

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

Paper
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Report of	OFFICES OF POLICE AND CRIME COMMISSIONER
Subject	POLICE AND CRIME COMMISSIONER RISK REGISTER
Date	THURSDAY 20th JANUARY 2022
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Purpose of report

1. To provide JARAP with an update on the Police and Crime Commissioners strategic risk register, highlighting high priority risks, newly registered risks, changes of risk score and archived risks. This report also includes the New Police and Crime Commissioners Risk Management Policy and Framework in Appendix A.

Recommendation

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

Summary

3. There are currently 17 live strategic risks on the risk register. See Appendix B

High Risks

4. 10 risks are currently rated as 'High' priority. These risks are detailed at Appendix C.

Closed risks

5. 4 risks have been closed following a meeting of the Senior Management Team on 11th January 2022. and are detailed in Appendix D.

Changes in risk score

6. 8 Changes to the Risk Score shown in grey in Appendix B.

New risk

7. There are no new risks.

Risk Grading Criteria

8. The strategic risk register identifies the key strategic risks to the OPCC. In the main, these risks represent long-term issues and typically remain on the register for long periods.
9. All risks are scored on an ascending scale of 1 – 4 in terms of impact and likelihood. Multiplication of these two figures leads to a Risk Score, which is expressed as a Red/Amber/Green or 'RAG' rating. All strategic risks are reviewed at least quarterly.

Overall Risk Score
Impact and Likelihood
8 - 16 High
4 - 7 Medium
1 - 3 Low

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.

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'.

Appendices

Appendix A: Risk Management Policy and Framework

Appendix B: Risk Overview

Appendix C: High Risks

Appendix D: Closed Risks

Appendix E: Risk Scoring Matrix

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Appendix A: Risk Management Policy and Framework

2021-2023



**POLICE & CRIME
COMMISSIONER**
for Leicester,
Leicestershire & Rutland
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POLICE AND CRIME COMMISSIONER

Risk Management Policy and Framework
2021-2023

Final Version 1

Policy Owner:

Chief Executive

Role Responsible:

Operations and Compliance Manager

Protective Marking:

Official

Date of next review:

01/05/24

Review log

Date	Minor / Significant / No change	Section	Author
2021	First draft	All	7841 N Padhiar
11/1/22	Final Version	All	7841 N Padhiar

1. Introduction

The Office of the Police and Crime Commissioner for Leicestershire (OPCC) is committed to providing the highest quality of policing services to the people of Leicester, Leicestershire and Rutland. This is undertaken in a constantly changing and challenging environment. This policy is about the approach and arrangements that are in place to manage the risks that are we encounter in doing this.

Risk management involves the identification, assessment and prioritisation of risks and taking action to control, minimise and monitor them. Risks are threats that have potential to impact on our organisation and the delivery of our objectives and services. Sometimes they can be positive as well as negative. Risk management activity ensures we protect against negative threats whilst recognising and taking advantage of positive opportunities.

Our policy sets out responsibilities for risk management, what we do and how we do it. This risk management approach will provide assurance and contributes to the overall arrangements we have for governance.

2. Our Approach

The OPCC and many other public sectors organisations are continually challenged to provide better services and to improve and to reduce costs. In doing this it is recognised that the level of risk taken will increase. The Police and Crime Commissioners (PCC) approach to risk management recognises this by establishing a structured framework to manage those risks. The framework seeks to ensure that staff and the Office of the Police and Crime Commissioner is protected without impacting on any innovation or restricting the taking of risks where there may be positive outcomes. This Policy sets out the things we have in place to embed a positive risk culture. These are as follows:

- Objectives-

1. The PCC will ensure that risk management is part of the process for delivering the Police and Crime Plan and the reduction of crime in Leicester, Leicestershire and Rutland by:
 - a) Maintaining an effective risk management policy, framework through which the policy is implemented and a risk registrar created to manage the risks.
 - b) Holding the Chief to account in relation to their arrangements for managing risks and risk management.
2. The PCC will ensure that the OPCC is risk aware and that the framework for risk management complies with best practice by:
 - a) Communicating and providing guidance through our website
 - b) Ensuring that OPCC staff are trained on risk management
 - c) Annual review of our risk management policy, framework and our daily practices
3. The PCC will ensure that there are clear lines of ownership and accountability for risks by:

- a) Establishing clear roles and responsibilities in relation to risk management within the policy and framework.
 - b) All risks and controls have risk and action owners
 - 4. The PCC will provide a framework for risk evaluating and responding to risks in an easy and understandable way which supports the OPCCs decision making process. This will be done by:
 - a) Setting out a framework for risk management
 - b) Setting a methodology for scoring of risks and setting timescales for review of the risks.
- Risk Management is a decision-making tool that enables an organisation to identify and manage its risks. It enhances strategic planning and prioritisation and assists in achieving objectives while strengthening the ability to respond to any challenges which may be presented. The policy is integral to any organisation's strategic management and is fundamental element of good corporate governance.

