

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

Paper
Marked

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Report of **OFFICES OF POLICE AND CRIME COMMISSIONER**

Subject **POLICE AND CRIME COMMISSIONER RISK REGISTER**

Date **THURSDAY 13th FEBRUARY 2025**

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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 since the last report.

Recommendation

2. The panel is recommended to review the contents of this report and the updates provided within.

Summary

3. There are currently 12 live strategic risks on the OPCC risk register. See Appendix A
4. There are also 8 live operational risks on the OPCC risk register.

High Risks

5. 3 risks are currently rated as 'High' priority. These risks are detailed at Appendix B.

Closed risks

6. There are 2 risks proposed to be closed. These risks are detailed at Appendix C.

Changes in risk score

7. 2 changes to the risk score shown by the direction of travel column in Appendix A.

New risk

8. 1 new risk since the last JARAP.

Risk Grading Criteria

9. 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.
10. All risks are scored on the new ascending scale of 1 – 5 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.

Likelihood Score	Almost Certain to occur.	5	5 Low	10 Major	15 Major	20 Critical	25 Critical
	Probably/Likely	4	4 Low	8 Moderate	12 Major	16 Critical	20 Critical
	Possible	3	3 Low	6 Low	9 Major	12 Major	15 Major
	Unlikely	2	2 Low	4 Low	6 Low	8 Moderate	10 Major
	Very Unlikely/Rare	1	1 Low	2 Low	3 Low	4 Low	5 Low
			1	2	3	4	5
			Very Low	Low	Medium	High	Very High
			Impact Score				

Risk Status

11. 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

Appendix D: Risk Scoring Matrix

Appendix E: 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	Probable	Controls Tasked	02/11/2022	15/01/2025	16	20	20	→
OPCC080	Chief Finance Officer	Loss or reduction in funding streams from the Home Office/	Very High	Probable	Controls Tasked	14/08/2024	15/01/2025	16	20	20	→
OPCC032	Chief Finance Officer	Risk of Cyber Attack	High	Probable	Controls Tasked	02/11/2022	15/01/2025	12	8	16	↑
OPCC082	Chief Finance Officer	External Audit risk of prior period errors	Very High	Possible	Controls Tasked	13/12/2024	15/01/2025	25	N/A	15	New
OPCC073	Chief Finance Officer	Arrangements in place do not secure efficient and effective police service	High	Unlikely	Controls Tasked	15/10/2023	15/01/2025	8	8	8	→
OPCC014	Chief Executive	Failure to meet the General Data Protection Regulations (GDPR)	Low	Possible	Controls Tasked	30/8/2018	15/01/2025	16	4	6	↑
OPCC056	Chief Executive	Inefficient working relationship with the Force	Medium	Unlikely	Controls Tasked	19/05/2023	15/01/2025	8	6	6	→
OPCC070	Chief Finance Officer	Single Source of Failure – Chief Finance Officer	High	Very Unlikely	Controls Tasked	15/10/2023	15/01/2025	8	4	4	→
OPCC020	Chief Executive	Police and Crime Plan commitments not delivered	Medium	Very Unlikely	Controls Tasked	30/08/2018	15/01/2025	16	3	3	→

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OPCC021	Chief Executive	Values in the workplace Historic cultural issues may result in poor organisational morale.	Very Low	Possible	Controls Tasked	04/11/2021	15/01/2025	8	3	3	→
OPCC027	Chief Executive	Job Evaluation Scheme - Hay Review	Very Low	Possible	Controls Tasked	07/06/2022	20/11/2024	16	3	3	→
OPCC007	Chief Executive	Partner Relationships deteriorate as a result of a change in strategic direction	Very Low	Unlikely	Controls Tasked	30/08/2018	20/11/2024	12	2	2	→

