

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

Paper  
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Report of	<b>OFFICES OF POLICE AND CRIME COMMISSIONER</b>
Subject	<b>POLICE AND CRIME COMMISSIONER RISK REGISTER</b>
Date	<b>WEDNESDAY 17<sup>th</sup> APRIL 2024</b>
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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 16 live strategic risks on the OPCC risk register. See Appendix A
4. There are also 30 live operational risks on the OPCC risk register.

**High Risks**

5. 6 risks are currently rated as 'High' priority. These risks are detailed at Appendix B.

**Closed risks**

6. There are no risks proposed to be closed and 2 risks downgraded to operational risk in Appendix C.

**Changes in risk score**

7. 3 changes to the Risk Score shown by the direction of travel column in Appendix A (including those risks that will be downgraded).

**New risk**

8. There are no new risks since the last JARAP.

**Redacted**

9. 1 risk deemed sensitive and therefore has 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: Closed Risks/Downgraded to Operational Risks.

Appendix D: Risk Scoring Matrix

Appendix E: Redacted Risks (for JARAP members only)

Appendix F: Risk Action Plan

## Persons to contact.

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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	Inherent (Unmitigated Risk Score)	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	20/3/2024	16	16	16	→
OPCC032	Chief Finance Officer	Risk of Cyber Attack	Very High	Likely	Controls Tasked	02/11/2022	20/3/2024	12	12	12	→
OPCC062	Chief Executive	Redacted	High	Likely	Controls Tasked	04/08/2023	20/3/2024	9	9	9	→
OPCC014	Chief Executive	Failure to meet the General Data Protection Regulations (GDPR)	Very High	Possible	Controls Tasked	30/8/2018	20/3/2024	16	8	8	→
OPCC070	Chief Finance Officer	Single Source of Failure – Chief Finance Officer	Very High	Possible	Managed	15/10/2023	20/3/2024	8	8	8	→
OPCC073	Chief Finance Officer	Arrangements in place do not secure efficient and effective police service	Very High	Possible	Controls Tasked	15/10/2023	20/3/2024	8	8	8	→
OPCC007	Chief Executive	Partner Relationships deteriorate as a result of a change in strategic direction	High	Possible	Controls Tasked	30/08/2018	20/3/2024	12	12	6	↓
OPCC020	Chief Executive	Police and Crime Plan commitments not delivered	High	Possible	Controls Tasked	30/08/2018	20/3/2024	16	6	6	→

