

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

Paper  
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| Report of | <b>OFFICES OF POLICE AND CRIME COMMISSIONER</b>        |
| Subject   | <b>POLICE AND CRIME COMMISSIONER RISK REGISTER</b>     |
| Date      | <b>THURSDAY 25<sup>th</sup> AUGUST 2022</b>            |
| Author    | <b>NIMISHA PADHIAR – POLICY AND COMPLIANCE MANAGER</b> |

### **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.

### **Recommendation**

2. The panel is recommended to review the contents of this report and the updates provided within.
3. The Panel is also asked to note that a joint review of OPCC and Force risk has been undertaken on 28<sup>th</sup> July 2022. Joining up with the Force will provide more than a one-dimensional view of risks and any identified risks will be incorporated into the individual risk registers in the coming months.

### **Summary**

4. There are currently 24 live strategic risks on the risk register including 3 which have been proposed to close/ archive. See Appendix A

### **High Risks**

5. 13 risks are currently rated as 'High' priority (including the 5 new risks). These risks are detailed at Appendix B.

### **Closed risks**

6. 3 risks have been proposed closed and archived following a meeting of the Senior Management Team on 27<sup>th</sup> July 2022. and are detailed shown in yellow in Appendix A and detailed Appendix C.

### **Changes in risk score**

7. 5 changes to the Risk Score shown in grey in Appendix A.

## New risk

8. There are 5 new risks since the last JARAP report shown in green in Appendix A.

## Risk Grading Criteria

9. 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.
10. 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

11. 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 Overview

Appendix B: High Risks

Appendix C: Closed Risks

Appendix D: Risk Scoring Matrix

**Persons to contact**

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Appendix A: Risks Overview

Highlighting Legend:

|                             |
|-----------------------------|
| Risks Closed                |
| Change to risk score        |
| New risk since last meeting |

|           |                 | OPCC Risk Register                                |           |            |                 | 27/7/22        |             |                |               |                     |   |
|-----------|-----------------|---|-----------|------------|-----------------|----------------|-------------|----------------|---------------|---------------------|---|
| Reference | Owner           | Title   | Impact    | Likelihood | Status          | First Recorded | Last review | Previous Score | Current Score | Direction of Travel | Comments  |
| OPCC012   | Chief Executive | Trust and Confidence in Policing has deteriorated | Very High | Very High  | Controls Tasked | 04/11/2021     | 27/07/2022  | 16             | 16            | →                   | <b>Propose to close</b> and new risk OPCC024 Ineffective legislative and regulatory controls in place to hold the CC to account and OPCC028 PCC fails in gaining public confidence have been established. |
| OPCC015   | Chief Executive | Effectiveness of the OPCC Structure               | High      | Likely     | Controls Tasked | 30/08/2018     | 27/07/2022  | 9              | 16            | ↑                   |   |

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|---------|------------------------------------|--|-----------|-----------|-----------------|------------|------------|----------|----|---|---|
| OPCC026 | Chief Executive                    | Single Point of Failure impacting on the delivery of OPCC objectives   | Very High | Very High | Controls Tasked | 07/06/2022 | 27/07/2022 | New Risk | 16 |   |   |
| OPCC027 | Chief Executive                    | Job Evaluation Scheme - Hay Review   | Very High | Very High | Controls Tasked | 07/06/2022 | 27/07/2022 | New Risk | 16 |   |   |
| OPCC029 | Chief Executive                    | Delays in service provision due to pressures on the Commissioning and Procurement teams leading to delays in the tendering process, reputational issues. | Very High | Very High | Controls Tasked | 06/07/2022 | 27/07/2022 | New Risk | 16 |   |   |
| OPCC030 | Head of Commissioning and Strategy | Failure by Service provider to deliver on service provision  | Very High | Very High | Controls Tasked | 06/07/2022 | 27/07/2022 | New risk | 16 |   |   |
| OPCC017 | Chief Executive                    | Provider failure or poor performance.  | Very High | Possible  | Controls Tasked | 30/11/2020 | 27/07/2022 | 8        | 12 | ↑ | Commissioning team review ongoing. Working closely with performance team to monitor performance of the Commissioned Services. |