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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	20	20	→
Title	The Financial Challenge 2022/23 -2025/26					
Risk summary	The overall MTFP position has deteriorated. Current assumptions indicate the MTFP will not balance through to 2026 and the use of reserves and identification of efficiency savings will be required from 2023/24 onwards					
Information	The announcement of the police staff pay award, will significantly increase pay inflation cost pressures across the MTFP period 2022/26. The Force is also experiencing higher than forecast non-pay inflation and considerable unbudgeted costs in relation to Op Energy. Uncertainty now exists around whether the 3-year Settlement for 2022/25 will be honoured, which includes the potential for PCCs to raise Band D precept by £15 for 2023/24. Force Risk: ST0278					
Controls	<ul style="list-style-type: none"> • Strategy and oversight - MTFP/Financial Strategy and the ongoing oversight provided by OPCC CFO/ Assistant Chief Officer (Finance and Resources) • Budget review -The PCC has requested the MTFP core assumptions be reviewed in order to balance the budget over the medium term, reduce reliance on the use of reserves, and increase the overall balance of reserves. • The operation requirements for both the PCC and Force will be reviewed in light of the new and emerging financial picture. Therefore, a series of meeting are being planned to ensure that the operational demand is aligned to the finances available. • The OPCC will review the commissioning budget and ensure that it is aligned to the commissioning strategy. • OPCC budgets/structures so will be reviewed to ensure that they are streamlined and provide value for money. • Force and OPCC efficiency savings plan to be drawn up for 2023/24. • NEW CONTROL - Budget build for 2024/25 and MTFP review for future years to be undertaken - including scenario planning, review of current assumptions, identifying efficiencies and moving to a sustainable position. 					
Latest Update	<ul style="list-style-type: none"> ➤ 02/11/22 - New risk – Joint risk with the Force ➤ 30/11/22 - Reviewed by SMT ➤ 23/12/22 - CEO reviewed - The force and PCC/OPCC are reviewing the Financial and budgetary position for both organisations. The Financial risks are fluid and not clearly understood at this time. There are collective serious concerns about the potential for a budget deficit in the coming years and are being addressed through the budget building process. The PCC will be working with the Force to develop an achievable budget proposal for the PCP (1/2/2023). The MTFP will be developed to provide a longer-term oversight of the financial position and will be published in due course. Consultation is currently being undertaken with the public regarding the precept levels (Council Tax) and will be reported on in due course. The oversight of the MTFP is now well established and underpinned with a strong oversight and scrutiny approach with the monthly budget monitoring process. ➤ 22/03/23 - Reviewed at SMT, the 23/24 budget has been set. The precept was set at £15; the Force has also applied for special aid to ease additional 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 					

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£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.
- 14/02/2024 - New Controls Added. Update provided by CFO - Police and Crime Panel meeting took place on 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.
- 12/03/2024 - Control 1 -CFO changed due date from 31/2/2024 to 1/06/2024.
Control 2 - Assumptions reviewed as part of the budget setting process - Budget Report attached to task.
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.
Control 8 - Control Owner changed to CEO from CFO
Control 9- CFO advised efficiency Savings Plan update to be presented to CGB on 18/03/2024.
- 11/4/2024 CFO reviewed no change.
- 15/05/2024 - SMT reviewed.
- 03/06/2024 - Control 5 -Each area of the OPCC is undertaking a workforce planning exercise to ensure each area is running effectively as possible with the right roles in place and ensures value for money.
Control 8 - Assigned to CEO as requested by CFO.
Control 9-Sustainability plan presented to Corporate Governance Board on 30th May 2024. Force making progress towards closing the budget gap for 2024/25. Update to be brought back to CGB on 30th July 2024 on how the force plan to close the gap for 2024/25 and show sustainable savings into 2025/26.
- 20/6/2024 - SMT reviewed.
- 09/07/2024 No Change
- 09/08/2024- Control 9 -Force presented a sustainability plan at corporate Governance Board on 30th July 2024 stating how they plan on closing the gap and sustainable saving going into 2025/26.

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- 11/10/2024 - Risk score reviewed against new risk matrix. Increased to overall score of 20. Open Letter sent to Minister Johnson requesting a meeting at the earliest opportunity.
- 16/10/2024 – SMT reviewed.
- 13/11/2024 - OPCC budget have been reviewed as part of the 2025/26 budget process. Bottom-up budget approach undertaken. Workforce planning exercise undergone by SMT to ensure structures align to best practice and deliver VFM.
- 20/11/2024- SMT reviewed.
- 18/12/2024 – SMT reviewed.
- 06/01/2025 - Provisional Police settlement received 17th December. Force are forecasting an approx. £11.7m deficit, reduced to £5.8m as a result of ongoing savings. The Force and OPCC are continuing to identify ways to reduce the deficit. CGB took place on 18th December where further areas were identified. Meeting to take place 16th January to identified further areas for potential savings.
- 15/1/2025 SMT reviewed.

