

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

Paper
Marked

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Report of	OFFICES OF POLICE AND CRIME COMMISSIONER
Subject	POLICE AND CRIME COMMISSIONER RISK REGISTER
Date	TUESDAY 1st AUGUST 2023
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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 25 live strategic risks on the risk register. See Appendix A

High Risks

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

Closed risks

5. There is 7 risk proposed to be closed and archived in Appendix D.

Changes in risk score

6. 3 change to the Risk Score shown in grey in Appendix A.

New risk

7. There is 1 new risk 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
5 - 7 Medium
1 - 4 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

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Appendix A: Risks Overview

Highlighting Legend:

Risks Closed
Change to risk score
New risk since last meeting

Appendix A		OPCC Risk Register				28 th March 2023				
Reference	Owner	Title	Impact	Likelihood	Status	First Recorded	Last review	Previous Score	Current Score	Direction of Travel
OPCC022	Chief Finance Officer	Economic impact of the current foreign political unrest	Very High	Very High	Controls Tasked	03/03/2022	16/07/2023	16	16	→
OPCC031	Chief Finance Officer	The Financial Challenge 2022/2023 -2025/26	Very High	Very High	Controls Tasked	02/11/2022	16/07/2023	16	16	→
OPCC007	Chief Executive	Partner Relationships deteriorate as a result of a change in strategic direction	High	Very High	Controls Tasked	30/08/2018	15/06/2023	12	12	→
OPCC014	Chief Executive	Failure to meet the General Data Protection Regulations (GDPR)	Very High	Likely	Controls Tasked	30/08/2018	14/06/2023	16	12	↓
OPCC032	Chief Finance Officer	Risk of Cyber Attack	Very High	Likely	Controls Tasked	02/11/2022	15/06/2023	12	12	→
OPCC020	Chief Executive	Police and Crime Plan commitments not delivered	High	Likely	Controls Tasked	30/08/2018	15/06/2023	9	9	→
OPCC038	Head of Communications	Impact on public trust and confidence arising from negative national coverage	High	Likely	Controls Tasked	29/03/2023		9	9	→
OPCC040	Director of VRN	Wider sustainability of the Violence Reduction Network	High	Likely	Controls Tasked	15/06/2023	21/06/2023	-	9	New Risk
OPCC017	Chief Executive	Provider failure or poor performance	Very High	Possible	Controls Tasked	30/11/2020	15/06/2023	8	8	→
OPCC029	Chief Executive	Delays in service provision due to pressures on the Commissioning and Procurement teams leading to	Very High	Likely	Controls Tasked	06/07/2022	15/06/2023	12	8	↓

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OPCC005	Head of Communications	External Communications leading to reputational damage	High	Possible	Controls Tasked	30/08/2018	15/06/2023	6	6	→
OPCC013	Chief Executive	Safety of elected officials	High	Possible	Controls Tasked	04/11/2021	14/06/2023	6	6	→
OPCC026	Chief Executive	Single Point of Failure impacting on the delivery of OPCC objectives	High	Possible	Controls Tasked	07/06/2022	21/06/2023	6	6	→
OPCC027	Chief Executive	Job Evaluation Scheme - Hay Review	Medium	Likely	Controls Tasked	07/06/2022	13/06/2023	6	6	→
OPCC037	Chief Executive	Failure to adhere to our own governance standards	High	Possible	Controls Tasked	29/03/2023	16/07/2023	6	6	→
OPCC039	Director of Strategy, Partnerships and Commissioning	Delays in the recommissioning of Victim Support Services	High	Possible	Controls Tasked	29/03/2023	16/07/2023	12	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	15/06/2023	4	4	→
OPCC028	Chief Executive	PCC fails in gaining public confidence	Medium	Possible	Controls Tasked	07/06/2022	16/07/2023	4	4	→
OPCC036	Chief Executive	Failure to follow leavers process	Low	Very High	Controls Tasked	02/11/2022	14/06/2023	16	4	↓
OPCC018	Chief Executive	Impairment of the wellbeing of Staff caused by external factors	Medium	Possible	Controls Tasked	06/11/2020	14/06/2023	9	4	↓
OPCC025	Strategic Director VRN	Insufficient funding to Maintain Programme Sustainability	High	Rare	Controls Tasked	17/05/2022	21/06/2022	9	3	↓
OPCC015	Chief Executive	Effectiveness of the OPCC Structure	Medium	Possible	Controls Tasked	30/08/2018	21/06/2023	6	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	15/06/2023	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	16/07/2023	3	3	→
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Appendix B: High Risks