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OPCC027	Chief Executive	Job Evaluation Scheme - Hay Review	Medium	Likely	Controls Tasked	07/06/2022	20/3/2024	16	6	6	→
OPCC040	Director of VRN	Wider sustainability of the Violence Reduction Network	High	Likely	Controls Tasked	15/06/2023	20/3/2024	9	9	6	↓
OPCC078	Chief Executive	Change in PCC following PCC elections could lead to change in direction of travel.	Very High	Very High	Awaiting Review	26/10/2023	20/3/2024	9	9	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	20/3/2024	8	4	4	→
OPCC028	Chief Executive	PCC fails in gaining public confidence	Medium	Possible	Controls Tasked	07/06/2022	20/3/2024	6	4	4	→
OPCC056	Chief Executive	Inefficient working relationship with the Force	Very High	Rare	Controls Tasked	19/05/2023	20/3/2024	8	4	4	→
OPCC035	Chief Finance Officer	Risk of an information security breach when staff are WFH	High	Rare	Managed	02/11/2022	20/3/2024	16	3	3	→
OPCC037	Chief Executive	Failure to adhere to our own governance standards	High	Rare	Controls Tasked	29/03/2023	20/3/2024	6	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	→
<b>Title</b>	<b>The Financial Challenge 2022/23 -2025/26</b>					
<b>Risk summary</b>	The overall MTFP position has deteriorated. Current assumptions indicate the MTFP will not balance through to 2026 and the use of reserves and identification of efficiency savings will be required from 2023/24 onwards					
<b>Information</b>	The announcement of the police staff pay award, will significantly increase pay inflation cost pressures across the MTFP period 2022/26. The Force is also experiencing higher than forecast non-pay inflation and considerable unbudgeted costs in relation to Op Energy. Uncertainty now exists around whether the 3-year Settlement for 2022/25 will be honoured, which includes the potential for PCCs to raise Band D precept by £15 for 2023/24. <b>Force Risk: ST0278</b>					
<b>Controls</b>	<ol style="list-style-type: none"> <li>1. Strategy and oversight - MTFP/Financial Strategy and the ongoing oversight provided by Kira Hughes/ Paul Dawkins CFOs.</li> <li>2. Budget review -The PCC has requested the MTFP core assumptions be reviewed in order to balance the budget over the medium term, reduce reliance on the use of reserves, and increase the overall balance of reserves.</li> <li>3. The Operational requirements for both the PCC and Force will be reviewed in light of the new and emerging financial picture. Therefore, a series of meeting are being planned to ensure that the operational demand is aligned to the finances available.</li> <li>4. The OPCC will review the commissioning budget and ensure that it is aligned to the commissioning strategy.</li> <li>5. OPCC budgets/structures 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.</li> <li>6. 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.</li> <li>7. PCC to write to Home Secretary outline Leicestershire Police's financial position.</li> <li>8. PCC to arrange meeting with Policing minister to discuss Leicestershire's financial position.</li> <li>9. Efficiency Savings plan for 2024/25 to be drawn up to close budget gap</li> </ol>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 02/11/22 - New risk – Joint risk with the Force</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 23/12/22 - CEO reviewed - The force and PCC/OPCC are reviewing the Financial and budgetary position for both organisations. The Financial risks are fluid and not clearly understood at this time. There are collective serious concerns about the potential for a budget deficit in the coming years and are being addressed through the budget building process. The PCC will be working with the Force to develop an achievable budget proposal for the PCP</li> </ul>					

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	<p>(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.</p> <p>The oversight of the MTFP is now well established and underpinned with a strong oversight and scrutiny approach with the monthly budget monitoring process.</p> <ul style="list-style-type: none"> <li>➤ 22/03/23 - Reviewed at SMT, the 23/24 budget has been set. The precept was set at £15; the Force has also applied for special aid to ease additional financial pressures created from Op Energy. The OPCC review of structures has concluded and enabled a release of £620k transfer to the Force. There is a £5.8m deficit for 2023/24 which will be met through efficiency savings and use of reserves. Force and OPCC efficiency plan to be drawn up to reduce the deficit for 2023/24 and over the MTFP.</li> <li>➤ 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.</li> <li>➤ 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.</li> <li>➤ 21/01/2024 - Reviewed by Chief Finance Officer. Budget meetings for 2024/25 have commenced and a draft budget proposal complete. Precept scenarios presented to the Commissioner. Police and Crime Panel meeting to take place on 1st Feb 24. Force on track to overachieve their £3.9m efficiency savings target for 2023/24 however a further £5.4m efficiency savings required for 2024/25.</li> <li>➤ 14/02/2024 - New Controls Added. Update provided by CFO - Police and Crime Panel meeting took place in 1st Feb 2024 and £13 precept increase on a Band D property endorsed by the panel. Efficiency plan being drawn up by the force to close the budget gap of £5.4m. PCC wrote to Home Secretary to outline Leicestershire Position in relation to the budget. PCC is in the process of setting up a meeting with the policing minister to lobby for a fairer funding formula.</li> <li>➤ 12/03/2024 - <ul style="list-style-type: none"> <li>Control 1 -CFO changed due date from 31/2/2024 to 1/06/2024.</li> <li>Control 2 - Assumptions reviewed as part of the budget setting process - Budget Report attached to task.</li> <li>Control 7-Letter Sent to the Minster 8th February. reply received 5th March. Efficiency Savings plan to be presented to CGB on 18th March 2024. No change to risk score.</li> <li>Control 8 - Control Owner changed to CEO from CFO</li> <li>Control 9- CFO advised efficiency Savings Plan update to be presented to CGB on 18/03/2024</li> </ul> </li> </ul>
<b>Next Key Date</b>	SMT Meeting