3. Risk Management Framework

- The PCCs framework aims to ensure both a consistent and robust identification of risk faced by the organisation, and the effective and transparent management of that risk. It further aims to ensure that risk management is integrated into the office's culture, decision making processes, leadership, management and day to day working across all levels of the office.
- The framework supports the Risk Management Principals as set out in the [Government's Orange Book 2020](#) as follows:
 - Risk management shall be and is an essential part of governance and leadership, and vital to how the office of the police and crime commissioner is directed, managed and controlled at all levels.
 - Risk management will be an integral part of all the OPCCs activities to support decision-making in achieving the OPCCs objectives.
 - Risk management will be collaborative and based on the best information and expertise.
 - Risk management framework is structured to include:
 - 1) Risk identification and assessment to determine and prioritise how the risks should be managed;
 - 2) The selection, design and implementation of risk treatment options that support achievement of intended outcomes and manage risks to an acceptable level;
 - 3) The design and operation of integrated, insightful and informative risk monitoring;
 - 4) Timely, accurate and useful risk reporting to enhance the quality of decision-making and to support management and oversight bodies in meeting their responsibilities.
 - Risk management will be reviewed and monitored continuously.

- Our risk management framework sets out the things we have in place to manage risk and who is responsible for them. They form substantive part of what we do to achieve our risk management objectives. The framework comprises:
- [Risk Register.](#)

Our risks are recorded on a risk register. The register holds key information about each risk including a description of the risk, a score for the risk, what we are doing to manage the risk, currently and the actions /controls we plan to take. It identifies the risk owner and the determines how frequently that owner will review the risk to ensure we are taking appropriate action. The risk register groups risks into three risk categories; strategic risks, operational risks and project risks.

- [Risk Classification.](#)

Risks are grouped on our risk register into one of three classifications. The classification determines who is responsible for managing the risk and how those risks are managed. The classifications are:

- 1) Strategic Risks – risks that threaten the achievement of strategic objectives such as those in our Police and Crime Plan and other OPCC strategies.
- 2) Departmental/Operational Risks – these are risks to our operating systems, service delivery and the objectives in our business plans.
- 3) Project Risks – risks identified as being significant to the projects being undertaken by the PCC.

- [Risk Methodology](#)

Risk methodology is about how we score our risks. Our policy sets out a consistent way to do this that takes account of the impact of the risk and the likelihood of it occurring. The higher the risk score the more frequently we will assess the actions that we have in place to mitigate the risk. We score both inherent risks and mitigated risks. the inherent risk score tells us what the impact of the risk could be if we took no action whilst the mitigated score tells us how much we have reduced the risk as a result of things we do to manage it.

- [Police and Crime Plan](#)

The PCC has a Police and Crime Plan which identifies the work to be undertaken by the PCC, the OPCC and how policing will be delivered in Leicester, Leicestershire and Rutland. The development of the plan informs our work in relation to strategic risks. Strategic risks are incorporated within the OPCC Risk Register which is presented to the Joint Audit, Risk and Assurance Panel for scrutiny. Operational risks are included within the operational risk register and are actively reviewed and managed by the PCCs Senior Management Team

- [Project Risks](#)

Project risks are managed very differently due to the more limited timescales across which projects are typically delivered. They are reviewed prior to each project board and presented at each meeting. This means that the pace of the project and the frequency of meetings are aligned to the review of those risks.

- **Risk Review**

The risk register is reviewed on a monthly basis by the Senior Management team and scrutiny is undertaken by the Joint Audit, Risk and Assurance Panel on a quarterly base.

- **Risk Appetite & Tolerance**

Risk appetite provides a framework which enables the OPCC to make informed management decisions. Risk appetite can be defined as “ the amount of risk that the organisation is prepared to accept, tolerate, or be exposed to at any time” (HM Treasury). The benefits of adopting a risk appetite include:

- 1) Supporting informed decision-making
- 2) Reducing uncertainty
- 3) Improving consistency across governance mechanisms and decision-making;
- 4) Supporting performance improvement
- 5) Focusing on priority areas within an organisation
- 6) Informing spending review and resource prioritisation processes.