Next Key Date

February SMT

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
14/08/2024	OPCC080	Chief Finance Officer	Chief Finance Officer	20	20	→
Title	Loss or reduction in funding streams from the Home Office/ New Government/Ministry of Justice leading to loss of significant commissioned activity, across the OPCC/VRN that the Home Office/ New Government/Ministry of Justice may reduce or cut funding which will have an impact on the delivery of OPCCs and VRN commissioned					
Risk summary	Risk that the Home Office/ New Government/Ministry of Justice may reduce or cut funding which will have an impact on the delivery of OPCCs and VRN commissioned services.					
Information	Financial Arrangements / Contingency plans and exit plans not in place.					
	<ul style="list-style-type: none"> • All funded projects to be RAG rated to identify the impact of reduced or removed funding. • All contracted providers to develop exit strategies prior to March 2025 • Top-slicing funding to provide for future exit strategies. • Explore joint funding opportunities via SPB Exec • Potential underwriting by the PCC of key projects for Q1 should funding decisions be delayed where there is high confidence in ongoing funding. 					
Latest Update	<ul style="list-style-type: none"> ➤ 14/08/2024 - New risk ➤ 11/10/2024 - Reviewed against the new risk score and control 3 removed. ➤ 16/10/2024 – SMT reviewed. ➤ 13/11/2024 - Reviewed - no change. ➤ 20/11/2024 - SMT reviewed. ➤ 09/12/2024 - Control 2 - MoJ settlement now known as of 02/12/2024. HO still not known. Services to decommission are sitting with the PCC Budget, once agreed notice will be provided to affected providers and exit strategies implemented. VRN in consultation with their identified partners re exit strategies. Deadlines added to Controls 1 and 2. Controls 3 and 4 are awaiting full settlement statements from HO and decision of PCC ongoing in budget setting process. ➤ 18/12/2024 - SMT reviewed. ➤ 09/01/2025 - Decision Controls 3 and 4 waiting on funding settlement announcements. Controls 1 and 2 underway. ➤ 15/01/2025 - SMT reviewed. 					
Next Key Date	February SMT					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
02/11/2022	OPCC032	Chief Finance Officer	Chief Finance Officer	16	16	→
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	<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 and SORB • 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. • Cyber security to be included in business continuity plans. • List of assets and users to be maintained and updated. • List of all mandatory training undertaken by OPCC Staff including MOPI and cyber security 					
Latest Update	<ul style="list-style-type: none"> ➤ 30/11/2022 - Reviewed by SMT ➤ 22/03/2023 - 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. ➤ 15/06/2023 - 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. ➤ 25/09/2023 - Force owned risk. Observing the forces response and controls. Risk reported through the Corporate Governance Board. ➤ 21/01/2024 - No further updates ➤ 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 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. ➤ Current status: Risk score unchanged at this stage, as work is ongoing. Risk score should fall when all additional controls are in place. ➤ 12/03/2024 - No change to Risk. Control 2 deadline for control changed from 1/4/2024 to 1/06/2024 by CFO. ➤ 11/04/2024 - No change to Risk ➤ 15/05/2024 - SMT reviewed. 					

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	<ul style="list-style-type: none"> ➤ 03/06/2024 - Risk Control 1 Report received from Force at CGB on 30th May 2024. In Conclusion the work of the Cyber Resilience Group is leading our response to reviewing our capability to prevent, detect and respond to a substantial cyber-attack. There are a number of positives that have already been identified, as well as learning opportunities derived from the experiences of other agencies that need embedding into Force strategy. ➤ Risk Control 5 assigned to Policy and Compliance Officer. ➤ 20/6/2024 - SMT reviewed. ➤ 09/07/2024 No Change ➤ 09/08/2024 -Email sent to DPO to arrange Cyber security training. Control 4 Closed - Emil sent 13/6/24 to all staff to update asset register. Forces system Equitrax also holds OPCC asset information. ➤ 11/10/2024 -Risk score reviewed against the new risk matrix. ➤ Cyber awareness training took place 09/10/2024. ➤ 16/10/2024 – SMT reviewed. ➤ 13/11/2024 - Cyber training took place 9th October. Training included on the mandatory training list and all staff will be monitoring to ensure they undertake training. Uptake of mandatory training is part of the performance pack which is monitored through SMT. Reduce likelihood to 1 - NEW RISK SCORE: 4 ➤ 20/11/2024 – SMT reviewed. ➤ 12/12/2024 - SMT challenged the reduction in scoring at the meeting on 20th Nov 2024.12/12/2024 CEO reviewed and in light of recent government attacks i.e., Leicester City Council and the Force risk scoring. Likelihood has been increased to 4 total risk score increased from an 8 to 16. ➤ 18/12/2024- SMT reviewed. ➤ 06/01/2025 - No update. ➤ 15/01/2025 – SMT reviewed.
Next Key Date	February SMT

