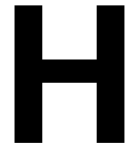


**POLICE & CRIME  
COMMISSIONER FOR  
LEICESTERSHIRE  
JOINT AUDIT, RISK &  
ASSURANCE PANEL**

Paper  
Marked



Report of	<b>OFFICES OF POLICE AND CRIME COMMISSIONER</b>
Subject	<b>POLICE AND CRIME COMMISSIONER RISK REGISTER</b>
Date	<b>MONDAY 17<sup>TH</sup> APRIL 2023</b>
Author	<b>KIRA HUGHES, INTERIM CHIEF FINANCE OFFICER</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.

**Summary**

3. There are currently 25 live strategic risks on the risk register. See Appendix A

**High Risks**

4. 13 risks are currently rated as 'High' priority. These risks are detailed at Appendix B.

**Closed risks**

5. There is 1 risk proposed to be closed and archived in Appendix D.

**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 since the last JARAP. See Appendix C

**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: New Risks

Appendix D: Closed Risks

Appendix E: Risk Scoring Matrix

## Persons to contact

Kira Hughes – Interim Chief Finance Officer

Email: [kira.hughes@leics.pcc.pnn.gov.uk](mailto:kira.hughes@leics.pcc.pnn.gov.uk).

Andy Champness – Interim Chief Finance Officer

Email: [andy.champness@leics.pcc.pnn.gov.uk](mailto:andy.champness@leics.pcc.pnn.gov.uk).

Nish Padhiar – Operational and Compliance Manager

Email: [nimisha.padhiar@leics.pcc.police.uk](mailto:nimisha.padhiar@leics.pcc.police.uk).

**Appendix A: Risks Overview**

**Highlighting Legend:**

Risks Closed
Change to risk score
New risk since last meeting

Appendix A		OPCC Risk Register				28 <sup>th</sup> March 2023				
Reference	Owner	Title	Impact	Likelihood	Status	First Recorded	Last review	Previous Score	Current Score	Direction of Travel
OPCC014	Chief Executive	Failure to meet the General Data Protection Regulations (GDPR)	Very High	Very High	Controls Tasked	30/08/2018	22/03/2023	16	16	→
OPCC022	Chief Finance Officer	Economic impact of the current foreign political unrest	Very High	Very High	Controls Tasked	03/03/2022	22/03/2023	16	16	→
OPCC031	Chief Finance Officer	The Financial Challenge 2022/2023 -2025/26	Very High	Very High	Controls Tasked	02/11/2022	22/03/2023	16	16	→
OPCC036	Chief Executive	Failure to follow leavers process	Very High	Very High	Controls Tasked	02/11/2022	22/03/2023	16	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	Likely	Controls Tasked	06/07/2022	22/03/2023	12	12	→
OPCC032	Chief Finance Officer	Risk of Cyber Attack	Very High	Likely	Controls Tasked	02/11/2022	22/03/2023	12	12	→
OPCC007	Chief Executive	Partner Relationships deteriorate as a result of a change in strategic direction	High	Very High	Controls Tasked	30/08/2018	29/03/2023	9	12	↑
OPCC018	Chief Executive	Impairment of the wellbeing of Staff caused by external factors	High	Likely	Controls Tasked	06/11/2020	28/12/2022	9	9	→
OPCC020	Chief Executive	Police and Crime Plan commitments not delivered	High	Likely	Controls Tasked	30/08/2018	22/03/2023	9	9	→