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|---------|------------------------|--|-----------|----------|-----------------|------------|------------|----------|---|---|--|
| OPCC007 | Chief Executive        | Partner Relationships deteriorate as a result of a change in strategic direction | High      | Possible | Controls Tasked | 30/08/2018 | 27/07/2022 | 6        | 9 | ↑ | Partnership Strategy to be developed which will sent out OPCC Partnership Landscape. |
| OPCC014 | Chief Executive        | Failure to meet the General Data Protection Regulations (GDPR)                   | High      | Likely   | Controls Tasked | 30/08/2018 | 27/07/2022 | 9        | 9 | → |  |
| OPCC018 | Chief Executive        | Impairment of the wellbeing of Staff caused by external factors                  | High      | Possible | Controls Tasked | 06/11/2020 | 27/07/2022 | 9        | 9 | → |  |
| OPCC022 | Chief Finance Officer  | Economic impact of the current foreign political unrest                          | High      | Likely   | Controls Tasked | 03/03/2022 | 27/07/2022 | 9        | 9 | → |  |
| OPCC025 | Strategic Director VRN | Insufficient funding to Maintain Programme Sustainability                        | High      | Likely   | Controls Tasked | 17/05/2022 | 27/07/2022 | New Risk | 9 |   |  |
| OPCC006 | Chief Executive        | Delayed recruitment of OPCC staff  | Very High | Possible | Controls Tasked | 06/11/2020 | 27/07/2022 | 8        | 8 | → |  |

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|---------|------------------------|---|------|----------|-----------------|------------|------------|---|---|---|--|
| OPCC002 | Chief Executive        | Pandemic, flu and winter pressures impairing resources in the office throughout the winter period | High | Possible | Controls Tasked | 04/11/2021 | 27/07/2022 | 6 | 6 | → | Propose to be closed and will be monitored through People Strategy Via SMT |
| OPCC005 | Head of Communications | Ineffective External Communications leading to reputational damage                                | High | Possible | Controls Tasked | 30/08/2018 | 27/07/2022 | 6 | 6 | → | Additional Controls added.   |
| OPCC009 | Head of Performance    | Unsuccessful consolidation of People Zones Initiative leading to reputational damage.             | High | Possible | Controls Tasked | 30/08/2018 | 27/07/2022 | 6 | 6 | → |  |
| OPCC010 | Chief Executive        | Changes as a result of the PCC review   | High | Possible | Controls Tasked | 06/11/2020 | 27/07/2022 | 6 | 6 | → | Propose to Close   |
| OPCC011 | Chief Executive        | Engagement with the Community   | High | Possible | Controls Tasked | 30/08/2018 | 27/07/2022 | 6 | 6 | → |  |

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|---------|------------------------|--|-----------|----------|-----------------|------------|------------|---|---|---|--------------------------------------|
| OPCC013 | Chief Executive        | Safety of elected officials  | High      | Possible | Controls Tasked | 04/11/2021 | 27/07/2022 | 6 | 6 | → |                                      |
| OPCC028 | Chief Executive        | PCC fails in gaining public confidence   | High      | Possible | Controls Tasked | 07/06/2022 | 27/07/2022 | 6 | 6 |   |                                      |
| OPCC021 | Chief Executive        | Values in the workplace Historic cultural issues may result in poor organisational morale. | Very High | Rare     | Controls Tasked | 04/11/2021 | 27/07/2022 | 4 | 4 | → |                                      |
| OPCC023 | Strategic Director VRN | Instability of the VRN team impacting on delivery  | High      | Likely   | Controls Tasked | 17/03/2022 | 27/07/2022 | 9 | 4 | ↓ |                                      |
| OPCC020 | Chief Executive        | Police and Crime Plan commitments not delivered  | High      | Rare     | Controls Tasked | 30/08/2018 | 27/07/2022 | 3 | 3 | → | Performance Framework to be embedded |



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|---------|-----------------|--|------|----------|-----------------|------------|------------|---|---|---|--|
| OPCC024 | Chief Executive | Ineffective legislative and regulatory controls in place to hold the CC to account | High | Possible | Controls Tasked | 30/03/2022 | 27/07/2022 | 4 | 3 | ↓ | Most of the control measures have been implemented and Governance and reporting procedures are in place. i.e. via Corporate Governance Board and the Police and Crime Panel. |
|---------|-----------------|--|------|----------|-----------------|------------|------------|---|---|---|--|

**Appendix B: High Risks**

| Risk creation date   | URN   | Risk Owner      | Responsible Officer | Risk score | Proposed risk score | Movement |
|----------------------|---|-----------------|---------------------|------------|---------------------|----------|
| 30/08/2018           | OPCC015   | Chief Executive | Chief Executive     | 9          | 16                  | ↑        |
| <b>Title</b>         | <b>Effectiveness of the OPCC Structure</b>  |                 |                     |            |                     |          |
| <b>Risk summary</b>  | 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.  |                 |                     |            |                     |          |
| <b>Controls</b>      | <ul style="list-style-type: none"> <li>• A number of new posts have been recruited and the structure appears to be bedding in well.</li> <li>• The structure will be reviewed by the Chief Executive to ensure it is delivering as expected.</li> <li>• Training for the new staff will be identified and support provided where required.</li> <li>• Manager meetings have been implemented to ensure effective working across the teams.</li> <li>• Interim review to be undertaken.</li> </ul>   |                 |                     |            |                     |          |
| <b>Latest Update</b> | <ul style="list-style-type: none"> <li>➤ 11/01/22 - New CEO post and a number of new posts now filled. Re-structure has been shared with the team and new structure populated. Team are getting</li> <li>➤ 07/03/22 - No change<br/>Structure is still being established with staff settling into their roles and a few new members of staff are still awaiting start dates.<br/>Review of effectiveness off the roles and organisational structure to be reviewed in 9 months once business as usual has been established.</li> <li>➤ 12/07/22 Impact and likelihood score increased to 4 total score now 16 from 9</li> <li>➤ A number of organisational reviews will be undertaken during August/September to gauge the progress and efficiency of the organisation</li> <li>➤ Significant improvement in performance has been experienced within various areas of the business including the management of complaint reviews, management of correspondence, management of events and engagement with the public.</li> <li>➤ Deterioration has been experienced in Commissioning and Contract Management which is subject to strategic management oversight.<br/>Weekly reporting to SMT instigated.</li> <li>➤ 27/07/22 SMT reviewed and agreed changes.</li> </ul> |                 |                     |            |                     |          |
| <b>Next Key Date</b> | 25/08/22 – Report to JARAP  |                 |                     |            |                     |          |