The way in which the OPCC will deal with risk tolerance for all its risk will be covered in the methodology section of this policy and framework.

The OPCC will endeavour to manage strategic, operational and project risks to a level which is acceptable or where it no longer poses a threat, taking into the account the costs of any mitigations (controls) which are required. The general default for the OPCCs level of appetite and tolerance will be medium/cautious.

The OPCC has a risk matrix which demonstrates the likelihood and impact scores which will be used to plot onto the risk assessment.

- **Risk Accountability**

This policy and framework will allocate specific roles and responsibilities to OPCC officers for risk management. This will ensure that there is clarity and accountability to ensure that the framework and practices are embedded within the culture of the OPCC and to ensure that the OPCCs objectives are achieved.

- **Internal Audit**

The arrangements for risk management and those of Leicestershire Force are subject to internal audit. The Joint Audit, Risk and Assurance Panel will regularly receive updates on the outcomes of audit inspections and they will monitor the updates of any actions identified.

- **Decision Making and Risk**

The OPCCs reporting templates and processes include a section on the risk implications of any decision and the action required. This process ensures that all decisions are transparent, taken on from an informed basis.

- **Lead Officer for Risk**

The OPCCs Chief Finance Officer is the designated lead for risk. The lead officer's responsibility are:

- 1) To champion the management of risk within the OPCC. Ensuring that risk management framework and practices are imbedded within the culture of Leicestershire OPCC.
- 2) Monitor the implementation of the risk management action plans for both Leicestershire OPCC.
- 3) To raise any concerns and issues around the arrangements of risk to the attention of the PCC and/or the Joint Audit, Risk and Assurance Panel
- 4) The Chief Finance Officer will implement a system to record risks – Risk Register which can be used to record, review, provide analysis and produce reports.
- 5) The Chief Executive Officer and Chief Finance Officer will attend the Joint Audit, Risk and Assurance Panel to provide assurances on the OPCCs risks.
- 6) To keep a best of any changes in the risk management arena, to review and implement best practices and lead on providing advice, guidance and support to staff to ensure that the risk management is embedded within the OPCC and its culture.

The OPCCs Operational and Compliance Manager is the designated lead for the day to day management of risks. Operational and Compliance Manager responsibility are:

- 1) To ensure that controls and risks are updated on a day to day basis.
- 2) To update and maintain the risk management system.
- 3) To provide regular briefings to the Chief Finance Officer.
- 4) To provide monthly highlight reports to Senior Management Team.
- 5) To review and amend the Risk Management Policy and Procedures.
- 6) To produce a Business Continuity plan for the OPCC.
- 7) To keep abreast of any changes in the risk management arena and to provide advice to staff.

4. Risk Management Methodology

This methodology is an important part in assessing the impact and likelihood of risks materialising and the implications should they arise.

The methodology involves scoring risks based on likelihood of the risk happening and the impact. The matrix used by the OPCC is a 4 x 4 matrix that produces a score of between 1 and 16 see below:

Risk Matrix: Likelihood		
Likelihood Score	Description of Score	Chance of Occurrence
4	Very High	Already occurring, newly occurred or likely to be a regular occurrence, daily, weekly, monthly. 75%-100% chance Almost certainly will occur
3	Likely	A reasonable chance that this could happen and may have occurred recently. 51%-74% chance Expected to happen
2	Possible	Possible at some point. May occur annually or less frequently. 25%-50% chance of occurrence
1	Rare	Unlikely to occur at any given point. 0%-25% chance of occurrence