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	→
Title	The Financial Challenge 2022/23 -2025/26					
Risk summary	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					
Information	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. Force Risk: ST0278					
Controls	<ul style="list-style-type: none"> • Strategy and oversight - MTFP/Financial Strategy and the ongoing oversight provided by OPCC CFO/ Assistant Chief Officer (Finance and Resources) • 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 • 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. • The OPCC will review the commissioning budget and ensure that it is aligned to the commissioning strategy. • OPCC budgets/structures so will be reviewed to ensure that they are streamlined and provide value for money • NEW CONTROL - Force and OPCC efficiency savings plan to be drawn up for 2023/24. 					
Latest Update	<ul style="list-style-type: none"> ➤ 02/11/22 - New risk – Joint risk with the Force ➤ 30/11/22 - Reviewed by SMT ➤ 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. ➤ 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 					

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	<p>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 use of reserves. Force and OPCC efficiency plan to be drawn up to reduce the deficit for 2023/24 and over the MTFP.</p> <ul style="list-style-type: none">➤ 16/07/23 - Reviewed by Chief Finance Officer - The Force have implemented a new Investments, Savings and Productivity Board to oversee the current financial position. The CFO will also attend this meeting to have oversight of the force's plans for investment, savings and efficiencies plans.
Next Key Date	August 23 – Review by SMT

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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	12	12	→
Title	Partner Relationships deteriorate as a result of a change in strategic direction					
Risk summary	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.					
Information	Due to implementation of new Police and Crime Plan and changes to senior personnel within the OPCC					
Controls	<ul style="list-style-type: none"> • Currently the relationships with partners are good and the newly implemented office structure provides resource to improve these relationships. • Effective partnership governance arrangements currently in place. • Partnership Strategy to be produced and to include the below: • Review current partnership arrangements • Review CSP funding Procedures • Align CSP funding to PCP Plan • orograph for staff attending meetings with rational • Review of the partnership landscape to be conducted • Partnership spocs to be identified once the priority partners and meetings identified • NEW CONTROL – DV partnership Audit 					
Latest Update	<ul style="list-style-type: none"> ➤ 05/10/22 - Reviewed by SMT ➤ 09/11/22 - Reviewed by SMT ➤ 30/11/22 - Reviewed by SMT ➤ 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. ➤ 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. ➤ 15/06/23 - Review of Partnership Landscape still to be undertaken. Outcome of Internal Audit on DV Partnership is limited assurance. Relationships have improved since implementation of new Director of Strategy, Partnerships and Commissioning post however change in personnel due to happen imminently. Also change in CEO. Score to remain the same due to changes in personnel. 					
Next Key Date	August 23 – Review by SMT					

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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	12	↓
Title	Failure to meet the General Data Protection Regulations (GDPR)					
Risk summary	The requirements set out under the GDPR legislation are not met and a number of new staff not trained.					
Information	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.					
Controls	<ul style="list-style-type: none"> • 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. • Training Programme to be to be established and Bitesize training to commence. • Internal reviews of compliance to be instigated in line with advice form Information Managers. • Clear desk policy and security of information policy to be developed at the earliest opportunity. 					
Latest Update	<ul style="list-style-type: none"> ➤ 05/10/22 - Reviewed by SMT ➤ 09/11/22 - Reviewed by SMT ➤ 25/11/22 - NCALT Training provided to New starter which includes GSC and Data Protection Training. ➤ 30/11/22 - Reviewed by SMT ➤ 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. ➤ 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. ➤ 14/06/2023 - Discussed at SMT - Likelihood score reduced to 3 as it is expected to occur but hasn't incurred within the last 2 years. Therefore likelihood is expected to occur rather than almost certainly will occur. Risk Score reduced to 12 					
Next Key Date	August 23 – Review by SMT					