Appendix C: Closed Risks

Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
07/06/2022	OPCC027	Chief Executive	Chief Executive	3	3	→
Title	Job Evaluation Scheme - Hay Review					
Risk summary	Current Job Evaluation Scheme (JES) non-equalities compliant and the implementation of new JES scheme carries risk to staff morale and retention					
Controls	<ul style="list-style-type: none"> OPCC attend the Forces Gold group to assess progress and impact on OPCC Staff (Gold group includes Union representation) Staff provided with regular updates via OPCC Team Meeting - Force developing Employee Support Salary Costs have been included within the MTF 					
Latest Update	<ul style="list-style-type: none"> ➤ 14/07/2022 Reviewed additional control added. ➤ 27/07/2022 - SMT reviewed. ➤ 24/08/2022 - No change ➤ 06/09/2022 No change ➤ 05/10/2022 - Reviewed by SMT ➤ 09/11/2022 - Reviewed by SMT ➤ 09/11/2022 - CEO provided staff with an update on the Hay review and that only 2 OPCC roles left to be reviewed. CEO attends the Gold Meetings on behalf of the OPCC. ➤ 30/11/2022 - Reviewed by SMT ➤ 15/12/2022 Additional control added based on Force mitigations. ➤ 21/12/2022 Impact reduced to 2 based on that majority of job roles have been re-assessed based on Hay. ➤ 22/12/2022 Reviewed by CEO -Based on the information on the organisational analysis it would appear the risk to the OPCC is reducing. It is not believed many if any pay scales or remuneration will be affected. Colleagues in the OPCC regularly attend the force strategic management meeting overseeing the JE and will provide regular updates to the CEO. With this new and emerging information, the risks are reduced. ➤ 22/03/2023 - Reviewed by SMT, responsible owner changed to Director of Governance and Performance who attends the JE Gold on behalf of the CEO. ➤ All OPCC job descriptions have been through HAY evaluation panels and the SMT are awaiting the project team to present the outcomes/forecasts. ➤ The OPCC team are being updated on the progress of the project, however it is anticipated (by Director of Governance) that there may be little disruption to the OPCC staff. ➤ 13/06/2023 - No further updates ➤ 08/02/2024 - CEO to provide an update to staff as part of the weekly update on 9/02/2024- No change in score. ➤ 12/03/24 - CEO has started an updated of the staff survey to enable a people survey to be developed that fits the needs of the workforce. 					

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- 12/04/24 - the union ballot is currently ongoing with outcomes intended to be communicated to staff at the end of the month. Risk remains the same.
- 09/05/2024 -Staff have received letter. The morale is low - adequate line management support and wellbeing support new control.
- 15/05/2024 - SMT reviewed.
- 03/06/2024 There will no change to this risk until the end of the appeals process. No change in score.
- 20/06/2024 - SMT reviewed.
- 09/07/2024 - No change
- 01/08/2024 - CEO reviewed no change.
- 02/10/2024 CEO reviewed against new scoring matrix - Risk score reduced. The appeal impact from scores effects a small number of staff.
- Control 3 change in deadline score.
- 16/10/2024—SMT reviewed.
- 07/11/2024 All staff have had their evaluations and Higher impact on a low number of staff. No evidence that staff are unhappy. PCC has reviewed the draft MTF and is happy final sign off in Feb 25. Close control 3 and 4. Control 3 People strategy is not impacted by this risk. Propose close risk.
- 20/11/2024 – SMT approved.