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OPCC025	Strategic Director VRN	Insufficient funding to Maintain Programme Sustainability	High	Likely	Controls Tasked	17/05/2022	22/12/2022	9	9	→
OPCC038	Head of Communications	Impact on public trust and confidence arising from negative national coverage	High	Likely	Controls Tasked	29/03/2023	29/03/2023	-	9	New Risk
OPCC006	Chief Executive	Delayed recruitment of OPCC staff	Very High	Possible	Controls Tasked	06/11/2020	22/03/2023	8	8	→
OPCC017	Chief Executive	Provider failure or poor performance.	Very High	Possible	Controls Tasked	30/11/2020	22/03/2023	8	8	→
OPCC005	Head of Communications	Negative coverage impacts on reputation of PCC/OPCC	High	Possible	Controls Tasked	30/08/2018	22/03/2023	6	6	→
OPCC013	Chief Executive	Safety of elected officials	High	Possible	Controls Tasked	04/11/2021	22/03/2023	6	6	→
OPCC015	Chief Executive	Effectiveness of the OPCC Structure	Medium	Likely	Controls Tasked	30/08/2018	22/03/2023	6	6	→
OPCC026	Chief Executive	Single Point of Failure impacting on the delivery of OPCC objectives	High	Possible	Controls Tasked	07/06/2022	22/03/2023	6	6	→
OPCC027	Chief Executive	Job Evaluation Scheme - Hay Review	Medium	Likely	Controls Tasked	07/06/2022	22/03/2023	6	6	→
OPCC037	Chief Executive	Failure to adhere to our own governance standards	High	Possible	Controls Tasked	29/03/2023	29/03/2023	-	6	New Risk
OPCC021	Chief Executive	Values in the workplace Historic cultural issues may result in poor organisational morale.	Very High	Rare	Controls Tasked	04/11/2021	22/03/2023	4	4	→
OPCC028	Chief Executive	PCC fails in gaining public confidence	Medium	Possible	Controls Tasked	07/06/2022	22/03/2023	4	4	→
OPCC033	Chief Finance Officer	Muscular-Skeletal injury due to staff working for significant periods of time	High	Rare	Controls Tasked	02/11/2022	22/03/2023	3	3	→
OPCC034	Chief Finance Officer	Appetite for regional collaboration no longer exists	High	Rare	Controls Tasked	02/11/2022	22/03/2023	3	3	→

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OPCC035	Chief Finance Officer	Risk of an information security breach when staff are WFH	High	Rare	Managed	02/11/2022	22/03/2023	3	3	→
OPCC009	Head of Performance	Unsuccessful consolidation of People Zones Initiative leading to reputational damage.	Medium	Possible	Managed	30/08/2018	29/03/2023	2	2	→
OPCC039	Director of Strategy, Partnerships and Commissioning	Delays in the recommissioning of Victim Support Services	Very High	Likely	Controls Tasked	29/03/2023	29/03/2023	-	12	New Risk

