

**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	WEDNESDAY 31ST JANUARY 2024
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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 22 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. 11 risks are currently rated as 'High' priority. These risks are detailed at Appendix B.

Closed risks

6. There are 4 risks proposed to be closed and 2 risks downgraded to operational risk in Appendix D.

Changes in risk score

7. 8 changes to the Risk Score shown by the direction of travel column in Appendix A (including those risks that will be downgraded or closed).

New risk

8. There are 1 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)

Appendix G: 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	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	21/01/2024	16	16	→
OPCC007	Chief Executive	Partner Relationships deteriorate as a result of a change in strategic direction	High	Very High	Controls Tasked	30/08/2018	22/01/2024	12	12	→
OPCC032	Chief Finance Officer	Risk of Cyber Attack	Very High	Likely	Controls Tasked	02/11/2022	21/1/2024	12	12	→
OPCC038	Head of Communications	Impact on public trust and confidence arising from negative national coverage	High	Likely	Controls Tasked	29/03/2023	24/1/2024	9	9	→
OPCC040	Director of VRN	Wider sustainability of the Violence Reduction Network	High	Likely	Controls Tasked	15/06/2023	23/01/2024	9	9	→
OPCC062	Chief Executive	REDACTED	High	Likely	Controls Tasked	04/08/2023	22/01/2024	16	9	↓
OPCC077	Chief Executive Officer	REDACTED	High	Likely	Controls Tasked	15/10/2023	22/01/2024	9	9	→
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			9	New

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OPCC014	Chief Executive	Failure to meet the General Data Protection Regulations (GDPR)	Very High	Possible	Controls Tasked	30/8/2018	23/01/2024	12	8	↓
OPCC070	Chief Finance Officer	Single Source of Failure – Chief Finance Officer	Very High	Possible	Managed	15/10/2023	21/01/2024	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	21/01/2024	8	8	→
OPCC017	Chief Executive	Provider failure or poor performance	Very High	Possible	Controls Tasked	30/11/2020	22/01/2024	8	6	↓
OPCC020	Chief Executive	Police and Crime Plan commitments not delivered	High	Possible	Controls Tasked	30/08/2018	23/01/2024	9	6	↓
OPCC027	Chief Executive	Job Evaluation Scheme - Hay Review	Medium	Likely	Controls Tasked	07/06/2022	13/06/2023	6	6	→
OPCC029	Chief Executive	Delays in service provision due to pressures on the Commissioning and Procurement teams leading to delays in the tendering process, reputational issues.	High	Possible	Controls Tasked	06/07/2022	22/01/2024	8	6	↓
OPCC059	Chief Finance Officer	Staff Shortages within the Commissioning Team	High	Possible	Controls Tasked	04/08/2023	22/01/2024	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	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	→
OPCC056	Chief Executive	Inefficient working relationship with the Force	Very High	Rare	Controls Tasked	19/05/2023	13/10/2023	8	4	↓

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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	→
OPCC035	Chief Finance Officer	Risk of an information security breach when staff are WFH	High	Rare	Managed	02/11/2022	21/01/2024	3	3	→
OPCC037	Chief Executive	Failure to adhere to our own governance standards	High	Rare	Controls Tasked	29/03/2023	21/01/2024	6	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. <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>					

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	<ul style="list-style-type: none">➤ 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.➤ 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.➤ 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.
Next Key Date	January 2024 – 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 too 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. 					

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	<p>➤ 22/1/2024 - Control Owner changed to Director of Strategy, Partnership and Commissioning</p> <p>Partnership Governance will be monitored through SPB Executive managed by the Director of Strategy, Partnerships and Commissioning.</p> <p>In terms of CSP funding the relationship risk needs to be monitored and a review of allocation/ funding distribution to be implemented.</p> <p>All funded partnerships/contracts and funded projects all have SPOCs assigned to them. Work is continuing on identifying SPOCs for non-funded partnerships - new deadline 31/3/24.</p> <p>Unchanged risk score.</p>
Next Key Date	January 2024 – Review by JARAP

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 					

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	➤ 21/1/2024 No further updates
Next Key Date	January 2024 – Review by JARAP

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. ➤ 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. ➤ Control: 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. <p>No change in the overall risks score</p>					
Next Key Date	January 2024 – 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	8	↓
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 					