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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	→
Title	Risk of Cyber Attack					
Risk summary	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.					
Information	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. Force Risk:STR0339					
Controls	<ul style="list-style-type: none"> • Risk being managed by Force. OPCC to have sight of IT Strategy -Define a strategy for IT infrastructure enhancements and updates. Monitored through CGB • 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. • NEW CONTROL - Cyber security to be included in business continuity plans. • NEW CONTROL - List of assets and users to be managed and updated. 					
Latest Update	<ul style="list-style-type: none"> ➤ 02/11/22 New Risk – Joint risk with the Force ➤ 30/11/22 - Reviewed by SMT ➤ 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 ➤ 15/06/23 - Update from force - The Force is in the process of ensuring that all users are onboarded to O365. With regards to Win 10 1809 migration, this will depend on if the update from 1809 to 21H2 can be automated. If it cannot be automated then there is a schedule which replaces or upgrades them all by the end of March 2024. The Force needs to upgrade all devices to ensure that they remain in support and vulnerabilities can be mitigated. 					
Next Key Date	August 23 – Review by SMT					

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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	→
Title	Police and Crime Plan commitments not delivered					
Risk summary	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.					
Information	Delivery plan to be implemented to ensure progress can be tracked against the Police and Crime Plan.					
Controls	<ul style="list-style-type: none"> • The Police and Crime plan clearly sets out what is required over the Commissioners terms of office. • Progress against the Police and Crime Plan is tracked and reported on a regular basis and reported through various channels. • With the development of a new Plan a full project management-based structure will be developed to support the monitoring and accountability. • Internal Governance arrangements to be clarified to ensure OPCC delivery of Crime Plan. • NEW CONTROL - GAP Analysis to be completed, presented and tasked through SMT. 					
Latest Update	<ul style="list-style-type: none"> ➤ 05/10/22 - Reviewed by SMT ➤ 09/11/22 - Reviewed by SMT ➤ 30/11/22 - Reviewed by SMT ➤ 15/12/22 – Performance against the P&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. ➤ 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. ➤ 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. ➤ 15/06/2023 - Gap Analysis to be completed by July 2023 when a project plan will be implemented to fulfil any objectives not yet met. No change to score 					
Next Key Date	August 23 – Review by SMT					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
29/03/2023	OPCC038	Head of Communications	Head of Communications	9	9	→
Title	Impact on public trust and confidence arising from negative national coverage					
Risk summary	Negative coverage regarding policing, PCCs, crime, professional standards, criminal justice and the public sector as a whole creates a local backlash against the OPCC.					
Information	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.					
Controls	<ul style="list-style-type: none"> • Experienced communications lead • Close relationships with force Corporate Communications • Strengthened skills and team members embedded • Majority of instances are forewarned from the horizon scan • National responses from APCC/NPCC 					
Latest Update	➤ 29/03/23 – SMT – New risk identified.					
Next Key Date	August 23 – Review by SMT					

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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	→
Title	Provider failure or poor performance leading to poor service delivery and reduced value for money					
Risk summary	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.					
Information	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.					
Controls	<ul style="list-style-type: none"> • 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. (Accountability and due Diligence). • Outcomes framework in the process of being implemented. • Commissioning Team undergoing review to ensure adequately resourced 					
Latest Update	<ul style="list-style-type: none"> ➤ 05/10/22 - Reviewed by SMT ➤ 09/11/22 - Reviewed by SMT ➤ 30/11/22 - Reviewed by SMT ➤ 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. ➤ 23/03/23 - Reviewed by SMT, no change ➤ 15/06/23 - External contractor will be coming in to review all systems and processes of contract management to ensure they are efficient and effective. Mentoring and coaching will be provided to the Commissioning team to develop the skills in relation to contract management. No change to risk score. 					
Next Key Date	August 23 – Review by SMT					

