

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

Paper  
Marked



Report of	<b>OFFICES OF POLICE AND CRIME COMMISSIONER</b>
Subject	<b>POLICE AND CRIME COMMISSIONER RISK REGISTER</b>
Date	<b>THURSDAY 1<sup>ST</sup> AUGUST 2024</b>
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**Purpose of report**

1. To provide JARAP with an update on the Police and Crime Commissioners strategic risk register, highlighting high priority risks, newly registered risks, changes of risk score and archived risks 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 14 live strategic risks on the OPCC risk register. See Appendix A
4. There are also 18 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 4 risks proposed to be closed and no risks downgraded to operational risk shown in Appendix C.

**Changes in risk score**

7. 6 changes to the Risk Score shown by the direction of travel column in Appendix A (including those risks that will be downgraded).

**New risk**

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

**Redacted**

9. 1 risk deemed sensitive and therefore has been redacted for the purpose of this report.

## Risk Grading Criteria

10. The strategic risk register identifies the key strategic risks to the OPCC. In the main, these risks represent long-term issues and typically remain on the register for long periods.
11. All risks are scored on an ascending scale of 1 – 4 in terms of impact and likelihood. Multiplication of these two figures leads to a Risk Score, which is expressed as a Red/Amber/Green or 'RAG' rating. All strategic risks are reviewed at least quarterly.

Overall Risk Score
Impact and Likelihood
8 - 16 High
5 - 7 Medium
1 - 4 Low

## Risk Status

12. The 'status' of a risk gives an indication of the extent to which the risk is being managed/controlled. The categories are detailed below:

Controls Tasked – when additional controls have been identified. These additional controls will have an owner tasked to complete them and a target completion date.

Overdue Control – when the completion date for additional controls has passed.

Managed – when no further controls have been identified at that time to reduce the risk further, however, the risk is not acceptably 'controlled'.

Controlled – this risk is in the ideal state. Circumstances or time may change this state.

Awaiting Review – a managed risk which requires a review or a new risk to be reviewed for the first time or a risk transferred to a new 'Responsible Officer'.

## Appendices

Appendix A: Risk Overview

Appendix B: High Risks

Appendix C: Closed Risks/Downgraded to Operational Risks.

Appendix D: Risk Scoring Matrix

Appendix E: Redacted Risks (for JARAP members only)

Appendix F: Risk Action Plan

## Persons to contact.

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**Appendix A: Risks Overview**

**Highlighting Legend:**

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

Appendix A		OPCC Risk Register									
Reference	Owner	Title	Impact	Likelihood	Status	First Recorded	Last review	Inherent (Unmitigated Risk Score)	Previous Score	Current Score	Direction of Travel
OPCC031	Chief Finance Officer	The Financial Challenge 2022/2023 -2025/26	Very High	Very High	Controls Tasked	02/11/2022	18/07/2024	16	16	16	→
OPCC032	Chief Finance Officer	Risk of Cyber Attack	Very High	Likely	Controls Tasked	02/11/2022	18/07/2024	12	12	12	→
OPCC073	Chief Finance Officer	Arrangements in place do not secure efficient and effective police service	Very High	Possible	Controls Tasked	15/10/2023	18/07/2024	8	8	8	→
OPCC027	Chief Executive	Job Evaluation Scheme - Hay Review	Medium	Likely	Controls Tasked	07/06/2022	18/07/2024	16	6	6	→
OPCC078	Chief Executive	Change in PCC following PCC elections could lead to change in direction of travel.	Medium	Possible	Managed	26/10/2023	20/3/2024	9	9	6	↓
OPCC007	Chief Executive	Partner Relationships deteriorate as a result of a change in strategic direction	Medium	Possible	Controls Tasked	30/08/2018	18/07/2024	12	6	4	↓
OPCC014	Chief Executive	Failure to meet the General Data Protection Regulations (GDPR)	Very High	Possible	Controls Tasked	30/8/2018	18/07/2024	16	8	4	↓

