders within the office have the skills to achieve this successfully. Regular contact with key stakeholders across the area which may give an early indication which can then be planned for.	3	1	3

### Risk Scoring Matrix

Impact							
	Score	Performance/ Service Delivery	Finance /Efficiency £	Confidence/Reputation	Health and Safety	Environment	Strategic Direction
<b>Very High</b>	<b>4</b>	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.
<b>High</b>	<b>3</b>	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.
<b>Medium</b>	<b>2</b>	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.
<b>Low</b>	<b>1</b>	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
<b>Very High</b>	<b>4</b>	>75% (almost certain to occur)
<b>High</b>	<b>3</b>	51-75% (more likely to occur than not)
<b>Medium</b>	<b>2</b>	25-50% (fairly likely to occur)
<b>Low</b>	<b>1</b>	<25% (unlikely to occur)

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