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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	8	↓
Title	Delays in service provision due to pressures on the Commissioning and Procurement teams leading to delays in the tendering process, reputational issues.					
Risk summary	Delays in Procurement and tendering of Commissioned services causing potential issues with service delivery, reputational issues with partners/suppliers					
Information	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					
Controls	<ul style="list-style-type: none"> • Central contract register being reconstructed • All contracts being reviewed • Commissioning strategy being developed • Due diligence and quality assurance mechanisms being put in place • Weekly strategic oversight • Grants processes being redeveloped – Control removed – see below • Procedural guides and supporting materials being administered • Action plans put in place – Control removed – see below • Resources dedicated to resolve issue at the earliest opportunity • Communication plan being developed 					
Latest Update	<ul style="list-style-type: none"> ➤ 05/10/22 - Reviewed by SMT ➤ 09/11/22 - Reviewed by SMT ➤ 21/11/22 provided by CFO ➤ Contracts Register implemented 01/09/2022 but VRN contracts need including ➤ Commissioning Review completed - report to go to PCP on 14th Dec ➤ Commissioning Strategy developed - to be signed off and presented to PCP 14th Dec ➤ Quarterly procurement meetings undertaken with Head of Procurement - Mar 2023 ➤ Head of Commissioning to discuss workload with Strategic Advisor ➤ 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 ➤ Grants processes being redeveloped - control removed not a mitigation for this risk ➤ Action plans put in place - control removed not a mitigation for this risk. ➤ 30/11/22 - Reviewed by SMT ➤ 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. ➤ 22/12/22 Reviewed by CEO the likelihood of risk materialising has reduced due to the factors above. ➤ 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. ➤ 15/06/2023 - Procurement have a new procurement manager in post and OPCC procurement is now being managed by Procurement and Support Services. MOU/SLA to be drawn up between OPCC and Procurement. New control added - Put in place MOU/SLA between OPCC and Procurement. Reduce likelihood score to 2 					
Next Key Date	August 23 – Review by SMT					

Appendix C: New Risks

Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
15/06/2023	OPCC040	Director of VRN	Director of VRN		9	New Risk
Title	Wider sustainability of the Violence Reduction Network					
Risk summary	The wider sustainability of the VRN has still not been secured by the OPCC and core members beyond March 2025 when Home Office funding will come to an end.					
Information	Although all VRN investments are made with sustainability in mind, at present significant parts of the programme will come to an end in 2025. This will result in the VRN no longer being operational and the programme of work will discontinue in its current form resulting in adverse impact on Serious Violence locally.					
Controls	<ul style="list-style-type: none"> • Draw internal business case relating to the OPCC funding core functions including staff • Draw up sustainability plan including not just financial but also cultural and partnership sustainability • Liaise with Home Office to understand government plans around future funding • Raise the agenda of the VRN with central government and lobby for future funding 					
Latest Update	<ul style="list-style-type: none"> ➤ 15/06/23 - Risk OPCC025 included sustainability however it originated due to 1 year funding agreements from Home Office which has now been resolved. New risk created to capture the wider sustainability of the VRN. ➤ 21/06/23 - New risk and controls agreed at SMT 					
Next Key Date	August 23 – Review by SMT					