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
02/11/2022	OPCC032	Chief Finance Officer	Chief Finance Officer	12	12	→
<b>Title</b>	<b>Risk of Cyber Attack</b>					
<b>Risk summary</b>	A successful cyber-attack on Leicestershire Police may result in the serious compromise of the confidentiality, integrity and availability of the information systems, services and assets of the force/OPCC, potentially hindering operational effectiveness.					
<b>Information</b>	Attacks can vary in nature and extent such as, malicious software or may include phishing, advanced persistent threats, social engineering and hacking. Attacks may or may not be targeted on the force and may be perpetrated by foreign national governments, terrorists, organised crime groups, hackers or employees. Depending upon the sophistication and scale of attack, there will be varying impacts that may include denial of service, loss or disclosure of information/data and the loss of ability to share information and potentially threatening operational effectiveness leading to harm and reputational damage. There can also be system or application downtime and potential legal consequences. <b>Force Risk:STR0339</b>					
<b>Controls</b>	<ol style="list-style-type: none"> <li>1. Risk being managed by Force. OPCC to have sight of IT Strategy -Define a strategy for IT infrastructure enhancements and updates. Monitored through CGB</li> <li>2. Staff guidance, training and awareness - Staff contacted to not click on links from emails they were not expecting and if in doubt contact Info security or IT, or delete it.</li> <li>3. Cyber security to be included in business continuity plans.</li> <li>4. List of assets and users to be maintained and updated.</li> <li>5. List of all mandatory training undertaken by OPCC Staff including MOPI and cyber security.</li> </ol>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 02/11/22 New Risk – Joint risk with the Force</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 22/03/23 - Reviewed by SMT, Staff Guidance and training to be provided, OPCC to move to O365. Cyber security to be included in business continuity plans. Maintain the list of assets and users.</li> <li>➤ 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.</li> <li>➤ 25/09/23 - Force owned risk. Observing the forces response and controls. Risk reported through the Corporate Governance Board</li> <li>➤ 21/1/2024 No further updates</li> <li>➤ 14/02/2024 - Office looking to move to SailPoint with a view to migrating to O365. Update from force: "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. We remain on track to have this work completed by March 2024, in terms of the roll out. 2 of our staff have now undergone bespoke cyber risk training with the</li> </ul>					

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	<p>SANS institute (market leader) and Head of IM has also completed his. This, combined with the newly launched on-call rota has meant that that we are upskilling our existing staff and our ability to respond to an attack should one occur.</p> <p>Current status: Risk score unchanged at this stage, as work is ongoing. Risk score should fall when all additional controls are in place".</p> <p>➤ 12/03/2024 - No change to Risk. Control 2 deadline for control changed from 1/4/2024 to 1/06/2024 by CFO. New control added Control 5. List of all mandatory training undertaken by OPCC Staff including MOPI and cyber security. Assigned to Policy and Compliance Officer.</p>
<b>Next Key Date</b>	SMT Meeting

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	8	8	→
<b>Title</b>	<b>Failure to meet the General Data Protection Regulations (GDPR)</b>					
<b>Risk summary</b>	The requirements set out under the GDPR legislation are not met and a number of new staff not trained.					
<b>Information</b>	Work needed to ensure the OPCC is GDPR Compliant, a significant amount of work was completed in 2021 however with a number of new starters this needs re-visiting.					
<b>Controls</b>	<ol style="list-style-type: none"> <li>1. Project plan to be developed.</li> <li>2. Resource required to assist with delivery of the project plan.</li> <li>3. Staff training being delivered in bitesize sessions.</li> <li>4. ICO Audit undertaken on OPCC and audit findings being addressed through the project plan in place.</li> <li>5. NCALT training for all staff.</li> <li>6. Internal reviews of compliance to be instigated in line with advice from Information Managers. Self-assessment to be undertaken by the Policy and Compliance Officer.</li> <li>7. Highlight report to SMT quarterly (July, October and January).</li> <li>8. Clear desk policy and security of information policy to be developed at the earliest opportunity.</li> </ol>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 05/10/22 - Reviewed by SMT</li> <li>➤ 09/11/22 - Reviewed by SMT</li> <li>➤ 25/11/22 - NCALT Training provided to New starter which includes GSC and Data Protection Training.</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 22/12/22 CEO will review the current position with the GDPR compliance, the action plan and project and associated risk with the project. Resources will be allocated to this project at the earliest opportunity in Jan 23. The risk score has increased to 16 to reflective this.</li> <li>➤ 22/03/23 - Reviewed at SMT, Action plan and timelines updated, responsible officer changed to Director of Governance and Performance with support from</li> </ul>					