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| Risk creation date   | URN   | Risk Owner      | Responsible Officer | Risk score | Proposed risk score | Movement |
|----------------------|---|-----------------|---------------------|------------|---------------------|----------|
| 07/06/2022           | OPCC026   | Chief Executive | Chief Executive     | 16         | 16                  | New Risk |
| <b>Title</b>         | <b>Single Point of Failure impacting on the delivery of OPCC objectives</b>   |                 |                     |            |                     |          |
| <b>Risk summary</b>  | Due to staff changes and turnover there is a risk that single point of staff failure exists in several areas of delivery. These could result in non-delivery or delay in achieving the police and crime plan, not meeting statutory or regulatory deadlines   |                 |                     |            |                     |          |
| <b>Controls</b>      | <ul style="list-style-type: none"> <li>• Develop Business Continuity plans</li> <li>• Identify SPOF roles- provide resilience and support to those roles.</li> <li>• Succession Planning.</li> <li>• Role specific process notes to be developed.</li> <li>• Force PDR system to be introduced into the OPCC.</li> <li>• Colleagues will be trained to be omnicompetent in other areas of business to reduce the risk of single point of failure.</li> <li>• Training needs analysis will reflect the need to create omnicompetence.</li> </ul>   |                 |                     |            |                     |          |
| <b>Latest Update</b> | <ul style="list-style-type: none"> <li>➤ New risk since last JARAP</li> <li>➤ 12/07/22 Review undertaken controls assigned to Policy and Compliance Officer.</li> <li>➤ New staff are closely monitored and given feedback regarding performance.</li> <li>➤ PDR Objectives progressed for each member of staff.</li> <li>➤ Force PDR system to be introduced into the OPCC.</li> <li>➤ Colleagues will be trained to be omnicompetent in other areas of business to reduce the risk of single point of failure.</li> <li>➤ Training needs analysis will reflect the need to create omnicompetence.</li> <li>➤ 27/07/22 SMT reviewed and agreed changes.</li> </ul> |                 |                     |            |                     |          |
| <b>Next Key Date</b> | 25/08/22 – Report to JARAP  |                 |                     |            |                     |          |

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| Risk creation date   | URN  | Risk Owner      | Responsible Officer | Risk score | Proposed risk score | Movement |
|----------------------|--|-----------------|---------------------|------------|---------------------|----------|
| 07/06/2022           | OPCC027  | Chief Executive | Chief Executive     | 16         | 16                  | New Risk |
| <b>Title</b>         | <b>Job Evaluation Scheme - Hay Review</b>  |                 |                     |            |                     |          |
| <b>Risk summary</b>  | Current Job Evaluation Scheme (JES) non-equalities compliant and the implementation of new JES scheme carries risk to staff morale and retention   |                 |                     |            |                     |          |
| <b>Controls</b>      | <ul style="list-style-type: none"> <li>OPCC attend the Forces Gold group to assess progress and impact on OPCC Staff (Gold group includes Union representation)</li> <li>Staff provided with regular updates via OPCC Team Meeting</li> <li>People Strategy to be developed</li> </ul> |                 |                     |            |                     |          |
| <b>Latest Update</b> | <ul style="list-style-type: none"> <li>➤ New risk since the last JARAP report.</li> <li>➤ 14/07/22 Reviewed additional control added</li> <li>➤ 27/07/22 – SMT reviewed and agreed changes</li> </ul>  |                 |                     |            |                     |          |
| <b>Next Key Date</b> | 25/08/22 – Report to JARAP   |                 |                     |            |                     |          |