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**Appendix B: High Risks**

Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
30/08/2018	OPCC014	Chief Executive	Director of Governance and Performance	16	16	→
<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 and a number of new staff not trained.					
<b>Information</b>	Work needed to ensure the OPCC is GDPR Compliant, a significant amount of work was completed in 2021 however with a number of new starters this needs re-visiting.					
<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 from 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>➤ 05/10/22 - Reviewed by SMT</li> <li>➤ 09/11/22 - Reviewed by SMT</li> <li>➤ 25/11/22 - NCALT Training provided to New starter which includes GSC and Data Protection Training.</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 22/12/22 CEO will review the current position with the GDPR compliance, the action plan and project and associated risk with the project. Resources will be allocated to this project at the earliest opportunity in Jan 23. The risk score has increased to 16 to reflective this.</li> <li>➤ 22/03/23 - Reviewed at SMT, Action plan and timelines updated, responsible officer changed to Director of Governance and Performance with support from the Policy and Compliance Officer. Project plan updated on a bi-weekly basis through team meetings to ensure progress.</li> </ul>					
<b>Next Key Date</b>	August 23 – Report to JARAP					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
03/03/2022	OPCC022	Chief Executive	Chief Finance Officer	16	16	→
<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.					
<b>Information</b>	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>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 05/10/22 - Reviewed by SMT</li> <li>➤ 09/11/22 - Reviewed by SMT</li> <li>➤ 21/11/22 -Control Budget monitoring a standard agenda item on SMT - removed</li> <li>➤ Force and OPCC meeting held to consider the use of force reserves. Control deadline date changed to 23/11/22.</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 22/12/22 - CEO reviewed - Ongoing negotiations taking place with CC and OPCC re budgetary position. The overall budget for the force is critical. Even with an increase in precept a budgetary deficit is likely to be significant. The risk will be reviewed post 1/2/23 when the P&amp;CP will approve the proposed budget for 23/24. Risk score raised to 16.</li> <li>➤ 22/03/23 - Reviewed at SMT, 23/24 budget confirmed and will continue to be monitored through CGB.</li> </ul>					
<b>Next Key Date</b>	August 23 – Report to JARAP					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
02/11/2022	OPCC031	Chief Finance Officer	Chief Finance Officer	16	16	→
<b>Title</b>	<b>The Financial Challenge 2022/23 -2025/26</b>					
<b>Risk summary</b>	The overall MTFP position has deteriorated. Current assumptions indicate the MTFP will not balance through to 2026 and the use of reserves and identification of efficiency savings will be required from 2023/24 onwards					
<b>Information</b>	The announcement of the police staff pay award, will significantly increase pay inflation cost pressures across the MTFP period 2022/26. The Force is also experiencing higher than forecast non-pay inflation and considerable unbudgeted costs in relation to Op Energy. Uncertainty now exists around whether the 3-year Settlement for 2022/25 will be honoured, which includes the potential for PCCs to raise Band D precept by £15 for 2023/24. <b>Force Risk: ST0278</b>					
<b>Controls</b>	<ul style="list-style-type: none"> <li>• Strategy and oversight - MTFP/Financial Strategy and the ongoing oversight provided by OPCC CFO/ Assistant Chief Officer (Finance and Resources)</li> <li>• Budget review -The PCC has requested the MTFP core assumptions be reviewed in order to balance the budget over the medium term, reduce reliance on the use of reserves, and increase the overall balance of reserves</li> <li>• The Operation requirements for both the PCC and Force will be reviewed in light of the new and emerging financial picture. Therefore, a series of meeting are being planned to ensure that the operational demand is aligned to the finances available.</li> <li>• The OPCC will review the commissioning budget and ensure that it is aligned to the commissioning strategy.</li> <li>• OPCC budgets/structures so will be reviewed to ensure that they are streamlined and provide value for money</li> <li>• <b>NEW CONTROL</b> - Force and OPCC efficiency savings plan to be drawn up for 2023/24.</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 02/11/22 - New risk – Joint risk with the Force</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 23/12/22 - CEO reviewed - The force and PCC/OPCC are reviewing the Financial and budgetary position for both organisations. The Financial risks are fluid and not clearly understood at this time. There are collective serious concerns about the potential for a budget deficit in the coming years and are being addressed through the budget building process. The PCC will be working with the Force to develop an achievable budget proposal for the PCP (1/2/2023). The MTFP will be developed to provide a longer-term oversight of the financial position and will be published in due course. Consultation is currently being undertaken with the public regarding the precept levels (Council Tax) and will be reported on in due course. The oversight of the MTFP is now well established and underpinned with a strong oversight and scrutiny approach with the monthly budget monitoring process.</li> <li>➤ 22/03/23 - Reviewed at SMT, the 23/24 budget has been set. The precept was set at £15, the Force has also applied for special aid to ease additional financial pressures created from Op Energy. The OPCC review of structures has concluded and enabled a release of £620k transfer to the Force. There is a £5.8m deficit for 2023/24 which will be met through efficiency savings and</li> </ul>					



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	use of reserves. Force and OPCC efficiency plan to be drawn up to reduce the deficit for 2023/24 and over the MTFP.
<b>Next Key Date</b>	August 23 – Report to JARAP

Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
02/11/2022	OPCC036	Chief Executive	Director of Governance and Performance	16	16	→
<b>Title</b>	<b>Failure to follow leavers process</b>					
<b>Risk summary</b>	Failure of not following the leavers policy leads to payroll not being notified which means that staff are still paid after they have left the organisation impacting on financial/staff budgets					
<b>Information</b>	Employees leaving the organisation being overpaid due to delayed notification from HR to payroll. Additional time and resources to recover the overpayment, and impacting financially on ex-employees.					
<b>Controls</b>	<ul style="list-style-type: none"> <li>• Joiner and Leavers policy to be implemented</li> <li>• Managers to be provided with training</li> <li>• HR Policies to be reviewed to ensure fit for purpose</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 02/11/22 New risk</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 22/12/22 Review by CEO -A complete review of HR policies will be undertaken including recruitment, promotion and leavers policy. Negotiations are ongoing with the force re the HR provision for the OPCC. Risk Increased to 16. significant risk exists due to lack of policies, procedures linked to HR processes.</li> <li>➤ 22/03/23 - Reviewed by SMT. An external consultant has been sourced to review all OPCC policies and re-draft to be fit for purpose including the leavers process. This work is due to commence in April 2023 and be concluded within the month. Managers have been briefed on the process for leavers and a new process flow is being designed.</li> </ul>					
<b>Next Key Date</b>	August 23 – Report to JARAP					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
06/07/2022	OPCC029	Chief Executive	Commissioning Manager	12	12	→
<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>Information</b>	Vacancies within the Procurement department and Commissioning team resulted in delays in contracts being issued and delays in the procurement processes which impacted negatively with providers of commissioned services					
<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 – Control removed – see below</li> <li>• Procedural guides and supporting materials being administered</li> <li>• Action plans put in place – Control removed – see below</li> <li>• Resources dedicated to resolve issue at the earliest opportunity</li> <li>• Communication plan being developed</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 05/10/22 - Reviewed by SMT</li> <li>➤ 09/11/22 - Reviewed by SMT</li> <li>➤ 21/11/22 provided by CFO</li> <li>➤ Contracts Register implemented 01/09/2022 but VRN contracts need including</li> <li>➤ Commissioning Review completed - report to go to PCP on 14th Dec</li> <li>➤ Commissioning Strategy developed - to be signed off and presented to PCP 14th Dec</li> <li>➤ Quarterly procurement meetings undertaken with Head of Procurement - Mar 2023</li> <li>➤ Head of Commissioning to discuss workload with Strategic Advisor</li> <li>➤ Due to go out to recruit for Commissioning post - once filled OPCC procurement will be passed back to the force to manage by 31st Jan 2023</li> <li>➤ Grants processes being redeveloped - control removed not a mitigation for this risk</li> <li>➤ Action plans put in place - control removed not a mitigation for this risk.</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 19/12/22 - Reviewed by Head of Commissioning - risk score has been reviewed and remains high as Force Procurement are still under resourced due to secondment of staff member.</li> <li>➤ 22/12/22 Reviewed by CEO the likelihood of risk materialising has reduced due to the factors above.</li> <li>➤ 22/03/23 - Reviewed by SMT, the weekly meetings continue to manage the risk. Permanent recruitment is concluding for the Commissioning and Contracts Officer posts with one internal member being successful in securing a role.</li> </ul>					
<b>Next Key Date</b>	August 23 – Report to JARAP					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
02/11/2022	OPCC032	Chief Finance Officer	Chief Finance Officer	12	12	→
<b>Title</b>	<b>Risk of Cyber Attack</b>					
<b>Risk summary</b>	A successful cyber-attack on Leicestershire Police may result in the serious compromise of the confidentiality, integrity and availability of the information systems, services and assets of the force/OPCC, potentially hindering operational effectiveness.					
<b>Information</b>	Attacks can vary in nature and extent such as, malicious software or may include phishing, advanced persistent threats, social engineering and hacking. Attacks may or may not be targeted on the force and may be perpetrated by foreign national governments, terrorists, organised crime groups, hackers or employees. Depending upon the sophistication and scale of attack, there will be varying impacts that may include denial of service, loss or disclosure of information/data and the loss of ability to share information and potentially threatening operational effectiveness leading to harm and reputational damage. There can also be system or application downtime and potential legal consequences. <b>Force Risk:STR0339</b>					
<b>Controls</b>	<ul style="list-style-type: none"> <li>• Risk being managed by Force. OPCC to have sight of IT Strategy -Define a strategy for IT infrastructure enhancements and updates. Monitored through CGB</li> <li>• Staff guidance, training and awareness - Staff contacted to not click on links from emails they were not expecting and if in doubt contact Info security or IT, or delete it.</li> <li>• <b>NEW CONTROL</b> - Cyber security to be included in business continuity plans.</li> <li>• <b>NEW CONTROL</b> - List of assets and users to be maned and updated.</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 02/11/22 New Risk – Joint risk with the Force</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 22/03/23 - Reviewed by SMT, Staff Guidance and training to be provided, OPCC to move to O365. Cyber security to be included in business continuity plans. Maintain the list of assets and users</li> </ul>					
<b>Next Key Date</b>	August 23 – Report to JARAP					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
30/08/2018	OPCC007	Chief Executive	Director of Strategy, Partnerships and Commissioning	9	12	↑