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	<p>the Policy and Compliance Officer. Project plan updated on a bi-weekly basis through team meetings to ensure progress.</p> <ul style="list-style-type: none"><li>➤ 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.</li><li>➤ 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.</li><li>➤ 22/1/2024 Project plan reviewed. Training/videos schedule produced. Likelihood reduced to 2. Overall risk score reduced to 8. Risk score will be reviewed on completion of all the bitesize training. All staff have Data Protection training as part of the induction process.</li><li>➤ 11/3/2024 - Training Videos have been produced being reviewed by Director of G&amp;P. DPIA training video – advice being requested from the Data Protection Officer to advice.</li></ul> <p>ROPA spreadsheet - being reviewed and further work being undertaken in relation to moving to SharePoint and the impact this will have on identifying where "Sensitive" information is stored and where this will be held within SharePoint and the application of the Retention policy. DPO has been contacted and Policy and Compliance officer will work with DPO in achieving the information mapping of files for the OPCC.</p>
<b>Next Key Date</b>	SMT Meeting

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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	8	→
<b>Title</b>	<b>Single Source of Failure - Chief Finance Officer</b>					
<b>Risk summary</b>	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.					
<b>Information</b>	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					
<b>Controls</b>	<ol style="list-style-type: none"> <li>1. Recruit Assistant Accountant.</li> <li>2. ACO (Finance) is contingency for periods of absence/urgent decisions in CFO absence.</li> <li>3. Seek alternative contingency measures (regional CFO support).</li> </ol>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 16/10/23 – New Risk Identified</li> <li>➤ 21/01/2024 - Assistant Accountant has been recruited and due to commence in post February.</li> <li>➤ 14/02/2024 - Additional Support is now in the office for budget monitoring and financial support. No Section 151 officer in the office but Force ACO (Finance) for any urgent decision in the absence of the CFO.</li> <li>➤ 12/03/2024 - No Change to Risk Score</li> </ul> <p>Control 2- Due date changed from 31/12/2023 to 01/06/2024. Control 3 - Control Owner - changed to CEO from CFO</p>					
<b>Next Key Date</b>	SMT Meeting					

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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	8	→
<b>Title</b>	<b>Arrangements in place do not secure efficient and effective police service</b>					
<b>Risk summary</b>	Risk that arrangements are not in place resulting in an inefficient and ineffective police force. This would have financial and reputational impact.					
<b>Information</b>	Financial Arrangements not in place to ensure value for money, efficiency and overall financial resilience.					
	<ol style="list-style-type: none"> <li>1. Financial Reporting at CGB.</li> <li>2. Regular Financial Monitoring from Force.</li> <li>3. VFM Scrutiny.</li> <li>4. Annual Governance Statements.</li> <li>5. Governance Arrangements between PCC and Force.</li> <li>6. Regular Meetings between ACO and CFO.</li> <li>7. Review Cipfa Financial Resilience.</li> <li>8. Finance Strategy reviewed.</li> </ol>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 16/10/23 – New Risk Identified</li> <li>➤ 21/01/2024 - Corporate Governance Framework and financial regs have been reviewed and updated which sets out the governance arrangements. MOU between the OPCC and the Force has been agreed at Corporate Governance Board in November 2023.</li> <li>➤ 4/02/2024 - Regular monitoring reports from the force and meetings between the CFOs. PCCCFO scrutinise the force budget as part of budget setting process. External Audit currently undertaking VFM work even though ongoing delays in the External Audit.</li> <li>➤ 2/03/2024 - No change to Risk Score. Control 3- CFO reviewed and scrutinised the VFM and will do so over the course of the next six months. Control 5- MOU signed off at CGF in November. Amendments made and due to be presented for sign off at CGB on 18th March 2024. Changes made to CGF and will be submitted to CGB on 18th March 2024 for sign off. Control 8 - CFO changed due date from 1/4/2024 to 01/06/2024</li> </ul>					
<b>Next Key Date</b>	SMT Meeting					