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	<ul style="list-style-type: none"> ➤ 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. ➤ 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.
Next Key Date	January 2024 – 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	8	→
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	<ul style="list-style-type: none"> ➤ 16/10/23 – New Risk Identified ➤ 21/01/2024 - Assistant Accountant has been recruited and due to commence in post February. 					
Next Key Date	January 2024 – 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	8	→
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	<ul style="list-style-type: none"> ➤ 16/10/23 – New Risk Identified ➤ 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. 					
Next Key Date	January 2024 – 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
26/10/2023	OPCC078	Chief Executive Officer	Chief Executive Officer	-	9	New Risk
Title	Change in PCC and direction of travel following PCC elections					
Risk summary	Potential change in PCC could lead to a change in direction of travel with regards the Police and Crime Plan. Thus, potentially impacting on funding, partnerships, and team stability.					
Information	PCC elections to be held in May 2024 -SMT to approve risk description, risk score and controls. Identified by the Election Project meeting and project plan.					
Controls	<ul style="list-style-type: none"> • Election project plan in place • Plan for CEO to have regular meetings with potential candidates. • Horizon scanning in place • Business Continuity plan in place • Developing a training programme to enable multi- skilling of OPCC staff. • To create a suite of video training package's role/specific processes and procedures • Creating an OPCC Procedural Manual (SOP) for all the roles/tasks in the OPCC 					
Latest Update	➤ 26/10/23 – New Risk Identified - CEO provided JARAP with confirmation that the election risks would be captured on the OPCC risk register.					
Next Key Date	January 2024 – Review by JARAP					

Appendix D: Risks Closed

Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
02/11/2022	OPCC033	Chief Executive Officer	Director of Governance and Performance	3	3	→
Title	Muscular-skeletal injury due to staff working for significant periods of time					
Risk summary	The OPCC's Hybrid Policy allows staff to work from home two days a week. There are significant risks from working from home relating to their working environment despite the clear benefits for staff.					
Information	The OPCC's Hybrid Policy allows staff to work from home two days a week. There are significant risks from working from home relating to their working environment despite the clear benefits for staff.					
Controls	<ul style="list-style-type: none"> • NCALT training package • Staff allowed to take additional equipment home if permitted by their manager following a Risk Assessment • Information for managers regarding remotely managing staff. • Home working advice provided to staff. • Staff with poor DSE home set ups can come into force premises to work • Manager to refresh DSE assessments in line with the new hybrid working policy. • Home working advice to be included in hybrid working policy 					
Latest Update	<ul style="list-style-type: none"> ➤ 30/11/2022 - Reviewed by SMT ➤ 23/12/2022 CEO reviewed -This risk will be aligned to the introduction of the hybrid working policy and once the policy has been formalised through SMT each of the control risks will be addressed. ➤ 22/03/2023 - Reviewed by SMT, no instance of MSD within OPCC ➤ 23/1/24 DSE compliance monitoring is in place, all actions and recommendations - Move to operational risk ➤ 24/1/24 SMT agreed to close risk. 					
Next Key Date	January 2024 – 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. ➤ 24/1/24 SMT reviewed this risk and discussed how the local PCC could have any control /impact on the output of any negative national media coverage. As, such SMT agreed to close this risk with a view to creating a more locally relevant risk. 					
Next Key Date	January 2024 – Review by JARAP					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
04/08/2023	OPCC059	Director of Strategy, Partnership and Commissioning	Director of Strategy, Partnership and Commissioning	9	6	↓
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	<ul style="list-style-type: none"> ➤ 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. ➤ 22/1/24- 3 Controls implemented - 1 change in deadline and 1 new control added to manage continuity of staff. Likelihood changed to 2 overscore 6 - transfer to an operational risk rather than a Strategic Risk ➤ 24/1/2024 Discussed at SMT agreed to close risk as there is now only 1 vacancy to fill. Changed Risk Owner and Responsible officer to Director of Strategy, Partnership and Commissioning. 					
Next Key Date	January 2024 – Review by JARAP					

OPCC077	Chief Executive	REDACTED- Closed
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Risks to be downgraded to operational risk.

Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
30/8/2018	OPCC017	Chief Executive	Director of Strategy, Partnership and Commissioning	8	6	↓
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. ➤ 22/01/2024 - Responsible Officer changed to Director of Strategy, Partnership and Commissioning. <p>Strong governance arrangements are in place with regards to the major contracts which are issued. SPOCs are in place for each contract. Further controls in place are a revised Contract register, Contract management meetings in place, qtrly monitoring, Escalation process in place.</p>					

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	<p>Control -Requirement to provide monitoring information and how the funds have been used from all recipients of Commissioning funding. (Accountability and due Diligence) Overarching monitoring process in place - qtrly unless identified as a potential risk in which will be escalated through the escalation process.</p> <p>Impact changed to 3 overall score changed to 6 - potential to be considered as an operational risk by SMT.</p> <p>➤ 24/1/24 SMT Approved to move to operational risk.</p>
Next Key Date	January 2024 – 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	Director of Strategy, Partnership and Commissioning	8	6	↓
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. 					