<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>Information</b>	Due to implementation of new Police and Crime Plan and changes to senior personnel within the OPCC					
<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:</li> <li>• Review current partnership arrangements</li> <li>• Review CSP funding Procedures</li> <li>• Align CSP funding to PCP Plan</li> <li>• orograph for staff attending meetings with rational</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> <li>• NEW CONTROL – DV partnership Audit</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 05/10/22 - Reviewed by SMT</li> <li>➤ 09/11/22 - Reviewed by SMT</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 05/01/23 -Responsible officer will be the Director of Strategy, Commissioning and partnership. In order to facilitate greater partnership working. The OPCC will has introduced this new role. The post holder has developed a 90-day plan which incorporates the above control measures including elements such a stakeholder mapping, improving Community Safety Partnership funding (CSP). The control measure related to CSP funding has now been put in place and agreed by all CSPs and presented at the Police and Crime Panel meeting on 14 December 2022. Risk score to be maintained until control measures have been implemented.</li> <li>➤ 29/03/23 - Reviewed by SMT, Risk score increased to 12 as likelihood has increased to very likely. Review of partnership landscape still to be undertaken. Further work to be done within the DASV partnership arena and awaiting outcome of the internal audit on DV partnerships.</li> </ul>					
<b>Next Key Date</b>	August 23 – Report to JARAP					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
06/11/2020	OPCC018	Chief Executive	Director of Governance and Performance	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>Information</b>	Increased working from home, impact of the cost of living crisis including rising cost of interest rates and energy bills.					
<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>• 2 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> <li>• 28/12/2022 -Added SMT to hold one to one meeting's with staff to benchmark current risk.</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 05/10/22 - Reviewed by SMT</li> <li>➤ 09/11/22 - Reviewed by SMT</li> <li>➤ 09/11/22 - Wellbeing discussed at Team meetings and regular wellbeing circulars provided from the wellbeing teams are sent to staff</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 28/12/22 - CEO reviewed this risk. The external causal factors are clear. The cost of living crisis, the current economic landscape the force/OPCC budgetary position will inevitably have a significant impact upon the staff morale and their wellbeing. This risk to be maintained with a sharper focus upon the prevailing hardship facing colleagues.</li> <li>➤ 22/03/23 - SMT Reviewed. Responsible officer changed to Director of Governance and Performance. Staff survey completed and debrief to be provided to SMT by end of April. Team meetings have had training/bitesize sessions, one from HR updating on policies and counselling/services available to support staff and one from the Wellbeing lead for the Force on all the welfare support available. Wellbeing is regularly reviewed and discussed at the team meetings.</li> </ul>					
<b>Next Key Date</b>	August 23 – Report to JARAP					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
30/08/2018	OPCC020	Chief Executive	Director of Governance and Performance	9	9	→
<b>Title</b>	<b>Police and Crime Plan commitments not delivered</b>					
<b>Risk summary</b>	PCC responsibility to ensure that a Police and Crime Plan is produced. Risk is that the commitments in the Police and Crime Plan are not delivered to the standard expected or not properly evidenced which could lead to reputational damage.					
<b>Information</b>	Delivery plan to be implemented to ensure progress can be tracked against the Police and Crime Plan.					
<b>Controls</b>	<ul style="list-style-type: none"> <li>• The Police and Crime plan clearly sets out what is required over the Commissioners terms of office.</li> <li>• Progress against the Police and Crime Plan is tracked and reported on a regular basis and reported through various channels.</li> <li>• With the development of a new Plan a full project management-based structure will be developed to support the monitoring and accountability.</li> <li>• Internal Governance arrangements to be clarified to ensure OPCC delivery of Crime Plan.</li> <li>• <b>NEW CONTROL</b> - GAP Analysis to be completed, presented and tasked through SMT.</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 05/10/22 - Reviewed by SMT</li> <li>➤ 09/11/22 - Reviewed by SMT</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 15/12/22 – Performance against the P&amp;CP regularly presented to the Police and Crime Panel and through CGB. KPIs are currently being agreed for the Police and Crime Delivery Plan outcomes due to be presented in April 2023.</li> <li>➤ 23/12/22 CEO reviewed - The clarity of approach taken by the OPCC does not withstand scrutiny at this time whilst significant progress has been made to deliver the Police and Crime Plan the management approach has to be embedded as BAU. This will be discussed by SMT and a plan will be presented to CEO by end Jan 23. Likelihood increased and risk score changed to 9.</li> <li>➤ 22/03/23 - Reviewed by SMT, a full report was submitted to the PCP regarding the current outcomes linking to the delivery of the police and crime plan. This will now be complimented with a gap analysis that will be completed by the Director of Governance which will highlight those areas where the PCC/OPCC are at risk of non-delivery. This will be discussed at an extended SMT and actions will be tasked and assigned a lead SMT member. These will then be tracked through a project management approach to enable easy updates to be provided to SMT and the PCP. The Corporate Governance Board forward plan will also be reflective of the Gap analysis to ensure the PCC is holding the force to account on the areas that are at risk of underperforming.</li> </ul>					
<b>Next Key Date</b>	August 23 – Report to JARAP					