Impact						
Impact Score		Strategic Objectives/Performance /Service Delivery	Financial Impact/Efficiency £	Impact on Confidence/ Reputation	Impact on People	Duration of Impact
4	Very High	<ul style="list-style-type: none"> Major impact on the ability to fulfil strategic objectives Unable to function, inability to fulfil obligations-total failure of at least 2 areas of activity Major impact on performance indicators noticeable by partners and stakeholders 	<ul style="list-style-type: none"> Severe financial impact (above £1m /budget implication) 	<ul style="list-style-type: none"> Severe damage to reputation Significant Media interest Major stakeholder/investigations/longer lasting community concerns Loss of confidence in the PCC and senior leadership team 	<ul style="list-style-type: none"> Internally – wholesale resignation, unable to staff OPCC Externally – Death or life changing injury 	<ul style="list-style-type: none"> In excess of 1 year to recover pre-event position
3	High	<ul style="list-style-type: none"> Serious impact to fulfil strategic objectives Serious impact on service provision, Total failure of at least 1 area of activity with impact across all areas of business. Serious impact on performance indicators noticeable by partners and stakeholders 	<ul style="list-style-type: none"> Significant financial impact (over £251,000 - £1m) 	<ul style="list-style-type: none"> Serious damage to reputation Short term national/longer term local media interest Serious stakeholder/investigations/prolonged community concerns 	<ul style="list-style-type: none"> Internally - increased staff turnover/shortage An injury requiring over 24 hours hospitalisation and/or 3 days off work Externally-Increase in complaints from public about poor service delivery – poor user experience 	<ul style="list-style-type: none"> Between 6 months to 1 year to recover to pre - event position
2	Medium	<ul style="list-style-type: none"> Significant impact on the ability to fulfil strategic objectives Significant impact on service delivery objectives -at least 2 areas of business objectives. Noticeable impact on performance indicators noticeable by partners and stakeholders 	<ul style="list-style-type: none"> Material financial impact (over £51,000 - £250,000) 	<ul style="list-style-type: none"> Significant adverse publicity, noticeable damage to reputation. Short term local media interest Significant investigations/specific community concerns 	<ul style="list-style-type: none"> Internally – high level of staff absence An injury requiring hospital/professional medical attention and/or between 1 day and 3 days off work with full recovery Externally – Multiple complaints from the public about poor service delivery 	<ul style="list-style-type: none"> Between 2 to 6 months pre-event position
1	Low	<ul style="list-style-type: none"> Minor impact on the ability to fulfil Strategic Objectives Minor impact on service delivery objectives. Minor impact on performance indicators not noticeable by partners and stakeholders 	<ul style="list-style-type: none"> Some financial impact (£0 - £50,000) 	<ul style="list-style-type: none"> Some damage to reputation 1 day local media interest Minor community concerns 	<ul style="list-style-type: none"> Internally – low morale An injury involving no treatment or minor first aid with no time off 	<ul style="list-style-type: none"> Up to 2 months recover

Overall Risk Score

Likelihood Score	Very High	4	4 Medium	8 High	12 High	16 High
	Likely	3	3 Low	6 Medium	9 High	12 High
	Possible	2	2 Low	4 Medium	6 Medium	8 High
	Rare	1	1 Low	2 Low	3 Low	4 Medium
			1	2	3	4
			Low	Medium	High	Very High
			Impact Score			

There are a number of steps to using our methodology to ensure that risks are effectively considered and appropriate controls are put in place to manage them. By identifying the OPCCs risk appetite or tolerance will enhance the ability to score and RAG rate each identified risk.

Firstly, the inherent or base risk score is calculated. This is the risk score if there is no action taken to manage the risk. The overall risk score is calculated by multiplying the likelihood score and the impact score which will provide an overall risk score. This is the level of risk faced before any new controls are applied. The overall risk score enables risks to be categorised into Low/Acceptable (green), Medium/Treat (amber) and High/ Unacceptable with urgent action required (red). An overall risk score of 16 would be a high risk.

Once the inherent risk has been scored then it is time to consider how the risk can be reduced. These will be the control measures/mitigation measures implemented for the risk. There are four types of risk mitigation strategies which will need to be considered these are:

- 1) **Accept /Tolerate** – A decision is made to accept the risk. This may be where the likelihood or impact is so low that the cost of managing the risk is greater than the risk. This is likely to apply to those risks with a total score of 1-3 (low risk band)
- 2) **Transfer** – It may be possible to transfer the risk through insurance or contracting out the provision of service to a agency or contractor.
- 3) **Treat/Mitigate** – This is the most common practice of managing risks. It involves reducing the likelihood of the risk occurring (e.g. taking preventive action) or reducing the impact (e.g. having an adequate business continuity plans in place). This is likely to apply to any risks which have an overall risk score of 6 and above.
- 4) **Avoid/Terminate** – A decision is made to eliminate (avoid) the risk, for example by stopping the service or by doing it a different way

The table below shows how the PCC will respond to each level of assessed risk.

<p>Risk Management Action level</p>	<ul style="list-style-type: none"> • Low Priority • Continue with existing control measures maximum review time frame 3 months • Monitor 	<ul style="list-style-type: none"> • Continue with existing controls and monitor • Some additional controls may be necessary • Maximum review time 3 months 	<ul style="list-style-type: none"> • Take immediate remedial action to reduce risk • Ensure contingency plans are in place • Instigate immediate control and escalation if appropriate • Maximum review time frame every month
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The inherent and mitigated risk score, control measures and any additional planned control measures are recorded on the OPCCs risk register.