**Appendix C: Risks Downgraded to Operational 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	6	↓
<b>Title</b>	<b>Wider sustainability of the Violence Reduction Network</b>					
<b>Risk summary</b>	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.					
<b>Information</b>	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.					
<b>Controls</b>	<ol style="list-style-type: none"> <li>1. Draw internal business case relating to the OPCC funding core functions including staff.</li> <li>2. Draw up sustainability plan including not just financial but also cultural and partnership sustainability.</li> <li>3. Liaise with Home Office to understand government plans around future funding.</li> <li>4. Raise the agenda of the VRN with central government and lobby for future funding.</li> <li>5. To provide summary of effective interventions with funding amount and duration to Director of Commissioning and SMAT and for forward sharing with SPB. To also be added to SPB risk register to secure partnership ownership.</li> </ol>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 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.</li> <li>➤ 21/06/23 - New risk and controls agreed at SMT.</li> <li>➤ 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.</li> <li>➤ 23/1/2024 - Update by Temp Head of Delivery/Programme Manager - 5/7/23 EXE0026-23 Decision record signed off - It was recommended that the VRN is funded from the Commissioning budget. This would result in an increase in the Commissioning budget of approximately £310k for 2025/26.</li> <li>➤ <b>Control:</b> To provide summary of effective interventions with funding amount and duration to Director of Commissioning and SMAT and for forward sharing with SPB. To also be added to SPB risk register to secure partnership ownership- Managed email sent to Director of Strategy, Partnerships and Commissioning on the 20/12/23.</li> </ul> <p>No change in the overall risks score</p>					

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	<ul style="list-style-type: none"> <li>➤ 4/02/2024 - Verbal update from MG no change</li> <li>➤ 2/03/2024 - Control 1. Internal Business Case. This is showing as completed. A business case was submitted to the temp CEO and the PCC last year and it was agreed the costs of the team and an operating budget would be underwritten by 12 months after any end to funding. This is captured in a decision-record.</li> <li>➤ Control 2. Sustainability Plan. The Home Office have commissioned Crest Advisory to develop a toolkit for VRUs to develop sustainability plans. We are awaiting this and then Grace will meet with Claire and Kira (and then core members) to develop a local plan which builds on the decision referred to in the internal business case risk.</li> <li>➤ Control 3-Liaise with Home Office. Millie and Grace continue to meet with the Home Office and attend national events wherein enquiries are made re funding plans. Further investment in VRUs was announced in the budget but it is for 75K over 3 years (half the value of current funding) and is dependent on the spending review. Control measure remains.</li> <li>➤ Control 5-The funding amounts of all VRN interventions have been compiled and shared with Director of Commissioning. All HO funded interventions for the VRN have an end date of 3/25.</li> <li>➤ <b>12/03/2024 - CEO and CFO proposed to downgrade to an operational risk.</b></li> </ul>
<p><b>Next Key Date</b></p>	<p>SMT Meeting</p>