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OPCC021	Chief Executive	Values in the workplace Historic cultural issues may result in poor organisational morale.	Very High	Rare	Controls Tasked	04/11/2021	18/07/2024	8	4	4	→
OPCC028	Chief Executive	PCC fails in gaining public confidence	Medium	Possible	Managed	07/06/2022	18/07/2024	6	4	4	→
OPCC056	Chief Executive	Inefficient working relationship with the Force	Very High	Rare	Controls Tasked	19/05/2023	18/07/2024	8	4	4	→
OPCC070	Chief Finance Officer	Single Source of Failure – Chief Finance Officer	Very High	Possible	Controls Tasked	15/10/2023	18/07/2024	8	8	4	↓
OPCC020	Chief Executive	Police and Crime Plan commitments not delivered	High	Possible	Controls Tasked	30/08/2018	18/07/2024	16	6	3	↓
OPCC035	Chief Finance Officer	Risk of an information security breach when staff are WFH	High	Rare	Managed	02/11/2022	20/03/2024	16	3	3	→
OPCC062	Chief Executive	Redacted	High	Rare	Managed	04/08/2023	20/06/2024	9	9	3	↓

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**Appendix B: High Risks**

Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
02/11/2022	OPCC031	Chief Finance Officer	Chief Finance Officer	16	16	→
<b>Title</b>	<b>The Financial Challenge 2022/23 -2025/26</b>					
<b>Risk summary</b>	The overall MTFP position has deteriorated. Current assumptions indicate the MTFP will not balance through to 2026 and the use of reserves and identification of efficiency savings will be required from 2023/24 onwards					
<b>Information</b>	The announcement of the police staff pay award, will significantly increase pay inflation cost pressures across the MTFP period 2022/26. The Force is also experiencing higher than forecast non-pay inflation and considerable unbudgeted costs in relation to Op Energy. Uncertainty now exists around whether the 3-year Settlement for 2022/25 will be honoured, which includes the potential for PCCs to raise Band D precept by £15 for 2023/24. <b>Force Risk: ST0278</b>					
<b>Controls</b>	<ul style="list-style-type: none"> <li>• Strategy and oversight - MTFP/Financial Strategy and the ongoing oversight provided by OPCC CFO/ Assistant Chief Officer (Finance and Resources)</li> <li>• Budget review -The PCC has requested the MTFP core assumptions be reviewed in order to balance the budget over the medium term, reduce reliance on the use of reserves, and increase the overall balance of reserves.</li> <li>• 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.</li> <li>• The OPCC will review the commissioning budget and ensure that it is aligned to the commissioning strategy.</li> <li>• OPCC budgets/structures so will be reviewed to ensure that they are streamlined and provide value for money.</li> <li>• Force and OPCC efficiency savings plan to be drawn up for 2023/24.</li> <li>• <b>NEW CONTROL</b> - Budget build for 2024/25 and MTFP review for future years to be undertaken - including scenario planning, review of current assumptions, identifying efficiencies and moving to a sustainable position.</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 02/11/22 - New risk – Joint risk with the Force</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 23/12/22 - CEO reviewed - The force and PCC/OPCC are reviewing the Financial and budgetary position for both organisations. The Financial risks are fluid and not clearly understood at this time. There are collective serious concerns about the potential for a budget deficit in the coming years and are being addressed through the budget building process. The PCC will be working with the Force to develop an achievable budget proposal for the PCP (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.</li> <li>➤ 22/03/23 - Reviewed at SMT, the 23/24 budget has been set. The precept was set at £15; the Force has also applied for special aid to ease additional financial pressures created from Op Energy. The OPCC review of structures has concluded and enabled a release of £620k transfer to the Force. There is a</li> </ul>					