5. Risk Management Responsibilities/Accountabilities

This policy and framework set's out specific responsibilities for risk management to key individuals, committees, panels to ensure that there are clear lines of accountability for managing risk as below;

- **The Police and Crime Commissioner (PCC)**

The PCC has strategic responsibility for the overall management of risks within the OPCC.

An Annual governance statement is approved by the PCC which includes reference on the effectiveness of risk management arrangements.

The PCC is also responsible for strategic risks as identified in the strategic risk register and for providing a challenge and understanding of those risks as part of the decision-making processes and when policies are being developed.

- **OPCC Senior Management Team (SMT)**

The OPCC SMT has responsibilities for maintaining comprehensive and robust systems of internal control including risk management processes. SMT also has the responsibility for ensuring an operational risk register is maintained to support the management of those risks that may impact on the delivery of the OPCC business plan.

The Chief Finance officer to produce a report on the effectiveness of risk management arrangements within the OPCC on an annual basis and to ensure that all SMT meetings include risk identification as an agenda item. Chief Finance Officer has responsibility for ensuring appropriate internal audit arrangements are managed and for insurance in respect of those risks which are to be treated/mitigated is in place.

- **OPCC Managers and Staff**

Managers and staff have responsibility for identifying strategic and operational risks in their business area. Staff are responsible for highlighting any risks that may impact on their business objectives and that these are recorded on the Strategic/operational risk registers and they are managed and reviewed on a regular basis.

A risk which is deemed to have a significant effect on the medium- or long-term objectives or projects should be raised with their immediate manager or a member of the SMT for consideration, inclusion within the strategic risk register.

- **Joint Audit, Risk and Assurance Panel**

The OPCC and Leicestershire Force have established a Joint Audit, Risk and Assurance Panel. This panel is made up with Independent professional members.

The panel is responsible for providing scrutiny and to exam the evidence provided by internal audit, external audit and other areas of governance areas to ensure that the PCC and the OPCC are actively managing the risks. Independent assurance is achieved by this scrutiny and process.

- **Internal and External Audit**

Internal audit to provide independent and objective assurance on the OPCC risk management and risk controls and assurance on their effectiveness.

Appendix B: Risks Overview

Highlighting Legend:

Risks Archived
Change to risk score
New risk since last meeting

Appendix A		Force Risk Register				20 th January 2022			
Reference	Owner	Title	Impact	Likelihood	Status	First Recorded	Last review	Risk Score	Previous Score
OPCC012	Chief Executive	Trust and Confidence in Policing has deteriorated	Very High	Very High	Controls Tasked	Nov 2021	11/01/22	16	16
OPCC005	Head of Communications	Inadequate external communication	Very High	Likely	Controls Tasked	Aug 2018	11/01/22	12	12
OPCC013	Chief Executive	Safety of elected officials	Very High	Likely	Controls Tasked	Nov 2021	11/01/22	12	12
OPCC007	Chief Executive	Partner Relationships deteriorate as a result of a change in strategic direction	High	Likely	Controls Tasked	Aug 2018	11/01/22	9	9
OPCC014	Chief Executive	General Data Protection Regulations (GDPR)	High	Likely	Controls Tasked	Aug 2018	11/01/22	9	9
OPCC015	Chief Executive	Effectiveness of the OPCC Structure	High	Likely	Controls Tasked	Aug 2018	11/01/22	9	9
OPCC018	Chief Executive	Wellbeing of Staff	High	Likely	Controls Tasked	Nov 2020	11/01/22	9	9
OPCC006	Chief Executive	Delayed recruitment of OPCC staff	Very High	Possible	Controls Tasked	Nov 2020	11/01/22	8	16
OPCC017	Chief Executive	Provider failure or poor performance.	Very High	Possible	Controls Tasked	Nov 2020	11/01/22	8	12

