

**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	WEDNESDAY 27th APRIL 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.

Recommendation

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

Summary

3. There are currently 20 live strategic risks on the risk register including 2 which have been proposed to close/ archive. See Appendix A

High Risks

4. 12 risks are currently rated as 'High' priority (including the 3 new risks). These risks are detailed at Appendix B.

Closed risks

5. 2 risks have been proposed closed and archived following a meeting of the Senior Management Team on 06th April 2022. and are detailed shown in yellow in Appendix A and detailed Appendix C.

Changes in risk score

6. 1 change to the Risk Score shown in grey in Appendix A.

New risk

7. There are 3 new risks shown in green in Appendix A.

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 Overview

Appendix B: High Risks

Appendix C: Closed Risks

Appendix D: Risk Scoring Matrix

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Appendix A: Risks Overview

Highlighting Legend:

Risks Archived
Change to risk score
New risk since last meeting

Appendix A		Force Risk Register				6 th April 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	6/4/22	16	16
OPCC005	Head of Communications	Ineffective external communication	Very High	Likely	Managed	Aug 2018	6/4/22	12	12
OPCC013	Chief Executive	Safety of elected officials	Very High	Likely	Managed	Nov 2021	6/4/22	12	12
OPCC014	Chief Executive	General Data Protection Regulations (GDPR)	High	Likely	Managed	Aug 2018	6/4/22	9	9
OPCC015	Chief Executive	Effectiveness of the OPCC Structure	High	Likely	Managed	Aug 2018	6/4/22	9	9
OPCC018	Chief Executive	Wellbeing of Staff	High	Likely	Managed	Nov 2020	6/4/22	9	9
OPCC022	Chief Executive	Economical impact of the current foreign political unrest	High	Likely	Controls Tasked	March 22	6/4/22	9	New Risk
OPCC023	Chief Executive	Instability of the VRN team impacting on delivery	High	Likely	Controls Tasked	March 22	6/4/22	9	New Risk
OPCC006	Chief Executive	Delayed recruitment of OPCC staff	Very High	Possible	Managed	Nov 2020	6/4/22	8	8

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OPCC017	Chief Executive	Provider failure or poor performance.	Very High	Possible	Managed	Nov 2020	6/4/22	8	8
OPCC021	Chief Executive	Values in the workplace	Very High	Possible	Managed	Nov 2021	6/4/22	8	8
OPCC024	Chief Executive	Ineffective legislative and regulatory controls in place to hold the CC to account	Very High	Possible	Controls Tasked	March 22		8	New Risk
OPCC002	Chief Executive	Pandemic, flu and winter pressures impairing resources in the office throughout the winter period	High	Possible	Managed	Nov 2021	6/4/22	6	6
OPCC007	Chief Executive	Partner Relationships deteriorate as a result of a change in strategic direction	High	Likely	Controls Tasked	Aug 2018	6/4/22	6	9
OPCC009	Head of Performance Change of Title to Head of Performance and Operations	Unsuccessful consolidation of People Zones Initiative	High	Possible	Controls Tasked	Aug 2018	6/4/22	6	6
OPCC010	Chief Executive	Changes as a result of the PCC review	High	Possible	Managed	Nov 2020	6/4/22	6	6
OPCC011	Head of Communications- Reassigned to Chief Executive	Engagement with the Community	High	Possible	Controls Tasked	Aug 2018	6/4/22	6	6
OPCC003	Chief Finance Officer	Impact of Comprehensive Spending Review on the 2022/23 budget, precept settlement	Medium	Possible	Controlled	Aug 2018	6/4/22	4	4
OPCC008	Strategic Director VRN	Funding unavailable from the Home Office for 2022/23	Medium	Possible	Controlled	Nov 2020	6/4/22	4	4
OPCC020	Chief Executive	Police and Crime Plan commitments not delivered	High	Rare	Controls Tasked	Aug 2018	6/4/22	3	3

Appendix B: 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

30/03/2022

-Recommended to close to SMT and replace with Risk OPCC 24

21/04/2022 This an area that has been discussed by the OPCC's SMT. Whilst it is recognised that the OPCC's ability to directly affect this risk is limited, it remains a key priority in terms of the PCC holding the Chief Constable to account and will therefore remain on the risk register.

Inadequate external communication

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

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Date first Recorded: 30/08/2018

Risk Owner: Head of Communications

Responsible Officer: Head of Communications

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.

30/03/2022

- **Change Risk Title** to Ineffective External Communications
- **delete control** - - The new structure provides sufficient resource to enable proper consideration of issues and the best means to communicate them externally.

6th April 2022 SMT to Agreed change of risk title and agreed to delete control.

Safety of elected officials

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

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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.

8 March 2022

- Op Bridger still remains on CGB agenda
- Training for Events and Visits Officer to ensure that RA are completed for each event. Exact locations are not disclosed to the public . E&V Officer to liaise with Force Planners re RA where necessary.
- Survey of councillor's and MPs has been completed. Results and actions have been feedback to the Force. CEO to agree the steps to be agreed by CEO.

6th April 2022 SMT agreed no change

Failure to meet the 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

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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.