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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	→
<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 if funding/match funding isn't secured. Potential risk around meeting all VRN priorities/ agreed projects this year within budget.					
<b>Information</b>	The wider sustainability of the VRN has still not been secured by the OPCC and 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 if not before					
<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 - VRN Strategic Director to confirm allocation of funding.</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 05/10/22 - Reviewed by SMT</li> <li>➤ 09/11/22 - Reviewed by SMT</li> <li>➤ 14/11/22 Controls have been reviewed and updated. With updated deadlines.</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 13/12/22 - A sustainability plan is being developed and will consult with OPCC Senior Managers</li> <li>➤ 22/12/22 - CEO reviewed - The budgetary position is stable till 2025 and has been enhanced by the introduction of the Serious Violence Duty. Significant funding has been received for the next 2 years beginning Jan 2023.</li> </ul>					
<b>Next Key Date</b>	August 23 – Report to JARAP					



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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
30/8/2018	OPCC017	Chief Executive	Commissioning Manager	8	8	→
<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>Information</b>	Poor performance of a provider impacts on the reputation of the PCC, the partnerships within LLR and has a detrimental effect on the service users access the service.					
<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> <li>• Commissioning Team undergoing review to ensure adequately resourced</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 05/10/22 - Reviewed by SMT</li> <li>➤ 09/11/22 - Reviewed by SMT</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 02/12/22 - CEO reviewed -The risk is reducing for the following reasons: Performance Dashboards are indicating and improving picture, Vacancy factor reducing and organisation is nearing full establishment improving technology will continue to enhance performance. Improved collaboration and partnership with other stakeholders prove to pay dividends. Likelihood reduced to 2 - Risk score 8 - Majority of the controls have been implemented.</li> <li>➤ 23/03/23 - Reviewed by SMT, no change</li> </ul>					
<b>Next Key Date</b>	August 23 – Report to JARAP					