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OPCC021	Chief Executive	Values in the workplace	Very High	Possible	Controls Tasked	Nov 2021	11/01/22	8	8
OPCC002	Chief Executive	Pandemic, flu and winter pressures impairing resources in the office throughout the winter period	High	Possible	Controls Tasked	Nov 2021	11/01/22	6	16
OPCC009	Head of Performance	Unsuccessful consolidation of People Zones Initiative	High	Possible	Controls Tasked	Aug 2018	11/01/22	6	9
OPCC010	Chief Executive	Changes as a result of the PCC review	High	Possible	Controls Tasked	Nov 2020	11/01/22	6	9
OPCC011	Head of Communications	Engagement with the Community	High	Possible	Controls Tasked	Aug 2018	11/01/22	6	6
OPCC003	Chief Finance Officer	Impact of Comprehensive Spending Review on the 2022/23 budget, precept settlement	Medium	Possible	Controls Tasked	Aug 2018	11/01/22	4	12
OPCC008	Strategic Director VRN	Funding unavailable from the Home Office for 2022/23	Medium	Possible	Controls Tasked	Nov 2020	11/01/22	4	8
OPCC020	Chief Executive	Police and Crime Plan commitments not delivered	High	Rare	Controls Tasked	Aug 2018	11/01/22	3	8

Appendix C: High Risks

Trust and Confidence in Policing has deteriorated

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC012	4	4	16	16	→

Date first Recorded: 04/11/2021

Risk Owner: Chief Executive

Responsible Officer: Chief Executive

Controls:

- Effective communication strategy
- CGB focussing on trust and confidence enhancing the accountability of the force

Update:

11th Jan 2022 - This an area that the CEO is currently looking at to establish whether it is a risk or a strategic issue. No further updates

Inadequate external communication

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC005	4	3	12	12	→

Date first Recorded: 30/08/2018

Risk Owner: Head of Communications

Responsible Officer: Head of Communications

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Controls:

- There is a communication lead contracted to provide external communications and digital media.
- The new structure provides sufficient resource to enable proper consideration of issues and the best means to communicate them externally.
- Need to enhance capabilities around digital media within the current structure.
- OPCC Communications planning grid implemented and reported on to SMT meetings.
- The creation of a forward look planning approach for communications aligned to community engagement activity is changing the way communications are handled.
- The development of digital channels for communication has also added to the range of options available.
- The new PCC may review communications, which will be an opportunity to develop further.

Update:

11th Jan 2022 - New communications team built into new structure however number of key roles still to be recruited. Also need to see how the new team imbeds over time.

Safety of elected officials

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC013	4	3	12	12	→

Date first Recorded: 04/11/2021

Risk Owner: Chief Executive

Responsible Officer: Head of Performance

Controls:

- risk assessments to be completed for events and visits for PCC
- survey of MPs and councillors asking for feelings of safety to be completed and feedback to force
- closer working relationships with the force to maintain oversight of threat harm and risk of communities
- receive regular updates from the force on Op Bridger

Update:

11th Jan 2022 - Op Bridger remains on the Corporate Governance Board agenda for regular updates. Survey of MPs and Councillors undertaken and to be fed back into the force. Details of Commissioner's planned visits are not disclosed to the wider public, reducing the threat of harm.

Partner Relationships deteriorate as a result of a change in strategic direction

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Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC007	3	3	9	9	→

Date first Recorded: 30/08/2018

Risk Owner: Chief Executive

Responsible Officer: Chief Executive

Controls:

- 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.

Update:

11th Jan 2022 - PCC has been in position for 8 months. A number of key individuals have left organisation which will impact on the relationships at officer level.

General Data Protection Regulations (GDPR)

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC014	3	3	9	9	→

Date first Recorded: 30/08/2018

Risk Owner: Chief Executive

Responsible Officer: Operations and Compliance Manager

Controls:

- Additional Resource provided from force to assess initial and ongoing compliance with the new regulations.
- Staff training being delivered in bitesize sessions.
- ICO Audit undertaken on OPCC and audit findings being addressed through the project plan in place.
- NCALT training for all staff

Update:

11th Jan 2022 - Bitesize training undertaken however there has been a number of new recruits so further training will be required. NCALT package to be completed by all new members of staff.

Effectiveness of the OPCC Structure

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Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC015	3	3	9	9	→

Date first Recorded: 30/08/2018

Risk Owner: Chief Executive

Responsible Officer: Chief Executive

Controls:

- 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.

Update:

11th Jan 2022 - New CEO post and a number of new post now filled. Rre-structure has been shared with the team and new structure populated. Team are getting a better understanding of the PCC and his expectations for the office and his objectives going forward. Heading towards Business as usual. Loss of a number of individuals may result in loss of organisation knowledge and experience - training and knowledge sharing sessions to take place.