7th March 2022

- **Change in description of risk to include Failure to meet the GDP regulations.**
- Training programme to be established and bitesize training to commence shortly.

6th April 2022 SMT agreed change to title and additional control.

Effectiveness of the OPCC Structure

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.

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<p>7th March 2022 - No change</p> <ul style="list-style-type: none"> - Structure is still being established with staff settling into their roles and a few new members of staff are still awaiting start dates. - Review of effectiveness of the roles and organisational structure to be reviewed in 9 months once business as usual has been established.
<p>6th April 2022 SMT agreed no change</p>

Delayed recruitment of OPCC staff

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC006	4	2	8	8	→

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.

7th March 2022

- A few of the roles are still in the process of being recruited to. Hopefully, risk will be closed in 3-4 months time.

6th April 2022 SMT agreed no change

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Provider failure or poor performance.

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC017	4	2	8	8	→

Date first Recorded: 30/08/2018

Risk Owner: Chief Executive

Responsible Officer: Commissioning Manager

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.
- **Control Added 3/3/22 Commissioning Team undergoing review to ensure adequately resourced**

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

Update:

3rd March 2022

- Commissioning team review ongoing. Working closely with performance team to monitor performance of the Commissioned Services.

6th April 2022 SMT agreed control

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

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<p>Controls:</p> <ul style="list-style-type: none"> - 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
<p>Update:</p> <p>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.</p>
<p>07/03/2022</p> <p>- No change</p>
<p>6th April 2022 SMT agreed no change</p>

Economical impact of the current foreign political unrest

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC022	3	3	8		

Date first Recorded: 03/03/21

Risk Owner: Chief Executive

Responsible Officer: Interim Chief Finance Officer

Instability o the VRN team impacting on delivery

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC023	3	3	8		

Date first Recorded: 17/03/21	Risk Owner: Chief Executive	Responsible Officer: Interim Chief Finance Officer
Controls:		
<ul style="list-style-type: none"> - 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 		
VRN Director is in discussions with CEO following a 3 year funding settlement announcement by the Home Office . VRN director and CEO to hold a meeting to discuss options leading to possible permanent contracts for VRN staff.		

Ineffective legislative and regulatory controls in place to hold the CC to account

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC	4	2	8		

Date first Recorded: 30/3/22	Risk Owner: Chief Executive	Responsible Officer: Chief Executive
Controls:		
<ul style="list-style-type: none"> - Corporate Governance Board in place - Reporting to Police and Crime Panel - Performance Framework in place - Compliance process and systems to meet with legislative/ regulatory requirements in place - Audit programmes established 		

Appendix C: Risks Closed

Impact of Comprehensive Spending Review on the 2022/23 budget, precept settlement and medium-term financial strategy.

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC003	2	2	4	4	→

Date first Recorded: 30/08/2018

Risk Owner: Chief Finance Officer

Responsible Officer: Chief Finance Officer

Controls:

- Medium term financial projections look forward four years providing time to address any funding problems expected.
- Reserves are carefully managed.
- The in-year budget is monitored on a monthly basis and presented to Corporate Governance Board.
- External grant funding is applied for when available and there is a desire to seek funds for that particular initiative.
- Scenario planning being undertaken and looking at possible ways to reduce the funding shortfall.
- Spending analysis being undertaken to identify areas for possible efficiency savings.

Update:

11th Jan 2022 - Spending review has been completed and announcement of the provisional settlement made on 16th December 2021. Although budget for Leicestershire Police for all 3 years were not confirmed there has been some strong indications for year 2 and 3. Budget process for 2022/23 still ongoing and due to be presented to the Police and Crime panel on 2nd February 2022.

Update:

3rd March 2022 - Final settlement confirmed 2/2/22. 1 year funding confirmed further 2 years precept threshold also confirmed. Precept approved at Police and Crime Panel 2/2/22. Impact of CSR and funding implications have been considered and worked through. **Propose Close**

6th April 2022 SMT agreed to propose closing of the risk.

VRN Funding unavailable from the Home Office for 2022/23

Risk	Impact Score	Likelihood Score	Current Score	Previous Score	Movement
OPCC008	2	2	4	4	→

Date first Recorded: 27/11/2020

Risk Owner: Strategic Director VRN

Responsible Officer: Strategic Director VRN

Controls:

- Decision still not known from HO of outcome of funding for next financial year, although discussion with HO SPOC and SV team do not indicate that funding will cease next year.
- Risk raised with the VR Board and commitments made from OPCC to continue to support the VRN, although no agreement of support and resources that would be available if funded was from HO was not provided.
- Home Office team have informed VRUs that they will making the case for multi-year funding but it is unlikely an outcome will be known until Jan 2022.
- VR Board aware of this risk and sustainability and contingency planning in place.
- Exit plans will be developed with all VRN funded interventions to minimise risk to young people engaged in these projects.

Update:

11th Jan 2022 - The Commissioner has agreed his approach to support the VRN should funding cease. Grant announcement expected imminently. Some indication in the provisional settlement of funding for Violence Reduction Units but grant has not yet confirmed.

17th March 2022- Propose Close - Home Office have confirmed 3 year funding to be provided.

6th April 2022 SMT agreed to propose closing of the risk.

Appendix D: 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			