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Appendix C: New Risks

Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
29/03/2023	OPCC038	Head of Communications	Head of Communications		8	
<b>Title</b>	<b>Impact on public trust and confidence arising from negative national coverage</b>					
<b>Risk summary</b>	Negative coverage regarding policing, PCCs, crime, professional standards, criminal justice and the public sector as a whole creates a local backlash against the OPCC.					
<b>Information</b>	National media coverage relating to Police Misconduct, highlighted by the Casey Report (March 2023), impacting on public Trust and Confidence in the police service. This in turn is likely to pose challenges to policing by consent as public disillusion mounts.					
<b>Controls</b>	<ul style="list-style-type: none"> <li>• Experienced communications lead</li> <li>• Close relationships with force Corporate Communications</li> <li>• Strengthened skills and team members embedded</li> <li>• Majority of instances are forewarned from the horizon scan</li> <li>• National responses from APCC/NPCC</li> </ul>					
<b>Latest Update</b>	➤ 23/09/2023 – SMT – New risk identified.					
<b>Next Key Date</b>	August 23 – Report to JARAP					

Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
29/03/2023	OPCC037	Chief Executive	Chief Finance Officer		6	
<b>Title</b>	<b>Failure to adhere to our own governance standards</b>					
<b>Risk summary</b>	The PCC and his staff fail to follow the principles of good governance or adhere to the principles and processes set out in the Corporate Governance Framework					
<b>Information</b>	As a result of instability in key posts, governance principles and processes had not been reviewed with a risk of inconsistent application and enforcement.					
<b>Controls</b>	<ul style="list-style-type: none"> <li>• - Statutory Officers,</li> <li>• - Review of Corporate Governance Framework,</li> <li>• - Implementation of the Risk delivery Plan,</li> <li>• - Implementation of the Internal and External Audit plans,</li> <li>• - annual reports and statutory accounting,</li> <li>• - JARAP oversight</li> </ul>					
<b>Latest Update</b>	➤ 23/09/2023 – SMT – New risk identified.					
<b>Next Key Date</b>	August 23 – Report to JARAP					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
29/03/2023	OPCC039	Director of Strategy, Partnerships and Commissioning	Director of Strategy, Partnerships and Commissioning		12	
<b>Title</b>	<b>Delays in the recommissioning of Victim Support Services</b>					
<b>Risk summary</b>	The victim first contract is due to expire in December 2023. A delay in the recommissioning of the victim support services would have a negative impact on victim service users and impact on reputation and public confidence.					
<b>Information</b>	Considering current commitments for the commissioning team the recommissioning of victim services is a significant piece of work that requires a whole team approach.					
<b>Controls</b>	<ul style="list-style-type: none"> <li>• Implement project plan with identified timescales.</li> <li>• Highlight reports to SMT to monitor progress</li> <li>• Factor in contingencies for delays in the process.</li> <li>• Factor in internal support</li> <li>• Consider consultancy support to implement</li> </ul>					
<b>Latest Update</b>	➤ 23/09/2023 – SMT – New risk identified.					
<b>Next Key Date</b>	August 23 – Report to JARAP					

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**Appendix D: Risks Closed**

Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
30/8/2018	OPCC009	Director of Strategy, Partnerships and Commissioning	Director of Strategy, Partnerships and Commissioning	2	2	→
<b>Title</b>	<b>Unsuccessful consolidation of People Zones Initiative leading to reputational damage</b>					
<b>Risk summary</b>	Unsuccessful roll out of the People Zones initiative could lead to significant reputational damage and damage the current partnership working arrangements thereby impacting on the most vulnerable in the area.					
<b>Information</b>	People Zones is an initiative that is being rolled out across the LLR area. Initiative set up in 2018 however due to COVID lacked momentum. 3 People Zones have been identified; New Parks, Bell Foundry and Thringstone & Whitwick.					
<b>Controls</b>	<ul style="list-style-type: none"> <li>• Since COVID, when PZs inevitably went quiet, additional investment has been given to CSPs to develop the programme effectively and there is also a post in place within the OPCC to oversee developments</li> <li>• People Zone project Plan to be put in place with monitoring</li> <li>• Monthly reports to SMT</li> <li>• Strategic Leadership to be consolidated</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 11/01/22 - Re-branded and relaunching the People Zones. Set up a working group with key stakeholders and redesigned the boundaries to enable easier data analysis and monitoring. In the process of commissioning external research in people zones which should establish KPIs and outcomes.</li> <li>➤ 08/02/22 - Boundaries for all areas confirmed, Research tender has gone live, working group meeting regularly to monitor progress, Strategic lead for People Zones to be confirmed</li> <li>➤ 06/04/22 - SMT agreed controls</li> <li>➤ 07/06/22 - No change</li> <li>➤ 12/07/22 - Reviewed by Strategic Advisor and Policy and Compliance Officer no change</li> <li>➤ 27/07/22 - Full project plan implemented. New vision for the project has been agreed. Roadshow of presentations to key stakeholders have commenced. North West Leicester (NWL) and Charnwood Borough Council (CBC) completed and now the city to visit. Research company commissioned (MfC) and are part way through research into the first People Zone- Bell Foundry. CBC fully engaged with the project. Launch event planned for Thringstone &amp; Whitwick 20th August. NWL have been key to making the arrangements with the PZ project team. Internal stakeholders briefed and engaged. Animated video in progress with Rock Kitchen Harris. This will be promotional material for the project and to allow us to relaunch the People Zone website. Eco friendly promotional merchandise purchased, and part delivered.</li> <li>➤ 24/08/22 - No Change</li> <li>➤ 15/09/22 - Launched animation and circulated to key partners. New People zone Website launched. Meetings held with local NPA teams to promote people zones. Meetings also held with Community Safety Partnerships (CSP) teams promote PZ and gain buy in. 20/8/22 Launched Thringstone and Whitwick event for the public. Steering group formed and first meeting held in Bell Foundry. Community asset map for Bell Foundry went live. Additional project work added to the current research contract held by Mapping for Change- Contract Variation Notice being drafted. Working in partnership with the designing out Crime Officer in Bell Foundry. A report to be submitted. First stage of research almost complete-A report to be submitted by</li> </ul>					

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Mapping for Change on Bell Foundry research. Research work commenced in New Park PZ. Two new Community Development Officers recruited.

- 05/10/22 - Reviewed by SMT
- 09/11/22 - Reviewed by SMT
- 14/11/22 - Strategic Lead for People Zones reviewed controls - All controls have been implemented and risk is managed. Likelihood reduced to 1. Risk Score reduced to 2. Risk to remain on RR.
- 30/11/22 - Reviewed by SMT
- 16/12/22 - Risk is managed and being monitored.
- 22/03/23 - Reviewed by SMT, Risk is being managed by the PZ team.
- 29/03/23 - Reviewed by SMT, all controls have been managed. Risk will be managed at an operational/project level. SMT agreed to close and relegate to PZ operational risk register.

**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"> <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>

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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

<b>Likelihood Score</b>	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
			<b>Impact Score</b>			