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
29/03/2023	OPCC037	Chief Executive	Chief Finance Officer	3	3	→
<b>Title</b>	<b>Failure to adhere to our own governance standards.</b>					
<b>Risk summary</b>	The PCC and his staff fail to follow the principles of good governance or adhere to the principles and processes set out in the Corporate Governance Framework. Failure to comply could result in serious financial, legal or reputational damage.					
<b>Controls</b>	<ol style="list-style-type: none"> <li>1. Recruitment of Statutory Officers.</li> <li>2. Review of Corporate Governance Framework.</li> <li>3. Implementation of Internal Audit Plans.</li> <li>4. Implementation of External Audit Plans.</li> <li>5. Implementation of Risk Delivery Plan.</li> <li>6. Annual Reports and Statutory Accounting.</li> <li>7. JARAP Oversight.</li> </ol>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 16/07/2023 - Corporate Governance Framework is under review. Internal Audit plan for 2023/24 has been agreed. CEO has been recruited and due to start in September. The CFO recruitment process is underway and interview due to take place at the end of July. Risk management processes and procedures are being embedded within the OPCC.</li> <li>➤ 15/10/2023 - Corporate Governance Framework has been drafted and undergoing consultation with the Force. Chief Finance Officer has been recruited and confirmed by Police and Crime Panel. Chief Executive has commenced employment. Ongoing delays with External Audit for 2021/22 and 2022/23 Statutory accounts.</li> <li>➤ 21/01/2024- Corporate Governance Framework has been reviewed and approved at Corporate Governance Board in November 2023. Propose reducing likelihood score to 1.</li> <li>➤ 24/01/2024 SMT agreed to reduce the score.</li> <li>➤ 08/02/2024 - CEO No Change maintain as a strategic risk.</li> <li>➤ 12/03/2024 - Downgrade to operational Finance risk register Control 3 - IA Plan 2023/24 attached to task. Control 4 - Ongoing delays with External Audit due to backlog nationally. Awaiting guidance from ministers. Grant Thornton have engaged to commence the 2023/24 external Audit. Due Date changed to 01/06/2024 from 1/4/2024. Control 5 - Risk Action Plan implemented for 2023/24. Progress made against the delivery of the plan. Delivery plan reviewed quarterly. Control 6 - Draft Statutory Accounts for 2022/23 uploaded to the OPCC website including Annual Governance Statement. Delays ongoing with External Audit - awaiting ministerial guidance regarding reduce the backlog of audits nationally. Control 7 - Terms of reference due to be reviewed in March 2024 and tabled at JARAP in April. Due Date changed to 30/04/2024</li> </ul>					
<b>Next Key Date</b>	SMT Meeting					

## Appendix D: Risk Scoring Matrix

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

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

Overall Risk Score

<b>Likelihood Score</b>	Very High	4	4 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
			<b>Impact Score</b>			



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**Appendix E: Redacted Risks (for JARAP members only)**

## Appendix G: Risk Action Plan

Ref	Action	Description	Lead	Priority	Status	Time Frame	Update
12	Development of People Strategy	The development of a People Strategy to ensure the organisation is progressive, modern, and culturally aligned to our vision and Police and Crime Plan	Chief Executive	High	In Progress	Jul-23	<p><b>Apr-23</b> - PDR system is being developed. People strategy grouped into 4 sections - first section has been completed and reviewed by SMT. Other 3 areas will be completed by end of April 23. Hybrid working policy will be implemented from 1st April 23. Staff Survey conducted by Tensense. Results are yet to be analysed.</p> <p><b>Jul-23</b> - PDR system complete and all members of staff have a PDR in place. HR policies still being reviewed. Results of the Tensense survey have been analysed. Hybrid working policy implemented.</p>

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14	Development of Performance Framework	The development of an organisational performance framework in line with my ambition to be as strong with internal governance as we have become with the force Corporate Governance Structure	Director of Strategy, Commissioning and Partnerships	Medium	In Progress	Sep-23	<p><b>Apr-23</b> - Performance Framework for holding force to account has been implemented. Performance framework for commissioned service in the process of being defined.</p> <p><b>Jul-23</b> - Commissioning processes currently being reviewed by external consultant. Commissioning framework still to be implemented.</p> <p><b>Jan-24</b> - Performance framework currently being imbedded. Dashboard have been built and sent out to commissioned services in order to monitor their performance against the police and crime plan objectives.</p> <p><b>Apr-24</b> – Performance dashboards have been sent to Commissioned services and will be incorporated into monthly and quarterly monitoring meetings.</p>
18	Force and OPCC joint risks	Attendance at the Force Organisational risk board.	Chief Finance Officer	High	Completed	Aug-23	<p><b>Apr-23</b> - CFO (or suitable representative) to attend the forces Organisational Risk Board to capture joint risks.</p> <p><b>Jul-23</b> - CFO has requested invite for the next ORB meeting.</p> <p><b>Jan-24</b> - Either CFO or Policy and Compliance officer attends force risk board.</p> <p><b>Apr-24</b> – CFO attended the last SORB and invited to future meetings.</p>