| Risk creation date   | URN   | Risk Owner      | Responsible Officer | Risk score | Proposed risk score | Movement |
|----------------------|---|-----------------|---------------------|------------|---------------------|----------|
| 06/07/2022           | OPCC029   | Chief Executive | Chief Executive     | 16         | 16                  | New Risk |
| <b>Title</b>         | <b>Delays in service provision due to pressures on the Commissioning and Procurement teams leading to delays in the tendering process, reputational issues.</b>   |                 |                     |            |                     |          |
| <b>Risk summary</b>  | Delays in Procurement and tendering of Commissioned services causing potential issues with service delivery, reputational issues with partners/suppliers.   |                 |                     |            |                     |          |
| <b>Controls</b>      | <ul style="list-style-type: none"> <li>Central contract register being reconstructed</li> <li>All contracts being reviewed</li> <li>Commissioning strategy being developed</li> <li>Due diligence and quality assurance mechanisms being put in place</li> <li>Weekly strategic oversight</li> <li>Grants processes being redeveloped</li> <li>Procedural guides and supporting materials being administered</li> <li>Action plans put in place</li> <li>Resources dedicated to resolve issue at the earliest opportunity</li> <li>Communications plan being developed</li> </ul> |                 |                     |            |                     |          |
| <b>Latest Update</b> | <ul style="list-style-type: none"> <li>➤ New risk since last JARAP</li> <li>➤ 27/07/22 - SMT agreed new risk</li> </ul>   |                 |                     |            |                     |          |
| <b>Next Key Date</b> | 25/08/22 – Report to JARAP.   |                 |                     |            |                     |          |

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| Risk creation date   | URN   | Risk Owner                              | Responsible Officer                     | Risk score | Proposed risk score | Movement |
|----------------------|---|---|---|------------|---------------------|----------|
| 20/07/2022           | OPCC030   | Temp Head of Commissioning and Strategy | Temp Head of Commissioning and Strategy | 16         | 16                  | New Risk |
| <b>Title</b>         | <b>Failure by a single service provider to deliver on service provision</b>   |   |   |            |                     |          |
| <b>Risk summary</b>  | Reputational and financial risk from failure to delivery services   |   |   |            |                     |          |
| <b>Controls</b>      | <ul style="list-style-type: none"> <li>• Contract being reviewed and progressed</li> <li>• Funding streams to be substantiated</li> <li>• Weekly reporting mechanism now in place</li> <li>• Improved scrutiny of service delivery</li> <li>• Partnership meeting in place to manage the wider partnership risks</li> <li>• Communication plan being put into place</li> <li>• Extra resources and oversight of service delivery</li> </ul> |   |   |            |                     |          |
| <b>Latest Update</b> | <ul style="list-style-type: none"> <li>➤ New risk since last JARAP</li> <li>➤ 27/7/22 - SMT agreed new risk</li> </ul>  |   |   |            |                     |          |
| <b>Next Key Date</b> | 25/8/22 – Report to JARAP   |   |   |            |                     |          |

| Risk creation date  | URN   | Risk Owner      | Responsible Officer                     | Risk score | Proposed risk score | Movement |
|---------------------|---|-----------------|---|------------|---------------------|----------|
| 30/11/2020          | OPCC017   | Chief Executive | Temp Head of Commissioning and Strategy | 8          | 12                  | ↑        |
| <b>Title</b>        | <b>Provider failure or poor performance leading to poor service delivery and reduced value for money</b>  |                 |   |            |                     |          |
| <b>Risk summary</b> | 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.   |                 |   |            |                     |          |
| <b>Controls</b>     | <ul style="list-style-type: none"> <li>• Strong governance arrangements in place with regards to the major contracts issued.</li> <li>• Strong relationships with partners and organisational leads.</li> <li>• Requirement to provide monitoring information and how the funds have been used from all recipients of Commissioning funding (Accountability and due Diligence).</li> <li>• Outcomes framework in the process of being implemented.</li> </ul> |                 |   |            |                     |          |

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|                      | <ul style="list-style-type: none"> <li>Commissioning Team undergoing review to ensure adequately resourced</li> </ul>  |
| <b>Latest Update</b> | <ul style="list-style-type: none"> <li>11/01/22 - Outcomes framework now implemented and wider pressures, in particular covid restrictions/implications, have eased off somewhat so</li> <li>03/03/22 - Commissioning team review ongoing. Working closely with performance team to monitor performance of the Commissioned Services.</li> <li>06/04/22 - SMT agreed control</li> <li>07/06/22 - No Change</li> <li>12/07/22 - Review undertaken- amendment to title, the impact score increased to 3 from 2 and change in title for the responsible officer from Commissioning manager to Temp Head of Commissioning and Strategy.</li> <li>27/07/22 - SMT reviewed and agreed changes</li> </ul> |
| <b>Next Key Date</b> | 25/08/22 – Report to JARAP   |

