

**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	THURSDAY 26th OCTOBER 2023
Author	KIRA HUGHES, CHIEF FINANCE OFFICER

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 21 live strategic risks on the OPCC risk register. See Appendix A
4. There are also 34 live operational risks on the OPCC risk register

High Risks

5. 15 risks are currently rated as 'High' priority. These risks are detailed at Appendix B.

Closed risks

6. There is 0 risk proposed to be closed and 3 risks downgraded to operational risk in Appendix D.

Changes in risk score

7. 0 change to the Risk Score shown in grey in Appendix A.

New risk

8. There are 6 new risk since the last JARAP. See Appendix C

Redacted

9. There are 2 risks deemed sensitive and therefore have been redacted for the purpose of this report

Risk Grading Criteria

10. 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.
11. 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

12. 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

Appendix F: Redacted Risks (for JARAP members only)

Persons to contact

Kira Hughes – Chief Finance Officer

Email: kira.hughes@leics.pcc.pnn.gov.uk.

Claire Trewartha – Chief Executive Officer

Email: andy.champness@leics.pcc.pnn.gov.uk.

Nish Padhiar – Policy and Compliance Officer

Email: nimisha.padhiar@leics.pcc.police.uk.

Appendix A: Risks Overview

Highlighting Legend:

Risks Closed
Change to risk score
New risk since last meeting
Managed at operational level

Appendix A		OPCC Risk Register								
Reference	Owner	Title	Impact	Likelihood	Status	First Recorded	Last review	Previous Score	Current Score	Direction of Travel
OPCC031	Chief Finance Officer	The Financial Challenge 2022/2023 -2025/26	Very High	Very High	Controls Tasked	02/11/2022	24/09/2023	16	16	→
OPCC062	Chief Executive	REDACTED	Very High	Very High	Controls Tasked	04/08/2023	13/10/2023	-	16	
OPCC007	Chief Executive	Partner Relationships deteriorate as a result of a change in strategic direction	High	Very High	Controls Tasked	30/08/2018	15/10/2023	12	12	→
OPCC014	Chief Executive	Failure to meet the General Data Protection Regulations (GDPR)	Very High	Likely	Controls Tasked	30/08/2018	03/10/2023	12	12	→
OPCC032	Chief Finance Officer	Risk of Cyber Attack	Very High	Likely	Controls Tasked	02/11/2022	25/09/2023	12	12	→
OPCC020	Chief Executive	Police and Crime Plan commitments not delivered	High	Likely	Controls Tasked	30/08/2018	03/10/2023	9	9	→
OPCC038	Head of Communications	Impact on public trust and confidence arising from negative national coverage	High	Likely	Controls Tasked	29/03/2023	29/09/2023	9	9	→
OPCC059	Chief Finance Officer	Staff Shortages within the Commissioning Team	High	Likely	Controls Tasked	04/08/2023	15/10/2023	-	9	
OPCC077	Chief Executive Officer	REDACTED	High	Likely	Controls Tasked	15/10/2023	15/10/2023	-	9	

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OPCC017	Chief Executive	Provider failure or poor performance	Very High	Possible	Controls Tasked	30/11/2020	15/10/2023	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	15/10/2023	8	8	→
OPCC040	Director of VRN	Wider sustainability of the Violence Reduction Network	High	Likely	Controls Tasked	15/06/2023	21/06/2023	9	9	→
OPCC056	Chief Executive	Inefficient working relationship with the Force	Very High	Possible	Controls Tasked	19/05/2023	13/10/2023	8	8	→
OPCC070	Chief Finance Officer	Single Source of Failure – Chief Finance Officer	Very High	Possible	Managed	15/10/2023	15/10/2023	-	8	
OPCC073	Chief Finance Officer	Arrangements in place do not secure efficient and effective police service	Very High	Possible	Controls Tasked	15/10/2023	15/10/2023	-	8	
OPCC005	Head of Communications	External Communications leading to reputational damage	High	Possible	Managed	30/08/2018	15/06/2023	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	15/10/2023	6	6	→
OPCC039	Chief Finance Officer	Delays in the recommissioning of Victim Support Services	High	Possible	Managed	29/03/2023	15/10/2023	6	6	→
OPCC021	Chief Executive	Values in the workplace Historic cultural issues may result in poor organisational morale.	Very High	Rare	Controls Tasked	04/11/2021	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	→
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	→
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 • Force and OPCC efficiency savings plan to be drawn up for 2023/24. • NEW CONTROL - Budget build for 2024/25 and MTFP review for future years to be undertaken - including scenario planning, review of current assumptions, identifying efficiencies and moving to a sustainable position. 					
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.➤ 24/09/23 - Reviewed by Chief Finance Officer. CFO is now attending the Investments, Savings and Productivity Board. New Control measure added. A number of scenarios around precept will be presented to the Corporate Governance Board. A number of efficiencies and savings have been identified for 2023/24. Further work to be undertaken to realise further savings for 2024 and beyond. Risk score remains unchanged and given the overall MTFP position the risk remains high.
Next Key Date	October – Review by 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	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. ➤ 15/10/23 - Director of Strategy, Commissioning and Partnerships due to start in post 1st November. CEO is in post and building relationships. No Change in score until Director in post. 					
Next Key Date	October 23 – Review by JARAP					