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
30/08/2018	OPCC007	Chief Executive	Chief Executive	2	2	→
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.					
Controls	<ul style="list-style-type: none"> • Newly implemented office structure to provide resource to improve these relationships. • Effective partnership governance arrangements currently in place. • Partnership Strategy • Review of the partnership landscape to be conducted. • Partnership spocs to be identified once the priority partners and meetings identified. • Internal Audit on DV Partnerships • Recommendations identified in the DV audit to be implemented. • CSP partnership funding formula to be reviewed 					
Latest Update	<ul style="list-style-type: none"> ➤ 11/01/2022 - PCC has been in position for 8 months. A number of key individuals have left organisation which will impact on the relationships at officer level. ➤ 07/03/2022- Likelihood reduced to 2 from 3. <ul style="list-style-type: none"> - Police and Crime Plan agreed by the Police and Crime panel. The plan sets out the partnership landscape. - Police and Crime Commissioner has reinforced commitment to partnership working. - New CEO is establishing relationships with key strategic partners. ➤ 07/06/2022 - Lack of resources and new Interim CEO establishing relationships. ➤ 12/07/2022 - Review by Strategic Advisor and Policy and Compliance Officer additional controls identified, and likelihood score increased to 3 overall score increases to 9. ➤ 25/07/2022 Review of the partnership landscape to be conducted. Partnership spocs to be identified once the priority partners and meetings identified. Funding streams/grants/community safety funds to be incorporated into plans. ➤ 27/07/2022 - SMT reviewed and agreed changes. ➤ 24/08/2022 - No Change ➤ 06/09/2022 No change ➤ 05/10/2022 - Reviewed by SMT ➤ 09/11/2022 - Reviewed by SMT ➤ 30/11/2022 - Reviewed by SMT ➤ 05/01/2023 -Responsible officer will be the Director of Strategy, Commissioning and partnership. In order to facilitate greater partnership working. The OPCC will 					

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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.

- 29/03/2023 - 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.
- 15/06/2023 - 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.
- 15/10/2023 - 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.
- 22/01/2024 - Control Owner changed to Director of Strategy, Partnership and Commissioning.
- Partnership Governance will be monitored through SPB Executive managed by the Director of Strategy, Partnerships and Commissioning.
- In terms of CSP funding the relationship risk needs to be monitored and a review of allocation/ funding distribution to be implemented.
- 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.
Unchanged risk score.
- 06/02/2024 - Director of Strategy, Partnerships and Commissioning (DSPC) to review in 3 weeks' time.
- 08/02/2024 - CEO reviewed advised Partnership landscape is being mapped and a delivery plan is in place. Reduced likelihood to 2 from 3.
- 04/03/2024 - New partnership funding formula agreed, legal have written a new overarching agreement.
- Commissioning to provide comms guidance to CSP leads by 31/03/2024.
- All partners have an identified SPOC, listed on Contracts Register
- Partnerships mapped, partnership strategy and commissioning framework to address next steps.
- 12/3/2024 -
Control 6 - Date of implementation 7/6/2023.
Control 8 - Deadline changed from 29/2/2024 to 31/3/2024.
Control 3 changed to managed.
Control 5 changed to managed.
Control 7 changed to awaiting review.
Control 8 changed to managed.
- 11/04/24 Control 7 still awaiting review, end date delayed to 31/05/34 Control 8 - completed. Control 3 ,5 and Control 7 deadline changed from 31/3/2024 to 31/5/24 and marked as propose reducing risk to 4 Impact 2 Likelihood 2

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- 15/05/2024 - SMT reviewed.
- 20/05/2024 - No change in score - new deadlines for control
- 03/06/2024 - No change to risk score put on hold until the new Police and Crime Commissioner -incorporating CSPs and SPB
Risk Control 2 new deadline from 31/5/2024 to 30/06/2024
Risk Control 7 new deadline from 31/5/2024 to 30/06/2024
- 20/06/2024 - SMT reviewed.
- 09/07/2024 - DSPC Reviewed New deadlines for control 3 and 7 changed from 30/6/2024 to 31/8/2024.
- 30/07/2024 - DSPC reviewed no change.
- 02/10/2024 - Reviewed against new risk scoring matrix. Risk score reduced.
Control 3 deadline changed from 31/8/2024 to 30/11/2024.
- 16/10/2024- SMT reviewed.
- 06/11/2024 - Partnership Strategy managed through SPB Exec Priorities & Delivery Structure, Response to JARAP partnership landscape and Duty to Collaborate agreed in SPB Exec 19/09/2024. Propose Close
- 20/11/2024 – SMT approved.