| Risk creation date   | URN   | Risk Owner      | Responsible Officer | Risk score | Proposed risk score | Movement |
|----------------------|---|-----------------|---------------------|------------|---------------------|----------|
| 30/08/2018           | OPCC007   | Chief Executive | Chief Executive     | 6          | 9                   | ↑        |
| <b>Title</b>         | <b>Partner Relationships deteriorate as a result of a change in strategic direction</b>   |                 |                     |            |                     |          |
| <b>Risk summary</b>  | 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.  |                 |                     |            |                     |          |
| <b>Controls</b>      | <ul style="list-style-type: none"> <li>Currently the relationships with partners are good and the newly implemented office structure provides resource to improve these relationships.</li> <li>Effective partnership governance arrangements currently in place.</li> <li>Partnership Strategy to be produced and to include the below:                             <ul style="list-style-type: none"> <li>Review current partnership arrangements.</li> <li>Review CSP funding Procedures.</li> <li>Align CSP funding to PCP Plan.</li> <li>organograph for staff attending meetings with rational to be produced.</li> </ul> </li> <li>Review of the partnership landscape to be conducted.</li> <li>Partnership spocs to be identified once the priority partners and meetings identified.</li> </ul> |                 |                     |            |                     |          |
| <b>Latest Update</b> | <ul style="list-style-type: none"> <li>11/01/22 - 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.</li> <li>07/06/22 - Lack of resources and new Interim CEO establishing relationships.</li> <li>12/07/22 - Review undertaken additional controls identified and likelihood score increased to 3 overall score increases to 9.</li> <li>Review of the partnership landscape to be conducted.</li> </ul>  |                 |                     |            |                     |          |

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|                      | <ul style="list-style-type: none"> <li>➤ Partnership SPOCs to be identified once the priority partners and meetings identified.</li> <li>➤ Tangible links to the police and crime plan to be identified at the earliest opportunity.</li> <li>➤ Funding streams/grants/community safety funds to be incorporated into plans.</li> <li>➤ 27/07/22 - SMT reviewed and agreed changes.</li> </ul> |
| <b>Next Key Date</b> | 25/08/22 – Report to JARAP   |

| Risk creation date   | URN  | Risk Owner      | Responsible Officer           | Risk score | Proposed risk score | Movement |
|----------------------|--|-----------------|-------------------------------|------------|---------------------|----------|
| 30/08/2018           | OPCC014  | Chief Executive | Policy and Compliance Officer | 9          | 9                   | →        |
| <b>Title</b>         | <b>Failure to meet the General Data Protection Regulations (GDPR)</b>  |                 |                               |            |                     |          |
| <b>Risk summary</b>  | The requirements set out under the GDPR legislation are not met Number of new staff not trained.   |                 |                               |            |                     |          |
| <b>Controls</b>      | <ul style="list-style-type: none"> <li>• Additional Resource provided from force to assess initial and ongoing compliance with the new regulations.</li> <li>• Staff training being delivered in bitesize sessions.</li> <li>• ICO Audit undertaken on OPCC and audit findings being addressed through the project plan in place.</li> <li>• NCALT training for all staff.</li> <li>• Training Programme to be established and Bitesize training to commence.</li> <li>• Internal reviews of compliance to be instigated in line with advice form Information Managers.</li> <li>• Clear desk policy and security of information policy to be developed at the earliest opportunity.</li> </ul>  |                 |                               |            |                     |          |
| <b>Latest Update</b> | <ul style="list-style-type: none"> <li>➤ 11/01/22 - 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.</li> <li>➤ 07/03/22 - Change in description of risk to include Failure to meet the GDP regulations. Training programme to be established and bitesize training to commence shortly.</li> <li>➤ 06/04/22 - SMT agreed change to title and additional control.</li> <li>➤ 01/05/22 - no change</li> <li>➤ 07/06/22 - no change</li> <li>➤ 12/7/22 Change in title in respect of responsible officer from Operational and Compliance Officer to Policy and Compliance Officer.</li> <li>➤ Decision to ensure training of all staff to appropriate levels</li> </ul> |                 |                               |            |                     |          |

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|                      | <ul style="list-style-type: none"> <li>➤ Internal reviews of compliance to be instigated in line with advice from Information Managers</li> <li>➤ Clear desk policy and security of information policy to be developed at the earliest opportunity</li> <li>➤ 27/07/22 - SMT reviewed and agreed changes.</li> </ul> |
| <b>Next Key Date</b> | 25/08/22 – Report to JARAP   |