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17	Briefings to PCC on risks	Provide regular briefings to the PCC on the risks within the OPCC including the action plans to mitigate risk.	Chief Finance Officer	High	Completed	Ongoing	<p><b>Apr-23</b> - Reinstate SMT after the SMT Business meeting to update the PCC and DPCC on OPCC risks including risk action plan.</p> <p><b>Jul-23</b> - Updates provided to the PCC by the CEO on matters raised during SMT including risk.</p> <p><b>Jan-24</b> - New SMT meeting structure embedded from January and dedicated meetings on Finance and Risk. Briefings to be provide to PCC after each meeting on the Strategic risks.</p>
1	CEO attendance at JARAP	Attendance of the CEO at the JARAP to reinforce our commitment to scrutiny and provide reassurance of the organisational progress	Chief Executive	High	Completed	Ongoing	<p><b>Apr-23</b> - Previous CEO attended JARAP in January. The current CEO is due to attend the April meeting.</p> <p><b>Jul-23</b> - CEO attended meeting in April and is schedule to attend the next meeting in August. CEO has regular meetings with the chair of JARAP.</p>

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2	New approach to risk	Updated version of the risk registers with a refreshed review of organisational risk	Chief Executive	High	Completed	Ongoing	<p><b>Apr-23</b> - All risks reviewed, risk register updated with risk score and responsible officer. Risk embedded into SMT business agenda. Dedicated risk lead identified to manage organisational risk in the OPCC.</p> <p><b>Jul-23</b> - Risk Register continues to be updated on a regular basis and is a standin agenda item at OPCC SMT meeting.</p>
3	Departmental /Operational risk registers	Departmental risk registers aligned to organisational work streams	Chief Finance Officer	High	Completed	Aug-23	<p><b>Apr-23</b> - Departmental risk registers established for VRN, People Zones, Commissioning and Comms. Risk register still to be put into place for governance, performance and finance.</p> <p><b>Jul-23</b> - Performance and Governance risk register in place. Finance risk register to still be implemented. Risk is on the agenda at individual team meetings and updated regularly. Risks escalated through SMT.</p> <p><b>Jan-24</b> - Risk Register expanded to contain Strategic, Organisation and operational risks. Combined into one risk register with option to filter on the rights level. All workstreams are captured in the new risk register including, Governance, Performance, Finance, Communications, Commissioning and Partnerships.</p>

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4	Review of Risk Scores	A review and refresh to the current risk scores	Chief Finance Officer	High	Completed	Ongoing	<p><b>Apr-23</b> - Risk Register last reviewed at SMT business meeting on 22nd March 2023.</p> <p><b>Jul-23</b> - Risk continue to be reviewed and discussed at SMT. Individual managers have ownership of risks and controls. Controls log to be put in place to monitor the implementation of controls and mitigations</p>
5	SMT Update	An update by the CEO and other members of the SMT of each specific risk	Chief Executive	High	Completed	Ongoing	<p><b>Apr-23</b> - Risk Register reviewed at SMT business meeting on 22nd March 2023. Regular meetings scheduled into the SMT diaries to discuss individually assigned risks and progress against controls.</p> <p><b>Jul-23</b> - Risk is standing item on the SMT agenda. Regular meetings scheduled with risk owners. Risk policy recently reviewed and update to scoring matrix.</p>
6	Review of Risk owners/Responsible Officers	A review and refresh of the risk owners and the responsible officers	Chief Executive	High	Completed	Jan-23	<p><b>Apr-23</b> - Risk owners and responsible owners reviewed and updated in line with new leadership roles.</p>