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Appendix D: Risks Closed

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	→
Title	Economic impact of the current foreign political unrest					
Risk summary	Increasing economic cost due to the Russian invasion on Ukraine resulting in higher inflationary pressures.					
Information	Potentially higher energy bills, fuel costs, oil and parts, impacting on the financial sustainability of the Leicestershire Police.					
Controls	<ul style="list-style-type: none"> • 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. • Interim CFO and Assistant Chief Officer (Finance and Resources) hold monthly meetings to discuss impact. • Regular budget updates to Police and Crime Commissioner and Corporate Governance Board. • Contingency plans to be implemented. • Budget Monitoring a standard agenda item on SMT • Force and OPCC meeting specifically arranged in the coming weeks to address financial pressures. • Reconsider the use of force reserves with the PCC 					
Latest Update	<ul style="list-style-type: none"> ➤ 05/10/22 - Reviewed by SMT ➤ 09/11/22 - Reviewed by SMT ➤ 21/11/22 - Control Budget monitoring a standard agenda item on SMT - removed ➤ Force and OPCC meeting held to consider the use of force reserves. Control deadline date changed to 23/11/22. ➤ 30/11/22 - Reviewed by SMT ➤ 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&CP will approve the proposed budget for 23/24. Risk score raised to 16. ➤ 22/03/23 - Reviewed at SMT, 23/24 budget confirmed and will continue to be monitored through CGB. ➤ 16/07/23 - Reviewed by Chief Finance Officer. Fuel and Energy prices have started to stabilise. Financial Pressures continue for the Force and OPCC budgets however the risk is captured as part of OPCC031. It is recommended that this risk is closed and the risk managed as part of Risk OPCC031. <p style="text-align: center;">PROPOSE CLOSE</p>					
Next Key Date	August 23 – Review by SMT					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
04/11/2021	OPCC013	Chief Executive	Director of Governance and Performance	6	6	→
Title	Increased risk to the Safety of elected officials					
Risk summary	There has been a number of incidents nationally relating to the safety of elected officials and therefore a risk to the safety of the Police and Crime Commissioner.					
Information	Risk was identified after a number of attacks on elected officials					
Controls	<ul style="list-style-type: none"> • 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 - Policing Advisor to act as liaison officer • Receive Regular updates from the force on Op Bridger 					
Latest Update	<ul style="list-style-type: none"> ➤ 11/01/2022 - 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. ➤ 08/03/2022 - Op Bridger still remains on CGB agenda <ul style="list-style-type: none"> - 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. ➤ 06/04/2022 - SMT agreed no change ➤ 07/06/2022 - Events risk assessment completed. This will be monitored and necessary actions undertaken. Insp Street to act as liaison between force and OPCC ➤ 12/07/2022 - Strategic Advisor and Policy and Compliance officer reviewed title amended. ➤ 27/07/2022 - SMT reviewed ➤ 24/08/2022 - No Change ➤ 06/09/2022 - No change ➤ 05/10/2022 - Reviewed by SMT ➤ 09/11/2022 - Reviewed by SMT ➤ 30/11/2022 - Reviewed by SMT ➤ 22/12/2022 CEO Reviewed - The operational risk mitigation for each deployment is conducted. Operational risk is and will be considered during the communicational team meeting. Risk to remain open. ➤ 22/03/2023 SMT Reviewed - The operational risk mitigation for each deployment is conducted. Operational risk is and will be considered during the communicational team meeting. Risk to remain open. Events and Visits officer to be trained in completing risk assessment" ➤ 13/06/2023 - All mitigations are implemented and risk managed. Risk remains but at an operational level. Propose downgrading to departmental risk register. ➤ 14/06/2023 - SMT agreed to downgrade risk to departmental level 					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
07/06/2022	OPCC026	Chief Executive	Director of Governance and Performance	6	6	→
Title	Single Point of Failure impacting on the delivery of OPCC objectives					
Risk summary	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					
Information						
Controls	<ul style="list-style-type: none"> • Develop Business Continuity plans • Identify SPOF roles- provide resilience and support to those roles • Succession Planning • Role specific process notes to be developed • Force PDR system to be introduced into the OPCC • Colleagues will be trained to be omnicompetent in other areas of business to reduce the risk of single point of failure. • Training needs analysis will reflect the need to create omnicompetence 					
Latest Update	<ul style="list-style-type: none"> ➤ 12/07/2022 Strategic Advisor and Policy and Compliance Officer reviewed risk and controls. Controls assigned to Policy and Compliance Officer ➤ 25/07/2022 - New staff are closely monitored and given feedback regarding performance. PDR Objectives progressed for each member of staff. Force PDR system to be introduced into the OPCC. Colleagues will be trained to be omnicompetent in other areas of business to reduce the risk of single point of failure. Training needs analysis will reflect the need to create omnicompetence ➤ 27/07/2022 - SMT reviewed ➤ 24/08/2022 - No Change ➤ 06/09/2022 - People Strategy to address the issues within in this risk and a report to SMT 1/10/22. All deadlines reviewed and changed to 1/11/22. No change in risk score. ➤ 05/10/2022 - Reviewed by SMT ➤ 09/11/2022 - Reviewed by SMT ➤ 30/11/2022 - Reviewed by SMT – Commissioning Team – Process Plan in place and a full complement of Commissioning & Contracts Officers in place and ongoing training to ensure resilience ➤ 22/12/2022 - CEO reviewed ➤ Impact changed to 3 and likelihood changed to 2. Commissioning have a written strategy and procedure which has been shared with OPCC staff and Commissioning Manager to provide training to the Commissioning team to ensure team is omnicompetence. Commissioning Manager to provide oversight training on strategy and procedures for OPCC staff. ➤ Performance and Governance Team - Complaints and Review Officer contingency plan have been developed with administrator being trained on the management and recording of complaints with written procedures to be produced. 2.5 Data analyst in place. Process notes have been produced additional support provided by Head of Performance. ➤ Volunteer Manager - ICV scheme procedural manual in place and procedural notes on how to manage scheme additional support provided by other OPCC teams members and other regional ICV Managers and ICVA i.e. on recruitment, training etc. Control owner changed to CEO from Head of Performance. CEO - Head of Performance and Operations is also acts as the deputy monitoring 					