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	<p>£5.8m deficit for 2023/24 which will be met through efficiency savings and use of reserves. Force and OPCC efficiency plan to be drawn up to reduce the deficit for 2023/24 and over the MTFP.</p> <ul style="list-style-type: none"> <li>➤ 16/07/23 - Reviewed by Chief Finance Officer - The Force have implemented a new Investments, Savings and Productivity Board to oversee the current financial position. The CFO will also attend this meeting to have oversight of the force's plans for investment, savings and efficiencies plans.</li> <li>➤ 24/09/23 - Reviewed by Chief Finance Officer. CFO is now attending the Investments, Savings and Productivity Board. New Control measure added. A number of scenarios around precept will be presented to the Corporate Governance Board. A number of efficiencies and savings have been identified for 2023/24. Further work to be undertaken to realise further savings for 2024 and beyond. Risk score remains unchanged and given the overall MTFP position the risk remains high.</li> <li>➤ 21/01/2024 - Reviewed by Chief Finance Officer. Budget meetings for 2024/25 have commenced and a draft budget proposal complete. Precept scenarios presented to the Commissioner. Police and Crime Panel meeting to take place on 1st Feb 24. Force on track to overachieve their £3.9m efficiency savings target for 2023/24 however a further £5.4m efficiency savings required for 2024/25.</li> <li>➤ 14/02/2024 - New Controls Added. Update provided by CFO - Police and Crime Panel meeting took place 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.</li> <li>➤ 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.</li> <li>➤ 11/04/2024 CFO reviewed no change.</li> <li>➤ 15/05/2024 - SMT reviewed.</li> <li>➤ 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.</li> <li>➤ 20/06/2024 - SMT reviewed.</li> <li>➤ 09/07/2024 No Change</li> <li>➤ 18/07/2024 SMT reviewed</li> </ul>
<b>Next Key Date</b>	August 2024 SMT Meeting

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
02/11/2022	OPCC032	Chief Finance Officer	Chief Finance Officer	12	12	→
<b>Title</b>	<b>Risk of Cyber Attack</b>					
<b>Risk summary</b>	A successful cyber-attack on Leicestershire Police may result in the serious compromise of the confidentiality, integrity and availability of the information systems, services and assets of the force/OPCC, potentially hindering operational effectiveness.					
<b>Information</b>	Attacks can vary in nature and extent such as, malicious software or may include phishing, advanced persistent threats, social engineering and hacking. Attacks may or may not be targeted on the force and may be perpetrated by foreign national governments, terrorists, organised crime groups, hackers or employees. Depending upon the sophistication and scale of attack, there will be varying impacts that may include denial of service, loss or disclosure of information/data and the loss of ability to share information and potentially threatening operational effectiveness leading to harm and reputational damage. There can also be system or application downtime and potential legal consequences. <b>Force Risk:STR0339</b>					
<b>Controls</b>	<ul style="list-style-type: none"> <li>• Risk being managed by Force. OPCC to have sight of IT Strategy -Define a strategy for IT infrastructure enhancements and updates. Monitored through CGB</li> <li>• Staff guidance, training and awareness - Staff contacted to not click on links from emails they were not expecting and if in doubt contact Info security or IT or delete it.</li> <li>• <b>NEW CONTROL</b> - Cyber security to be included in business continuity plans.</li> <li>• <b>NEW CONTROL</b> - List of assets and users to be maned and updated.</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 02/11/22 New Risk – Joint risk with the Force</li> <li>➤ 30/11/22 - Reviewed by SMT</li> <li>➤ 22/03/23 - Reviewed by SMT, Staff Guidance and training to be provided, OPCC to move to O365. Cyber security to be included in business continuity plans. Maintain the list of assets and users.</li> <li>➤ 15/06/23 - Update from force - The Force is in the process of ensuring that all users are onboarded to O365. With regards to Win 10 1809 migration, this will depend on if the update from 1809 to 21H2 can be automated. If it cannot be automated, then there is a schedule which replaces or upgrades them all by the end of March 2024. The Force needs to upgrade all devices to ensure that they remain in support and vulnerabilities can be mitigated.</li> <li>➤ 25/09/23 - Force owned risk. Observing the forces response and controls. Risk reported through the Corporate Governance Board</li> <li>➤ 21/01/2024 No further updates</li> <li>➤ 14/02/2024 - Office looking to move to SailPoint with a view to migrating to O365. Update from force: "With regards to Win 10 1809 migration, this will depend on if the update from 1809 to 21H2 can be automated. If it cannot be automated, then there is a schedule which replaces or upgrades them all by the end of March 2024. The Force needs to upgrade all devices to ensure that they remain in support and vulnerabilities can be mitigated. We remain on track to have this work completed by March 2024, in terms of the roll out. 2 of our staff have now undergone bespoke cyber risk training with the 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</li> </ul>					

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upskilling our existing staff and our ability to respond to an attack should one occur.

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.
- 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.
- 20/06/2024 - SMT reviewed.
- 09/07/2024 No Change
- 18/07/2024 – SMT reviewed.