Wellbeing of Staff

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC018	3	3	9	9	→

Date first Recorded: 06/11/2020

Risk Owner: Chief Executive

Responsible Officer: Chief Executive

Controls:

- Bi-weekly team meetings to engage all staff and keep them informed of current issues.
- Sharing of successful events or projects which have been undertaken within the team.
- Regular meetings between staff and team leaders to maintain regular contact and monitor staff wellbeing.
- Wellbeing staff surveys issued with good uptake from staff and positive feedback.
- 2 wellbeing champions within the OPCC team, raising awareness of wellbeing events/initiatives and being a source of support.
- Bitesize training and guest speakers arranged to keep staff up to date with latest developments and areas of training.

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Update:

11th Jan 2022 - further 2 wellbeing champions have been implemented within the office. Staff have been informed to work from home since the announcement made on the 9th December 2021. However, it has been communicated to staff that the OPCC is considering the Mental welfare of its staff and the impact of working from home and allow flexibility to staff who wish to return to office based working. Regular wellbeing calls with staff whilst working from home.

Delayed recruitment of OPCC staff

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC006	4	2	8	16	↓

Date first Recorded: 06/11/2020

Risk Owner: Chief Executive

Responsible Officer: Chief Executive

Controls:

- A review is being undertaken of the HR SLA and discussion will take place with ACO HR as to future service future delivery.
- Regular meetings with recruitment team to highlight upcoming vacancies for resourcing.

Update:

11th Jan 2022 - New CEO has been appointed and now in post. Still a number of key roles which are vacant and needs recruiting into. Integration and induction of new team members whilst working in a hybrid working environment causes a few issues. Still working to the Force recruitment policies. OPCC policies to be designed, agreed and implemented. Vetting taking longer than 3 week SLA.

Provider failure or poor performance.

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC017	4	2	8	12	↓

Date first Recorded: 30/08/2018

Risk Owner: Chief Executive

Responsible Officer: Head of Strategy & Commissioning

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Controls:

- 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 funding.
- Outcomes framework in the process of being implemented.

Update:

11th Jan 2022 - Outcomes framework now implemented and wider pressures, in particular covid restrictions/implications, have eased off somewhat so reasonable to move likelihood down to a 2

Values in the workplace

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC021	4	2	8	8	→

Date first Recorded: 04/11/2021

Risk Owner: Chief Executive

Responsible Officer: Chief Executive

Controls:

- all people related policies to be updated
- organisational values to be defined and operationalised
- leadership training to follow
- staff to be surveyed to understand current culture

Update:

11th Jan 2022 - The OPCC team have recently been on an away day of which, a session was working on office values. Whistle blowing policy in place. Reminder to staff of reporting mechanisms in place. Ensuring new members of staff are aware of the processes and procedures in place and how they can raise concerns.

Appendix D: Risks Closed

Uncertainty for staff due to ongoing restructure

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC001	3	3	9	16	↓

Date first Recorded: 09/07/2021

Risk Owner: Chief Executive

Responsible Officer: Chief Executive

Controls:

- Organisational restructure to be presented to the senior management team at the earliest opportunity
- Staff consultation with Unions
- Ongoing support to staff will be provided
- Staff to be informed of changes affecting their roles at the earliest opportunity

Update:

11th Jan 2022 - Uncertainty of staff is not a risk to the OPCC but a consequence of an ineffective structure (OPCC015) and poor wellbeing of staff (OPCC018) - Close

Risk of National Pandemic on business continuity

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC004	3	3	9	12	↓

Date first Recorded: 06/11/2020

Risk Owner: Chief Executive

Responsible Officer: Chief Executive

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Controls:

- Business continuity plan in place and shared with the team.
- All contact numbers reviewed to ensure that staff members can be contacted quickly.
- Risk Assessment in place for the office which is regularly updated.
- Safe system of working document shared with all OPCC staff.
- For those attending the office, when government guidance permits, control measures in place i.e. one way system, bubbles, allocated maximum number of individuals.
- Documents updated monthly in line with government guidance.
- Project plan in place for recovery and current way of working.
- All staff have laptops and other equipment supplied in order for staff to work from home.
- Working practices reviewed at start of pandemic to ensure business as usual.

Update:

11th Jan 2022 - Closed as captured within risk OPCC002 and also active member of Op Talla. Risk also captured by the Force.