| Risk creation date   | URN   | Risk Owner      | Responsible Officer | Risk score | Proposed risk score | Movement |
|----------------------|---|-----------------|---------------------|------------|---------------------|----------|
| 06/11/2020           | OPCC018   | Chief Executive | Chief Executive     | 9          | 9                   | →        |
| <b>Title</b>         | <b>Impairment of the wellbeing of Staff caused by external factors</b>  |                 |                     |            |                     |          |
| <b>Risk summary</b>  | Poor wellbeing of staff leads to stress in the workplace and also absence related to mental health. This results in a loss of days due to absence, unproductive staff, low staff morale and poor staff retention.   |                 |                     |            |                     |          |
| <b>Controls</b>      | <ul style="list-style-type: none"> <li>• Bi-weekly team meetings to engage all staff and keep them informed of current issues.</li> <li>• Sharing of successful events or projects which have been undertaken within the team.</li> <li>• Regular meetings between staff and team leaders to maintain regular contact and monitor staff wellbeing.</li> <li>• Wellbeing staff surveys issued with good uptake from staff and positive feedback.</li> <li>• Two wellbeing champions within the OPCC team, raising awareness of wellbeing events/initiatives and being a source of support.</li> <li>• Bitesize training and guest speakers arranged to keep staff up to date with latest developments and areas of training.</li> <li>• Dedicated programme for Team away days.</li> <li>• People Strategy developed.</li> <li>• Wellbeing to be a standing agenda item on SMT.</li> <li>• CEO to reinstate bi-monthly meetings to discuss welfare and H&amp;S.</li> </ul> |                 |                     |            |                     |          |
| <b>Latest Update</b> | <ul style="list-style-type: none"> <li>➤ 11/01/22 - 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.</li> <li>➤ 07/03/22 - Blended working with staff back in the office 3 times a week. This helps to build and maintain effective team's and communication.</li> </ul>   |                 |                     |            |                     |          |



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|                      | <p>Easier to monitor staff wellness when staff are in the office.<br/>Active "Team Wellbeing" Board in place.</p> <ul style="list-style-type: none"> <li>➤ 06/04/22 - SMT agreed that the risk should stay at 9</li> <li>➤ 07/06/22 - No change</li> <li>➤ 12/07/22 - Review undertaken additional controls added no change to risk score.</li> <li>➤ People Strategy to be developed in September 2022 to address all people issues</li> <li>➤ Organisational values to be embedded in the coming months</li> <li>➤ Workload reviews to be undertaken to address factors which impact upon welfare and wellbeing of staff</li> <li>➤ Regular internal communications to address welfare and health and wellbeing factors such as reduction of silo working, improved communications between teams, greater focus from managers</li> <li>➤ 27/07/22 - SMT reviewed and agreed changes.</li> </ul> |
| <b>Next Key Date</b> | 25/08/22 – Report to JARAP  |

| Risk creation date  | URN  | Risk Owner      | Responsible Officer   | Risk score | Proposed risk score | Movement |
|---------------------|--|-----------------|-----------------------|------------|---------------------|----------|
| 03/03/2022          | OPCC022  | Chief Executive | Chief Finance Officer | 9          | 9                   | →        |
| <b>Title</b>        | <b>Economic impact of the current foreign political unrest</b>   |                 |                       |            |                     |          |
| <b>Risk summary</b> | Increasing economic cost due to the Russian invasion on Ukraine resulting in higher inflationary pressures. Potentially higher energy bills, fuel costs, oil and parts, impacting on the financial sustainability of the Leicestershire Police.  |                 |                       |            |                     |          |
| <b>Controls</b>     | <ul style="list-style-type: none"> <li>• Budget monitoring and modelling of impact of emerging financial landscape due to the current political unrest between Ukraine and Russia and its impact on both OPCC and Force Budgets is in place.</li> <li>• Interim CFO and Assistant Chief Officer (Finance and Resources) hold monthly meetings to discuss impact.</li> <li>• Regular budget updates to Police and Crime Commissioner and Corporate Governance Board.</li> <li>• Contingency plans to be implemented.</li> <li>• Budget Monitoring a standard agenda item on SMT</li> <li>• Force and OPCC meeting specifically arranged in the coming weeks to address financial pressures.</li> <li>• Reconsider the use of force reserves with the PCC</li> </ul> |                 |                       |            |                     |          |

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| <b>Latest Update</b> | <ul style="list-style-type: none"> <li>➤ 27/05/22 - Update provided to Corporate Governance Board.</li> <li>➤ 07/06/22 - Situation carefully monitored by CFO and Force ACO</li> <li>➤ 06/07/22 - No change.</li> <li>➤ Force and OPCC meeting specifically arranged in the coming weeks to address financial pressures.</li> <li>➤ Monthly reporting to the PCC and CEO to monitor spending.</li> <li>➤ Reconsider the use of force reserves with the PCC.</li> <li>➤ 27/07/22 - SMT reviewed and agreed changes.</li> </ul> |
| <b>Next Key Date</b> | 25/08/22 – Report to JARAP  |