**Next Key Date**

August 2024 SMT Meeting



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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
15/10/2023	OPCC073	Chief Finance Officer	Chief Finance Officer	8	8	→
<b>Title</b>	<b>Arrangements in place do not secure efficient and effective police service</b>					
<b>Risk summary</b>	Risk that arrangements are not in place resulting in an inefficient and ineffective police force. This would have financial and reputational impact.					
<b>Information</b>	Financial Arrangements not in place to ensure value for money, efficiency and overall financial resilience.					
	<ul style="list-style-type: none"> <li>• Financial Reporting at CGB</li> <li>• Regular Financial Monitoring from Force</li> <li>• VFM Scrutiny</li> <li>• Annual Governance Statements</li> <li>• Governance Arrangements between PCC and Force</li> <li>• Regular Meetings between ACO and CFO</li> <li>• Review CIPFA Financial Resilience</li> <li>• Finance Strategy reviewed</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 16/10/23 – New Risk Identified</li> <li>➤ 21/01/2024 - Corporate Governance Framework and financial regs have been reviewed and updated which sets out the governance arrangements. MOU between the OPCC and the Force has been agreed at Corporate Governance Board in November 2023.</li> <li>➤ 4/02/2024 - Regular monitoring reports from the force and meetings between the CFOs. PCCCFO scrutinise the force budget as part of budget setting process. External Audit currently undertaking VFM work even though ongoing delays in the External Audit.</li> <li>➤ 12/03/2024 - No change to Risk Score.</li> <li>➤ Control 3- CFO reviewed and scrutinised the VFM and will do so over the course of the next six months.</li> <li>➤ Control 5- MOU signed off at CGF in November. Amendments made and due to be presented for sign off at CGB on 18th March 2024. Changes made to CGF and will be submitted to CGB on 18th March 2024 for sign off.</li> <li>➤ Control 8 - CFO changed due date from 1/4/2024 to 01/06/2024.</li> <li>➤ 11/04/2024- Control 5 completed 18/3/2024. No change to risk.</li> <li>➤ 15/05/2024 - SMT reviewed.</li> <li>➤ 03/06/2024 - Risk Control 3 -VFM approach and timetable have been worked up and PCC briefed. Reviewing Dr Rotherham's report. Weekly meetings with the Procurement team. Review of the current procurement processes to ensure VFM.</li> <li>➤ 20/06/2024 - SMT reviewed.</li> <li>➤ 09/07/2024 No Change</li> <li>➤ 18/07/2024 – SMT reviewed.</li> </ul>					
<b>Next Key Date</b>	August 2024 SMT Meeting					