Appendix D: Risk Scoring Matrix

		Impact score (severity levels) and examples of descriptors				
		1	2	3	4	5
Type		Very Low	Low	Medium	High	Very High
Cost		Small loss / Insignificant cost increase	<5 per cent over project budget	5–10 per cent over project budget	10–25 per cent over project budget	>25 per cent over project budget
		Affects service budget by less than £25,000	Affects service budget by between £25,001 & £100,000	Affects service budget between £100,001 & £400,000	Affects service budget between £400,001 & £800,000	Affects service budget by more than £800,000
		Variations manageable by virement against internal budget headings	Requires some additional funding from the partner organisation	Requires significant additional funding from one of the partners	Requires significant reallocation of funds from one or more partner organisations to meet objectives	Increases threaten the viability of the partnership
Time		Slight slippage against internal targets	Slight slippage against key milestones or published targets	Delay affects key stakeholders & causes loss of confidence in the enterprise	Failure to meet deadlines in relation to priority outcomes	Delay jeopardises viability of the enterprise or partnership
Quality	Business objectives/ projects	Barely noticeable reduction in scope or quality	Minor reduction in quality/scope	Reduction in scope or quality	Failure to meet secondary objectives	Failure to meet primary objectives
	Service/ business interruption	Little or no impact on service delivery	Minimal service disruption having limited impact on service delivery	Moderate service disruption having adverse impact on service delivery	Major service disruption having serious impact on service users	Major service disruption having serious impact on the public Permanent loss of service or facility
	Statutory duty/ inspections	No or minimal impact or breach of guidance/ statutory duty	Breach of statutory legislation Reduced performance rating if unresolved	Single breach in statutory duty Challenging external recommendations/ improvement notice	Multiple breaches in statutory duty Critical report / Improvement notices / Enforcement action Low performance rating	Multiple breaches in statutory duty Prosecution Complete systems change required. Severely critical report
	Adverse publicity/ reputation	Rumours Potential for public concern	Local media coverage – short-term reduction in public confidence Elements of public expectation not being met	Local media coverage – long-term reduction in public confidence	National media coverage with <3 days service well below reasonable public expectation	National media coverage with >3 days service well below reasonable public expectation. Total loss of public confidence
	Sustainability / Environmental impact	Minimal or no impact on the environment or sustainability targets	Minor impact on environment or sustainability targets	Moderate impact on environment or sustainability targets	Major impact on environment or sustainability targets	Catastrophic impact on environment or sustainability targets

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Risk Matrix: Likelihood		
Likelihood Score	Description of Score	Chance of Occurrence
5	Almost Certain	Already occurring, newly occurred or likely to be a regular occurrence, daily, weekly, monthly. 51%-100% chance Almost certainly will occur
4	Probable/Likely	Event has a reasonable chance that it will probably happen/recur or may have occurred recently. 26%-50% chance Expected to happen
3	Possible	Little likelihood of event occurring May occur annually or less frequently, but reasonably likely in the medium/long term. 11%-25%
2	Unlikely	Event not expected. Possible at some point. Extremely unlikely to happen in the current year, but possible in the longer term. 6%-10% chance of occurrence
1	Very Unlikely/Rare	Exceptional event Unlikely to occur at any given point. 0%-5% chance of occurrence

Overall Risk Score

Likelihood Score	Almost Certain to occur.	5	5 Low	10 Major	15 Major	20 Critical	25 Critical
	Probably/Likely	4	4 Low	8 Moderate	12 Major	16 Critical	20 Critical
	Possible	3	3 Low	6 Low	9 Major	12 Major	15 Major
	Unlikely	2	2 Low	4 Low	6 Low	8 Moderate	10 Major
	Very Unlikely/Rare	1	1 Low	2 Low	3 Low	4 Low	5 Low
			1	2	3	4	5
			Very Low	Low	Medium	High	Very High
			Impact Score				

Appendix E: 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> <p>Oct-24 - People Strategy to be developed by 31/3/2025 – Risk- OPCC021</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	Completed	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> <p>Apr-24 – 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>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> <p>Apr-24 – 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>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>
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>

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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>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 stand-in 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>Apr-23 - Departmental risk registers established for VRN, People Zones, Commissioning and Comms. Risk registers 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>

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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>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>
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>

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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	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. Jul-23 - 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	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.

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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>Apr-23 - Leadership roles have been reviewed and new structure in place. New roles being finalised with HR and fully implemented.</p> <p>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.</p> <p>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.</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>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>

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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>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>
15	Risk Lead	Identify Risk Lead in the OPCC	Chief Executive	High	Completed	Mar-23	<p>Apr-23 - 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>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>