| Risk creation date   | URN   | Risk Owner             | Responsible Officer    | Risk score | Proposed risk score | Movement |
|----------------------|---|------------------------|------------------------|------------|---------------------|----------|
| 17/05/2022           | OPCC025   | Strategic Director VRN | Strategic Director VRN | 9          | 9                   | New Risk |
| <b>Title</b>         | <b>Insufficient funding to Maintain Programme Sustainability</b>  |                        |                        |            |                     |          |
| <b>Risk summary</b>  | Budget - 2022/23 Reduction by 400k in 2023/24 leaves a deficit. Budget relatively tight given staffing and intervention costs. This will impact delivery, as well as securing match funding. Potential risk around meeting all VRN priorities/ agreed projects this year within budget. The wider sustainability of the VRN has still not been secured by core members although the PCC has indicated his desire to ensure it exists in some form beyond the Home Office funding period. Although all VRN investments are made with sustainability in mind, at present significant parts of the programme will come to an end in 2025 at this point.  |                        |                        |            |                     |          |
| <b>Controls</b>      | <ul style="list-style-type: none"> <li>• Budget and interventions/projects to invest in for 22/23 agreed at the start of the financial year by board members.</li> <li>• PCC CEO and director to draw up a sustainability plan.</li> <li>• Additional funding to be explored where appropriate, including the YEF and Home Office additional funding to support further work.</li> <li>• Core members to also be involved in decision-making over match funding. race to work with OPCC chief exec and partners on a VRN sustainability plan.</li> <li>• Confirmation of further years funding to be sought from OPCC and partners at earliest available opportunity.</li> <li>• Multi-agency sponsorship of VRN workstreams/projects being explored for 22/23 to ensure ownership of VRN programme outside of the central team.</li> <li>• SV duty should also result in an increased emphasis on mainstream activity rather than solely Home office funded work.</li> </ul> |                        |                        |            |                     |          |
| <b>Latest Update</b> | <ul style="list-style-type: none"> <li>➤ 01/06/22 - No Change</li> <li>➤ 20/07/22 - No change</li> <li>➤ Director to ask CEO for sustainability planning to be prioritised in Q2.</li> <li>➤ 27/07/22 - SMT reviewed and agreed changes.</li> </ul>   |                        |                        |            |                     |          |

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| <b>Next Key Date</b> | 25/08/22 – Report to JARAP |
|----------------------|----------------------------|

| Risk creation date   | URN  | Risk Owner      | Responsible Officer | Risk score | Proposed risk score | Movement |
|----------------------|--|-----------------|---------------------|------------|---------------------|----------|
| 06/11/2020           | OPCC006  | Chief Executive | Chief Executive     | 8          | 8                   | →        |
| <b>Title</b>         | <b>Delayed recruitment of OPCC staff impairing service delivery</b>  |                 |                     |            |                     |          |
| <b>Risk summary</b>  | Due to vetting the recruitment of key staff can be delayed   |                 |                     |            |                     |          |
| <b>Controls</b>      | <ul style="list-style-type: none"> <li>• A review is being undertaken of the HR SLA and discussion will take place with ACO HR as to future service future delivery.</li> <li>• Regular meetings with recruitment team to highlight upcoming vacancies for resourcing.</li> <li>• Performance Indicators specific to vetting to be introduced.</li> <li>• Performance Indicators to be agreed with Force HR re SLA.</li> <li>• Review of the Force HR department to be considered.</li> <li>• Service level agreements to be revisited and improved.</li> <li>• Vetting risk management policy to be considered.</li> </ul>  |                 |                     |            |                     |          |
| <b>Latest Update</b> | <ul style="list-style-type: none"> <li>➤ 11/01/22 - 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.</li> <li>➤ 07/03/22 - A few of the roles are still in the process of being recruited to. Hopefully, risk will be closed in 3-4 months' time.</li> <li>➤ 06/04/22 - SMT agreed no change</li> <li>➤ 07/06/22 - Advised that vetting system will be replaced causing delays to recruitment</li> <li>➤ 12/07/22- Reviewed title amended to include impairing service delivery.</li> <li>➤ Review of the Force HR department to be considered.</li> <li>➤ Service level agreements to be revisited and improved</li> <li>➤ Vetting risk management policy to be considered</li> <li>➤ 27/07/22 - SMT reviewed and agreed changes.</li> </ul> |                 |                     |            |                     |          |
| <b>Next Key Date</b> | 25/08/22 – Report to JARAP   |                 |                     |            |                     |          |

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Appendix C: Risks Closed

| Risk creation date   | URN  | Risk Owner      | Responsible Officer | Risk score | Proposed risk score | Movement |
|----------------------|--|-----------------|---------------------|------------|---------------------|----------|
| 04/11/2021           | OPCC012  | Chief Executive | Chief Executive     | 16         | 16                  | →        |
| <b>Title</b>         | <b>Trust and Confidence in Policing has deteriorated</b>   |                 |                     |            |                     |          |
| <b>Risk summary</b>  | National events have resulted in negative impact on the service the police provide. Public trust and confidence in policing at an all-time low   |                 |                     |            |                     |          |
| <b>Controls</b>      | <ul style="list-style-type: none"> <li>• Effective Communication Strategy</li> <li>• CGB focussing on trust and confidence enhancing the accountability of the force</li> </ul>  |                 |                     |            |                     |          |
| <b>Latest Update</b> | <ul style="list-style-type: none"> <li>➤ 11/01/22 - This an area that the CEO is currently looking at to establish whether it is a risk or a strategic issue. No further updates</li> <li>➤ 30/03/22 - Recommended to close to SMT and replace with Risk OPCC 24</li> <li>➤ 06/04/22 - SMT agreed to leave risk open and to review</li> <li>➤ 07/06/22 - <b>Propose to close risk</b> as this is a force risk with PCC holding the CC to account (see risk OPCC024) via the Corporate Governance Board</li> <li>➤ This risk is a force risk which will be monitored through the Corporate Governance Board</li> <li>➤ <b>27/07/22 – SMT approved to close risk.</b></li> </ul> |                 |                     |            |                     |          |
| <b>Next Key Date</b> | 25/08/22 – Report to JARAP   |                 |                     |            |                     |          |