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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	12	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. ➤ 14/06/23 - 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 ➤ 03/10/23 - Old folder structure being removed 01/10/2023. 4 GDPR policies have been signed off by SMT. Training plan to be implemented. On track with project plan, project plan to be completed by March 23. 					
Next Key Date	October 23 – Review by 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	→
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 maned 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. ➤ 25/09/23 - Force owned risk. Observing the forces response and controls. Risk reported through the Corporate Governance Board 					
Next Key Date	October 23 – Review by 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	→
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 ➤ 03/10/2023 - Gap analysis completed and presented to SMT. Next steps is to consult with the Force to fill any further gaps. This is currently ongoing and with the COT. Once received further information from the Force an action plan can be developed with specific actions to be completed. 					
Next Key Date	October 23 – Review by JARAP					

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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	<ul style="list-style-type: none"> ➤ 29/03/23 – SMT – New risk identified. ➤ 29/09/23 - Discussions took place with Head of Communications - Controls will be reviewed and discussed at SMT 					
Next Key Date	October 23 – Review by 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	Chief Finance Officer	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. ➤ 15/10/23 - Consultant has started working on the review of systems and processes. Consult is also providing mentoring and coaching to the Commissioning and Contract Officers. Performance Framework currently being developed. 					
Next Key Date	October 23 – Review by 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	Chief Finance Officer	8	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 ➤ 15/10/2023 - Head of procurement is due to retire in November which may impact the OPCC procurement and recommissioning. Commissioning team is also under resourced due to vacancies. Risk will be reassessed in November. 					
Next Key Date	October 23 – Review by JARAP					

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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	9	→
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 ➤ 29/09/23 - Business case was submitted to SMT and PCC and agreed that all posts would be made permanent and the PCC would provide additional funding for staff and small operating budget for the year 2025/26. This will stabilise the team at a time when announcements of future funding are likely to be delayed significantly due to the general election. There still remain a risk relating to the VRN funded interventions which are only funded until March - August 2025 which could result in a gap/removal of service to vulnerable children, young people and adults. New controls added above. 					
Next Key Date	October 23 – Review by JARAP					

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Appendix C: New Risks

Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
04/08/2023	OPCC059	Chief Finance Officer	Chief Finance Officer	-	9	New Risk
Title	Staff Shortages within the Commissioning Team					
Risk summary	Director of Strategy, Partnerships returned to force and Commissioning Manager also handed in notice resulting in staff vacancies within the Commissioning Team					
Information	Due to staff shortages there is a lack of continuity, risk to department and wider office. Reputational damage and lack of accountability for team.					
Controls	<ul style="list-style-type: none"> Recruitment of staff for the team is ongoing and will be managed by SMT Recruitment of Director of Strategy, Commissioning and Partnership Performance and Assurance Officer assigned to the Commissioning team for 3 months to provide additional resource. Review of the Commissioning team to be undertaken 					
Latest Update	➤ 15/10/23 - Director of Strategy, Commissioning and Partnership has been recruited and due to start 1st November. Performance and Assurance Officer undertaking a 3 month secondment in the Commissioning Team. Consultant has been engaged to assist with specific projects within the Commissioning Team. Chief Finance Officer is overseeing the Commissioning team in the meantime. Score will reduce once Director of Strategy, Commissioning and Partnerships is in post.					
Next Key Date	October 23 – Review by JARAP					

Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
19/05/2023	OPCC056	Chief Executive	Chief Executive	16	8	↓
Title	Inefficient working relationship with the Force					
Risk summary	Inefficient working relationship with the Force leading to delay in delivering the plan, day-to-day information requests therefore unable to fulfil the statutory function of holding the CC to account.					
Information	If working relationship with the Force deteriorates or becomes ineffective the risk is that there will be delays in delivering the Police and Crime Plan. This would impact the delivery of the strategic objectives.					
Controls	<ul style="list-style-type: none"> Regular Meetings with CEO/CC held Regular meetings between CFO and ACCO Finance Operational relationships built and maintained. Having regular meetings with operational links Draw up MOU between force and OPCC Corporate Governance Framework to be reviewed 					
Latest Update	➤ 28/09/23 - New CEO has regular 121s in the diary with the CC and DCC to maintain and build relationships. MOU drafted and will help structure the working relationship between the OPCC and Force. ➤ 13/10/23 - Change of risk title and Risk Owner. Score reduced to 16 due to mitigations in place					
Next Key Date	October 23 – Review by JARAP					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
15/10/2023	OPCC073	Chief Finance Officer	Chief Finance Officer	-	8	New Risk
Title	Arrangements in place do not secure efficient and effective police service					
Risk summary	Risk that arrangements are not in place resulting in an inefficient and ineffective police force. This would have financial and reputational impact.					
Information	Financial Arrangements not in place to ensure value for money, efficiency and overall financial resilience.					
	<ul style="list-style-type: none"> • Financial Reporting at CGB • Regular Financial Monitoring from Force • VFM Scrutiny • Annual Governance Statements • Governance Arrangements between PCC and Force • Regular Meetings between ACO and CFO • Review Cipfa Financial Resilience • Finance Strategy reviewed 					
Latest Update	➤ 16/10/23 – New Risk Identified					
Next Key Date	October 23 – Review by JARAP					

Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
15/10/2023	OPCC070	Chief Finance Officer	Chief Finance Officer	-	8	New Risk
Title	Single Source of Failure - Chief Finance Officer					
Risk summary	No Deputy Section 151 Officer or other finance employees within the office. Risk that this creates a single source of failure as there is no contingency for long term absence of CFO.					
Information	Chief Finance Officer single point of failure. Requirement of the Local Government Act that every authority has a section 151 officer. Legal and financial impact. Lack of financial oversight. No financial capability within the OPCC					
Controls	<ul style="list-style-type: none"> • Recruit Assistant Accountant • ACO (Finance) is contingency for long Periods of absence • Seek alternative contingency measures (regional CFO support) 					
Latest Update	➤ 16/10/23 – New Risk Identified					
Next Key Date	October 23 – Review by JARAP					

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Appendix D: Risks Closed

Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
30/08/2018	OPCC005	Head of Communications	Head of Communications	6	6	→
Title	External Communications leading to reputational damage					
Risk summary	Inaccurate or damaging coverage in the public arena originating from the PCC, DPCC and /or OPCC (print, broadcast and social media) relating to the PCC/OPCC leading to reputational damage.					
Information Controls	<ul style="list-style-type: none"> • There is a communication lead contracted to provide/manage external communications and digital media. • The new structure provides sufficient resource to enable proper consideration of issues and the best means to communicate them externally. • Need to enhance capabilities around digital media within the current structure • OPCC Communications Plan reported to weekly communications meeting with the commissioner • The creation of a forward look planning approach for communications aligned to community engagement activity is changing the way communications are handle • The development of digital channels for communication has also added to the range of options available. • Ongoing liaising and contact engagement with local and national media outlets. • Communications team is now fully staffed • Capability and capacity relating to digital media has been boosted within the current structure. • Community engagement and communications are aligned and a reporting process in place to the regular communications meeting with the PCC. • Communications and horizon scanning is a recurring item at SMT meetings. • PCC is well-briefed ahead of known interviews • There is a robust clearance process in place for comments, statements and press releases • PCC has had media training • There is a robust clearance process in place for all external facing documents • Good relations with media outlets and partner Communications teams are in place • Commentary and coverage is monitored to highlight any potential flash points-google alert setup. Social media officer monitors for issues and reports back. • There is a media protocol in place between the force and the OPCC • Formal review of communications team and outcomes in October 2022 					