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	<p>officer. CFO - Additional support can be provided by Force's Assistant Chief Officer. Head of Comms - contingency plans to be produced.</p> <ul style="list-style-type: none"> ➤ 16/12/22 Training Plan update requested from the OPCC Team" ➤ 22/03/2023 - Reviewed by SMT. An analysis of the 'essential business items' will be concluded by the end of May, this will compliment a gap analysis showing the business-critical areas of SPOF. These will then be addresses through the new training approach which is being developed into the People strategy. A new induction pack is being developed for all new starters, the OPCC are improving the use of MS Teams and the ability to record training and induction sessions. These can then be used in our contingency planning. " ➤ 13/06/2022 - Number of mitigations are in place. This risk feeds into an overarching risk regarding business continuity. This risk is to be managed at departmental level. Propose downgrading to departmental risk register ➤ 21/06/2023 - Reviewed by SMT - Agreed to managed at departmental level
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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	4	↓
Title	Failure to follow leavers process					
Risk summary	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					
Information	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.					
Controls	<ul style="list-style-type: none"> • Joiner and Leavers policy to be implemented • Managers to be provided with training • HR Policies to be reviewed to ensure fit for purpose 					
Latest Update	<ul style="list-style-type: none"> ➤ 02/11/22 New risk ➤ 30/11/22 - Reviewed by SMT ➤ 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. ➤ 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. ➤ 13/06/23 - Risk has been reassessed. The impact score has been reduced to 1 due to the low monetary values and low impact on the strategic objectives. Propose close ➤ 14/06/23 - Reviewed by SMT - agreed to close risk 					

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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	4	↓
Title	Impairment of the wellbeing of Staff caused by external factors					
Risk summary	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.					
Information	Increased working from home, impact of the cost of living crisis including rising cost of interest rates and energy bills.					
Controls	<ul style="list-style-type: none"> • Bi-weekly team meetings to engage all staff and keep them informed of current issues. • Sharing of successful events or projects which have been undertaken within the team. • Regular meetings between staff and team leaders to maintain regular contact and monitor staff wellbeing. • Wellbeing staff surveys issued with good uptake from staff and positive feedback. • 2 wellbeing champions within the OPCC team, raising awareness of wellbeing events/initiatives and being a source of support. • Bitesize training and guest speakers arranged to keep staff up to date with latest developments and areas of training. • Dedicated programme for Team away days • People Strategy developed • Wellbeing to be a standing agenda item on SMT • CEO to reinstate bi-monthly meetings to discuss welfare and H&S • 28/12/2022 -Added SMT to hold one to one meeting's with staff to benchmark current risk. 					
Latest Update	<ul style="list-style-type: none"> ➤ 05/10/22 - Reviewed by SMT ➤ 09/11/22 - Reviewed by SMT ➤ 09/11/22 - Wellbeing discussed at Team meetings and regular wellbeing circulars provided from the wellbeing teams are sent to staff ➤ 30/11/22 - Reviewed by SMT ➤ 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. ➤ 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. ➤ 13/06/23 - Risk is being managed and a number of controls in place to mitigate. Absence and sickness levels are low. A number of support mechanisms are in place for staff. Regular meetings between staff and managers to assess wellbeing. Risk is downgraded to departmental level and will be managed by senior managers. PROPOSE to downgrade to departmental level. 					