| Risk creation date   | URN   | Risk Owner      | Responsible Officer | Risk score | Proposed risk score | Movement |
|----------------------|---|-----------------|---------------------|------------|---------------------|----------|
| 04/11/2021           | OPCC002   | Chief Executive | Chief Executive     | 6          | 6                   | →        |
| <b>Title</b>         | <b>Pandemic, flu and winter pressures impairing resources in the office throughout the winter period</b>  |                 |                     |            |                     |          |
| <b>Risk summary</b>  | Service delivery impacted upon by lack of resources. Staff morale and momentum impacted upon by changing working environment. Process and office dynamics   |                 |                     |            |                     |          |
| <b>Latest Update</b> | <ul style="list-style-type: none"> <li>➤ 11/01/22 - In line with government guidance published on 9th December 2021 staff have been advised to work from home where possible. Staff encouraged to uptake the covid booster and offer of free flu jab offered to all members of the team. Current prevalent variant appears to be less severe than previous variants and infected staff members are at times still able to work from home.</li> <li>➤ 06/04/22 - SMT agreed no change</li> </ul> |                 |                     |            |                     |          |

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|                      | <ul style="list-style-type: none"> <li>➤ 07/06/22 - Proposed to close at SMT meeting 29th June 22</li> <li>➤ 12/07/22 Reviewed - <b>Propose to be closed and will be monitored through People Strategy Via SMT</b></li> <li>➤ 27/07/22 – SMT approved to close risk.</li> </ul> |
| <b>Next Key Date</b> | 25/08/22 – Report to JARAP  |

| Risk creation date   | URN   | Risk Owner      | Responsible Officer | Risk score | Proposed risk score | Movement |
|----------------------|---|-----------------|---------------------|------------|---------------------|----------|
| 06/11/2020           | OPCC010   | Chief Executive | Chief Executive     | 6          | 6                   | →        |
| <b>Title</b>         | <b>Changes as a result of the PCC review</b>  |                 |                     |            |                     |          |
| <b>Risk summary</b>  | A review taking place of the roles of PCC nationally which includes expanding the powers of the metro mayors which could negatively impact on the PCCs role.  |                 |                     |            |                     |          |
| <b>Latest Update</b> | <ul style="list-style-type: none"> <li>➤ 07/03/22 - No change</li> <li>➤ 06/04/22 - SMT agreed no change</li> <li>➤ 07/06/22 - No Change</li> <li>➤ 12/07/22 - Reviewed <b>proposed to close</b></li> <li>➤ 27/07/22 – SMT approved to close risk.</li> </ul> |                 |                     |            |                     |          |
| <b>Next Key Date</b> | 25/08/22 – Report to JARAP  |                 |                     |            |                     |          |

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

**Appendix D: Risk Scoring Matrix**

| 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.<br>75%-100% chance<br>Almost certainly will occur |
| 3                       | Likely               | A reasonable chance that this could happen and may have occurred recently.<br>51%-74% chance<br>Expected to happen                                |
| 2                       | Possible             | Possible at some point. May occur annually or less frequently.<br>25%-50% chance of occurrence  |
| 1                       | Rare                 | Unlikely to occur at any given point.<br>0%-25% chance of occurrence  |

**Overall Risk Score**

|                         |           |   |                     |             |             |             |
|-------------------------|-----------|---|---------------------|-------------|-------------|-------------|
| <b>Likelihood Score</b> | Very High | 4 | 4<br>Medium         | 8<br>High   | 12<br>High  | 16<br>High  |
|                         | Likely    | 3 | 3<br>Low            | 6<br>Medium | 9<br>High   | 12<br>High  |
|                         | Possible  | 2 | 2<br>Low            | 4<br>Medium | 6<br>Medium | 8<br>High   |
|                         | Rare      | 1 | 1<br>Low            | 2<br>Low    | 3<br>Low    | 4<br>Medium |
|                         |           |   | 1                   | 2           | 3           | 4           |
|                         |           |   | Low                 | Medium      | High        | Very High   |
|                         |           |   | <b>Impact Score</b> |             |             |             |