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	<ul style="list-style-type: none">➤ 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.➤ 2/1/2024 - Change in Responsible Officer to Director of Strategy, Partnerships and Commissioning-Majority of the controls have been managed or controlled - impact reduced to 3 overall score reduced to 6. Possibility risk to be moved to an operational risk to be discussed at SMT meeting 24/1/24.➤ 24/1/24 Approved at SMT
Next Key Date	January 2024 – Review by JARAP

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			

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Appendix F: 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>Apr-23 - 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>Jul-23 - 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>Apr-23 - Performance Framework for holding force to account has been implemented. Performance framework for commissioned service in the process of being defined.</p> <p>Jul-23 - Commissioning processes currently being reviewed by external consultant. Commissioning framework still to be implemented.</p> <p>Jan-24 - 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>
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	In Progress	Ongoing	<p>Apr-23 - Reinstate SMT after the SMT Business meeting to update the PCC and DPCC on OPCC risks including risk action plan.</p> <p>Jul-23 - Updates provided to the PCC by the CEO on matters raised during SMT including risk.</p> <p>Jan-24 - 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>

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18	Force and OPCC joint risks	Attendance at the Force Organisational risk board.	Chief Finance Officer	High	In Progress	Aug-23	<p>Apr-23 - CFO (or suitable representative) to attend the forces Organisational Risk Board to capture joint risks.</p> <p>Jul-23 - CFO has requested invite for the next ORB meeting.</p> <p>Jan-24 - Either CFO or Policy and Compliance officer attends force risk board.</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>Apr-23 - Previous CEO attended JARAP in January. The current CEO is due to attend the April meeting.</p> <p>Jul-23 - 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>
2	New approach to risk	Updated version of the risk registers with a refreshed review of organisational risk	Chief Executive	High	Completed	Ongoing	<p>Apr-23 - 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>Jul-23 - Risk Register continues to be updated on a regular basis and is a standin agenda item at OPCC SMT meeting.</p>

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3	Departmental /Operational risk registers	Departmental risk registers aligned to organisational work streams	Chief Finance Officer	High	Completed	Aug-23	<p>Apr-23 - 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>Jul-23 - 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>Jan-24 - 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>
4	Review of Risk Scores	A review and refresh to the current risk scores	Chief Finance Officer	High	Completed	Ongoing	<p>Apr-23 - Risk Register last reviewed at SMT business meeting on 22nd March 2023.</p> <p>Jul-23 - 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>

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5	SMT Update	An update by the CEO and other members of the SMT of each specific risk	Chief Executive	High	Completed	Ongoing	<p>Apr-23 - 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>Jul-23 - 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>Apr-23 - Risk owners and responsible owners reviewed and updated in line with new leadership roles.</p>
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	<p>Apr-23 - 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.</p> <p>Jul-23 - Risk Management policy reviewed at SMT. Change to risk scoring matrix. Last update by SMT was 16th July.</p>

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8	Staff Briefing	A briefing session for staff to raise awareness of organisational risk	Chief Executive	High	Completed	Jun-23	Jul-23 - 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	Apr-23 - 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.
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	Apr-23 - Leadership roles have been reviewed and new structure in place. New roles being finalised with HR and fully implemented. Jul-23 - 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. Jan-24 - New CEO in place and risk management framework implemented into the SMT governance structure. Dedicated SMT meeting each month for Finance and Risk.

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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>Apr-23 - Review of the CGF in progress. First draft completed and being reviewed.</p> <p>Jul-23 - 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>Jan-24 - Corporate Governance Framework has been reviewed and signed off at CGB in Nov-23. CGF will be presented at JARAP in Jan-24</p>
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>Apr-23 - 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>Jul-23 - HR policies still undergoing review.</p> <p>Jan-24 - 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>

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15	Risk Lead	Identify Risk Lead in the OPCC	Chief Executive	High	Completed	Mar-23	Apr-23 - Chief Finance Officer identified as risk lead for the OPCC
16	Risk Management Training	Provide risk management training to OPCC risk lead.	Chief Finance Officer	High	Completed	Aug-23	<p>Apr-23 - CFO seeking relevant risk management training and will book on an appropriate course.</p> <p>Jul-23 - 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>Jan-24 - CFO attended risk in the Boardroom training course in Dec-23</p>