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7	Introduction of formal processes	The introduction of formal processes through the senior management team meetings to maintain focus and scrutiny	Chief Executive	High	Completed	Ongoing	<b>Apr-23</b> - Risk is a standing agenda item on the SMT business meeting each week to capture any new risks. Risk Register is presented to SMT business meeting monthly. <b>Jul-23</b> - Risk Management policy reviewed at SMT. Change to risk scoring matrix. Last update by SMT was 16th July.
8	Staff Briefing	A briefing session for staff to raise awareness of organisational risk	Chief Executive	High	Completed	Jun-23	<b>Jul-23</b> - Session provided at the OPCC team meeting by the Force's Health, Safety and Risk Advisor on 14th June. Covered strategic risks and the risk register. Follow up session provided by the OPCC Policy and Compliance officer on 12th July.
9	Commissioning Strategy	The delivery and strong oversight of the Commissioning Strategy which will be reported upon to the Police and Crime Panel in June 2023.	Director of Strategy, Commissioning and Partnerships	Medium	Completed	Jun-23	<b>Apr-23</b> - Commissioning Strategy completed and presented to Police and Crime Panel in Dec 2022. Commissioning team implementing and delivering against the strategy. Commissioning Audit - Satisfactory Assurance. Commissioning briefing can be provided to JARAP if required.

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10	Review of Leadership roles	A review of leadership roles has been conducted within the Office of Police and Crime Commissioner	Chief Executive	High	Completed	Aug-23	<p><b>Apr-23</b> - Leadership roles have been reviewed and new structure in place. New roles being finalised with HR and fully implemented.</p> <p><b>Jul-23</b> - Structure is implemented and majority of the leadership roles have been finalised. New CEO due to start in September and interview for the CFO role is end of July.</p> <p><b>Jan-24</b> - New CEO in place and risk management framework implemented into the SMT governance structure. Dedicated SMT meeting each month for Finance and Risk.</p>
11	Review of CGF	A review of the Corporate Governance Framework including the scheme of consent and delegation in response to a new Chief Constable taking office and the introduction of the new Deputy Police and Crime Commissioner	Chief Executive/ Chief Finance Officer	High	Completed	Aug-23	<p><b>Apr-23</b> - Review of the CGF in progress. First draft completed and being reviewed.</p> <p><b>Jul-23</b> - PCC has been briefed on the updated CGF. Due to go to the Force for consultation in July. Will be circulated to legal and JARAP in due course.</p> <p><b>Jan-24</b> - Corporate Governance Framework has been reviewed and signed off at CGB in Nov-23. CGF will be presented at JARAP in Jan-24</p>



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13	Development of Organisational Policies	The development of organisational policies which were hitherto non-existent	Director of Governance and Performance	High	Completed	Jul-23	<p><b>Apr-23</b> - External consultant has been sourced to review all OPCC Hr policies and redraft to be fit for purpose. Work expected to commence in April 23.</p> <p><b>Jul-23</b> - HR policies still undergoing review.</p> <p><b>Jan-24</b> - Review of policies brought back in house and reviewed by HR. Policies to be presented to JNCC for final sign off. Risk Management policy to be reviewed in May-24</p>
15	Risk Lead	Identify Risk Lead in the OPCC	Chief Executive	High	Completed	Mar-23	<p><b>Apr-23</b> - Chief Finance Officer identified as risk lead for the OPCC</p>
16	Risk Management Training	Provide risk management training to OPCC risk lead.	Chief Finance Officer	High	Completed	Aug-23	<p><b>Apr-23</b> - CFO seeking relevant risk management training and will book on an appropriate course.</p> <p><b>Jul-23</b> - Training course identified. Training needs analysis for OPCC in process of being undertaken. Training can be booked once needs analysis has been completed.</p> <p><b>Jan-24</b> - CFO attended risk in the Boardroom training course in Dec-23</p>

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