Inadequate IT systems in operation

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC016	3	3	9	9	→

Date first Recorded: 30/08/2018

Risk Owner: Chief Executive

Responsible Officer: Chief Executive

Controls:

- Training programmes been delivered around Microsoft teams.
- Office 365 implementation plan continues and requires further training.
- Improved use of technology, improved technology platform to enable mobile and agile working

Update:

11th Jan 2022 - Dependent upon the force for IT system therefore sits within force risk register - Closed

Insufficient Resource within the OPCC

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC019	2	3	6	4	↑

Date first Recorded: 30/08/2018

Risk Owner: Chief Executive

Responsible Officer: Chief Executive

Controls:

- 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.
- Budget and staffing structure in place.
- Deputies in place for all statutory officers including Deputy PCC, Deputy Monitoring Officer and Deputy S151 Officer

Update:

11th Jan 2022 - Risk is a duplication of OPCC015 - closed

Appendix E: Risk Scoring Matrix

		Impact				
Impact Score		Strategic Objectives/Performance /Service Delivery	Financial Impact/Efficiency £	Impact on Confidence/ Reputation	Impact on People	Duration of Impact
4	Very High	<ul style="list-style-type: none"> Major impact on the ability to fulfil strategic objectives Unable to function, inability to fulfil obligations-total failure of at least 2 areas of activity Major impact on performance indicators noticeable by partners and stakeholders 	<ul style="list-style-type: none"> Severe financial impact (above £1m /budget implication) 	<ul style="list-style-type: none"> Severe damage to reputation Significant Media interest Major stakeholder/investigations/longer lasting community concerns Loss of confidence in the PCC and senior leadership team 	<ul style="list-style-type: none"> Internally – wholesale resignation, unable to staff OPCC Externally – Death or life changing injury 	<ul style="list-style-type: none"> In excess of 1 year to recover pre-event position
3	High	<ul style="list-style-type: none"> Serious impact to fulfil strategic objectives Serious impact on service provision, Total failure of at least 1 area of activity with impact across all areas of business. Serious impact on performance indicators noticeable by partners and stakeholders 	<ul style="list-style-type: none"> Significant financial impact (over £251,000 - £1m) 	<ul style="list-style-type: none"> Serious damage to reputation Short term national/longer term local media interest Serious stakeholder/investigations/prolonged community concerns 	<ul style="list-style-type: none"> Internally - increased staff turnover/shortage An injury requiring over 24 hours hospitalisation and/or 3 days off work Externally-Increase in complaints from public about poor service delivery – poor user experience 	<ul style="list-style-type: none"> Between 6 months to 1 year to recover to pre - event position
2	Medium	<ul style="list-style-type: none"> Significant impact on the ability to fulfil strategic objectives Significant impact on service delivery objectives -at least 2 areas of business objectives. Noticeable impact on performance indicators noticeable by partners and stakeholders 	<ul style="list-style-type: none"> Material financial impact (over £51,000 - £250,000) 	<ul style="list-style-type: none"> Significant adverse publicity, noticeable damage to reputation. Short term local media interest Significant investigations/specific community concerns 	<ul style="list-style-type: none"> Internally – high level of staff absence An injury requiring hospital/professional medical attention and/or between 1 day and 3 days off work with full recovery Externally – Multiple complaints from the public about poor service delivery 	<ul style="list-style-type: none"> Between 2 to 6 months pre-event position
1	Low	<ul style="list-style-type: none"> Minor impact on the ability to fulfil Strategic Objectives Minor impact on service delivery objectives. Minor impact on performance indicators not noticeable by partners and stakeholders 	<ul style="list-style-type: none"> Some financial impact (£0 - £50,000) 	<ul style="list-style-type: none"> Some damage to reputation 1 day local media interest Minor community concerns 	<ul style="list-style-type: none"> Internally – low morale An injury involving no treatment or minor first aid with no time off 	<ul style="list-style-type: none"> Up to 2 months recover

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Risk Matrix: Likelihood		
Likelihood Score	Description of Score	Chance of Occurrence
4	Very High	Already occurring, newly occurred or likely to be a regular occurrence, daily, weekly, monthly. 75%-100% chance Almost certainly will occur
3	Likely	A reasonable chance that this could happen and may have occurred recently. 51%-74% chance Expected to happen
2	Possible	Possible at some point. May occur annually or less frequently. 25%-50% chance of occurrence
1	Rare	Unlikely to occur at any given point. 0%-25% chance of occurrence

Overall Risk Score

Likelihood Score	Very High	4	4 Medium	8 High	12 High	16 High
	Likely	3	3 Low	6 Medium	9 High	12 High
	Possible	2	2 Low	4 Medium	6 Medium	8 High
	Rare	1	1 Low	2 Low	3 Low	4 Medium
			1	2	3	4
			Low	Medium	High	Very High
			Impact Score			