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	➤ 14/06/23 - Reviewed by SMT. Agreed to downgrade to departmental risk registers and managers to continue to monitor and assess the risk going forward.
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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	3	↓
Title	Insufficient funding to Maintain Programme Sustainability					
Risk summary	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.					
Information	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					
Controls	<ul style="list-style-type: none"> • Budget and interventions/projects to invest in for 22/23 agreed at the start of the financial year by board members. • PCC CEO and director to draw up a sustainability plan. • Additional funding to be explored where appropriate, including the YEF and Home Office additional funding to support further work. • 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. • Confirmation of further years funding to be sought from OPCC and partners at earliest available opportunity. • Multi-agency sponsorship of VRN workstreams/projects being explored for 22/23 to ensure ownership of VRN programme outside of the central team. • 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. 					
Latest Update	<ul style="list-style-type: none"> ➤ 05/10/22 - Reviewed by SMT ➤ 09/11/22 - Reviewed by SMT ➤ 14/11/22 Controls have been reviewed and updated. With updated deadlines. ➤ 30/11/22 - Reviewed by SMT ➤ 13/12/22 - A sustainability plan is being developed and will consult with OPCC Senior Managers ➤ 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. ➤ 15/06/2023 - Risk originally arose due to 1-year funding agreements from Home Office. This has been resolved with a 3-year funding agreement up to March 2025. VRN sustainability is therefore a different risk. Propose to close this risk due to 3-year funding agreement and open new risk for VRN sustainability. PROPOSE CLOSE ➤ 21/06/2023 - Reviewed by SMT, agreed to close 					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
30/08/2018	OPCC015	Chief Executive	Chief Executive	6	4	↓
Title	Effectiveness of the OPCC Structure					
Risk summary	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.					
Information						
Controls	<ul style="list-style-type: none"> • 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. • In light of the new financial constraints and economic landscape a restructure of the Senior Mgmt. team. 					
Latest Update	<ul style="list-style-type: none"> ➤ 11/01/2022 - New CEO post and a number of new post now filled. Re-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 ➤ 07/03/2022 - No change. 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 off the roles and organisational structure to be reviewed in 9 months once business as usual has been established." ➤ 06/04/2022 - SMT agreed no change ➤ 07/06/2022 - No change ➤ 12/7/2022 Impact and likelihood score increased to 4 total score now 16 from 9. A number of organisational reviews will be undertaken during August/September to gauge the progress and efficiency of the organisation. 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. Deterioration has been experienced in Commissioning and Contract Management which is subject to strategic management oversight. Weekly reporting to SMT instigated ➤ 27/07/2022 - SMT reviewed and agreed changes ➤ 24/08/2022 - No Change ➤ 06/09/2022 - People Strategy being developed. Partnership Strategy being developed. CEO will be reviewing OPCC hierarchy to ensure it reflects the current organisational challenges this will be reported back to SMT 1/10/22. No change to risk score." ➤ 05/10/2022 - Reviewed by SMT ➤ 09/11/2022 - Reviewed by SMT ➤ 30/11/2022 - Commissioning Manager is being advertise by end of w/c 5th December 2022. Contracts officer post being advertised by end of January 2023. New agency contracts officer starting 5th December 2022. Full time volunteer's manager recruited and will cover maternity. Chief Finance Officer to be advertised in January 2023. Review of hierarchy of OPCC still being actively 					

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reviewed. This remains at low risk at this time. Costing and recommendations being considered during budget development. DPCC recruited creating leadership resilience. BSO recruitment being actively being progressed. Agency staff creating resilience and coverage. Performance team up to establishment. All other areas stable at this time. As the budget is built the risk to the organisation will be reconsidered. Partnership strategy will be developed in due course. Not high risk at this stage. People strategy being considered and not considered high risk at this time. the Commissioning team performance has improved dramatically. Commissioning Strategy being presented to Police and Crime Panel on 14th December 2022. Full review breakdown being presented. Risk to be reviewed in January 2023

- 22/12/2022 CEO reviewed -The current structure at an operational level is evidenced as effective streamlined and meets the organisational goals. This is evidenced by all areas. Performance has improved e.g. Commissioning team and strategy working well. Complaints and reviews delivering higher performance than before, correspondence and communications delivering high level of performance. CEO during the team management meetings and interactions with is satisfied that the structure is delivering at an operational level. Aa wide variety of new staff have joined the organisation the feedback is that they feel well supported and equipped to fulfil the roles that they are in. SMT meetings have now been changed and the agenda is now aligned to running an efficient high performing team.
- 22/03/2023 - Reviewed by SMT, the new structure is working and performing really well. There is a more consistent management approach and much more definition and communication between the teams. This has also been enhanced by an internal newsletter. The CEO is now in the process of finalising the structure and ensuring the job descriptions across the team are accurate in terms of the new team structure."
- 15/06/2023 - Implemented new structure. New CEO recruited and due to start 11th Sept. All post now confirmed and substantive except for the CFO role which is currently under consultation. No vacancies within the OPCC. Propose to close due to reduction in likelihood and impact which has been managed. PDRs have been completed and training plan identified. Departmental issues will be managed at departmental level and risks captured on departmental registers.
- 21/06/2023 - Reviewed by SMT. Agreed to manage the risk at a departmental level

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