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<p>Latest Update</p>	<ul style="list-style-type: none"> ➤ 11/01/22 - New communications team built into new structure however number of key roles still to be recruited. Also need to see how the new team imbeds over time. ➤ 30/03/22 - Change Risk Title to Ineffective External Communications, - delete control - - The new structure provides sufficient resource to enable proper consideration of issues and the best means to communicate them externally. ➤ 06/04/22 - SMT to Agreed change of risk title and agreed to delete control. ➤ 07/06/22 - Digital media officer is in place. Social media interactions have increased and followers. 12 months plan of events underway. Weekly team communications meetings taking place. ➤ 16/06/22 - additional mitigations Reduce to 6 from 12 <ul style="list-style-type: none"> ○ There is a highly experienced communication lead in place contracted to provide external communications and digital media. ○ The communications team is now fully staffed ○ Capability and capacity relating to digital media has been boosted within the current structure. ○ Communications and horizon scanning is a recurring item at SMT meetings. ○ Community engagement and communications are aligned and a reporting process in place ○ The PCC is well-briefed ahead of known interviews ○ The PCC has had media training ○ There is a robust clearance process in place for comments, statements and press releases ○ There is a robust clearance process in place for all external facing documents ○ Commentary and coverage is monitored to highlight any potential flash points ○ Good relations with media outlets and partner communications teams are in place ○ There is a media protocol in place between the force and the OPCC ➤ 12/07/22 - Reviewed by Strategic Advisor and Policy and Compliance Officer ➤ 25/07/22 - Formal review of communications team and outcomes in October 2022 ➤ 27/07/22 - SMT reviewed and agreed changes ➤ 24/11/22 - Controls reviewed by Head of Communications with updates controls implemented ➤ 30/11/22 – Reviewed by SMT ➤ 22/12/22 - CEO reviewed -CEO will review the contractual arrangements for the Comms provider and current staffing arrangements ➤ 23/03/23 - Reviewed by SMT, no change ➤ 15/06/23 - There are a number of mitigations in place and the risk is being managed. Weekly comms meeting with the Commissioner. Intern currently in the process of being recruited. No change to Risk Score. ➤ 25/09/23 - Change in risk description to inaccurate or damaging coverage in the public arena originating from the PCC,DPCC and /or OPCC (print, broadcast and social media) relating to the PCC/OPCC leading to reputational damage. Review of Controls Head of Comms to provide evidence of controls implemented. Risk score to remain all though controls are managed due to the volatile nature of this risk. Managed at Operational Level
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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
29/03/2023	OPCC039	Chief Finance Officer	Chief Finance Officer	6	6	→
Title	Delays in the recommissioning of Victim Support Services					
Risk summary	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.					
Information						
Controls	<ul style="list-style-type: none"> • Implement Project Plan with identified Timescales • Factor in contingency days for delays in process 					
Update	<ul style="list-style-type: none"> • 16/07/23 - Reviewed by CFO. Experience Consultant contracted to lead on the recommissioning of victim services. Current provider's contract extended to 31st March 2024 to allow for a seamless transition and implementation. Project plan put in place. Score reduced as likely hood has decreased just to number of controls implemented. • 15/10/23 - Procurement of victim first contract has been undertaken and tender has closed. Received a number of bids which are currently being evaluated and moderated. Change in Risk Owner. Controls Managed therefore managed at operational level 					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
02/11/2022	OPCC034	Chief Finance Officer	Chief Finance Officer	3	3	→
Title	Appetite for Regional Collaboration no longer exists					
Risk summary Information	n 2020 a HMIC national report entitled 'The Hard Yard' recommended that all forces should track benefits of being in a collaboration through an effective system. PCCs appetite for collaboration no longer exists leading to increased costs on force delivery, on budgets, collaborative, partnership working and reputational damage.					
Controls	<ul style="list-style-type: none"> • Benefits of collaboration - EMCJS business support are contacted by the Inspectorate Team to ask how they track benefits. They are told that a report has been outlined to the 4 forces, but no seen sight of the report. PCC/CEO/CFO regional meetings take place to discuss benefits • Dedicated lead - CEO/CFO to monitor and review collaborations • National Guidance -We are awaiting methodology from NPCC on how to better track the benefits of collaborations. There has been previous guidance, but it • Regional collaboration audits to be undertaken to monitor effectiveness of working together • Understanding demand - Consider further reports to understand the risk and demands placed on areas of business should collaborations cease. Force Control - Operational 					
Latest Update	<ul style="list-style-type: none"> ➤ 30/11/22 - Reviewed by SMT ➤ 23/12/22 - CEO reviewed - This risk is in the early stages of development and understanding. PCC is due to be chair of the EMSOU PCC /CC meeting. This will enable the force and PCC to formally review the approach taken the implications and risks to understand the actual risk factor. ➤ 22/03/23 - Reviewed by SMT - PCC has agreed to chair the regional PCC/CC Board meeting, also continues to be chair of the EMCJB which is to be ➤ 15/06/23 - Occupational Health and Criminal Justice no longer form part of our collaboration. We retain Academy/L&D, UCAS Forensic accreditation and EMSOU, so the risk still exists in two current formats: <ul style="list-style-type: none"> ➤ 1) Ensuring we are getting best value for money out of the current collaborations that we are keeping. ➤ 2) Ensuring that any future collaborations we consider are subject to scrutiny and due diligence to ensure that the collaboration would be right for Leicestershire. ➤ The risk is considered to now be low for these two areas ➤ 15/10/23 - Risk has been managed therefore risk managed at operational level 					

Appendix E: Risk Scoring Matrix

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

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

Overall Risk Score

Likelihood Score	Very High	4	4 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			