## Appendix C: Closed or Risks Downgraded to Operational Risks

Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
26/10/2023	OPCC078	Chief Executive	Chief Executive	6	6	→
<b>Title</b>	<b>Change in PCC following PCC elections could lead to change in direction of travel.</b>					
<b>Risk summary</b>	Potential change in PCC could lead to a change in direction with regards the Police and Crime Plan. Thus, impacting on funding, relationships with partners and reputational risks.					
<b>Controls</b>	<ul style="list-style-type: none"> <li>• Election Project plan in place</li> <li>• Plan for CEO to have regular meetings with potential candidates.</li> <li>• Horizon scanning in place</li> <li>• Attending hustings online and face to face. Template for feedback is in place.</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 30/11/2022 - Reviewed by SMT</li> <li>➤ 23/12/2022 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.</li> <li>➤ The oversight of the MTFP is now well established and underpinned with a strong oversight and scrutiny approach with the monthly budget monitoring process. "</li> <li>➤ 08/02/2024 CEO reviewed - Potential candidates in place. Horizon scanning is in place and the output will be fed into a briefing doc for any potential candidates. The briefing document will be highlighting the positive work and positive outcomes from the work off the OPCC. Likelihood score to be reduced from 3 to 2.</li> <li>➤ 09/02/2024 - DP&amp;G added control</li> <li>➤ 11/03/2024 - actions still in progress.</li> <li>➤ 12/04/2024 - actions still in progress, elections taking place 2nd May, risk level remains unchanged.</li> <li>➤ 09/05/2024 - close PCC has been re-elected.</li> <li>➤ 15/05/2024 – SMT approved</li> </ul>					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
19/05/2023	OPCC028	Chief Executive	Director of Governance and Performance	4	4	→
<b>Title</b>	<b>PCC fails in gaining public confidence</b>					
<b>Risk summary</b>	The impact of the Police and Crime Plan activity is not effectively tracked, as such the PCC is unable to see that the activity carried out is having the impact required, crime doesn't reduce and they are unable to demonstrate effectiveness and value					
<b>Controls</b>	<ul style="list-style-type: none"> <li>• Proactive management of future OPCC agenda planning informed by the Police and Crime Panel's work programme which sets out scrutiny plan for the year.</li> <li>• Established Communications lines between OPCC and Police and Crime Panel Secretariat.</li> <li>• Police and Crime Panel's terms of reference and procedures define the ways of working. Adherence to the Policing Protocol which defines the relationship.</li> <li>• Continue to work with Police and Crime Panel, Panel Secretariat and monitoring officer to ensure understanding of respective roles and responsibilities and to ensure Effective ongoing programme of work to provide appropriate support and scrutiny of PCC.</li> <li>• Police and Crime Panel meetings scheduled for year.</li> <li>• Briefing sessions on PCCs work to be agreed between Panel and OPCC.</li> <li>• Home Office review of the role of PCCs to work with LGA to develop good training package for Police and Crime Panels</li> <li>• PCC and CC to have a series of public meetings around Leicester, Leicestershire and Rutland. Providing the PCC, CC and local leaders to hear public views on local policing matters and issues relating to communities that require a partnership approach to tackling Crime and other partnership matters.</li> <li>• Commissioners Advisory Group established - group made up of members of the public.</li> <li>• Deep dive into practice and process to be carried out in April 2024 ready for the new political term to ensure the Office is running in line with best practice nationally.</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 12/07/2022 - Strategic Advisor and Policy and Compliance officer reviewed. No change.</li> <li>➤ 27/07/2022 SMT deferred decision to next month.</li> <li>➤ 24/08/2022 - No Change</li> <li>➤ 06/09/2022 PCC working with the Force to develop a trust and confidence strategy which will be monitored through CGB. No change to risk score.</li> <li>➤ 05/10/2022 - Reviewed by SMT</li> <li>➤ 09/11/2022 Reviewed by SMT</li> </ul>					

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- 30/11/2022 - Reviewed by SMT
- 23/12/2022 - CEO reviewed -CAG and ethics committees have been set up with a robust ToR which should provide the community and stakeholders with the prerequisite trust and confidence in the approach taken by the PCC. This risk should be crossed ref with the partnership risk which engagement with communities.
- Both the PCC and CC have been constantly engaged in meeting the public in a wide variety of forum. PCC has at least 2 full days per week meeting and engaging with the public to ensure effective engagement. The feedback from his engagement has in the main been positive.
- The OPCC regularly meet with the Chair of the PCP to discuss and agree the work programme so that there is a coherent approach to managing the PCP agenda. The members of the PCP have attended a briefing session conducted by the OPCC on various workstreams to enhance the knowledge of and understanding the role of the PCC.
- All agenda papers can be found on Leicester City Council's website under Police and Crime Panel. Meetings are also webcast for public view.
- 22/03/2023 - Reviewed by SMT, report to be received by SMT regarding the future of the CAG. Ethics panel members are fully engaged, they have now completed training on reviewing complaints and have been working with the OPCC team to develop their forward plans and agendas.
- The PCC has started and has planned FB live sessions to be held directly accountable to the public.
- A full review of the documents on the website has commenced to enhance the information we are providing to the public to provide assurance of the PCC fulfilling his statutory responsibilities.
- 16/07/2023 - No Change to score
- 08/02/2024 - CEO reviewed no change in score - to be kept on the RR as a strategic risk.
- 12/03/2024 - CEO added 10. Deep dive into practice and process to be carried out in April 2024 ready for the new political term to ensure the Office is running in line with best practice nationally. assigned to Director of Governance and Performance. Change in wording of description of risk from The PCC's performance is not appropriately, scrutinised, undermining public confidence to the PCC's performance is not appropriately scrutinised, undermining public confidence. (Suggest edit as it is not our role to scrutinise the PCC: The impact of the Police and Crime Plan activity is not effectively tracked, as such the PCC is unable to see that the activity carried out is having the impact required, crime doesn't reduce and they are unable to demonstrate effectiveness and value)
- 12/04/2024 - no change
- 09/05/2024 No Change
- 15/05/2024 - SMT reviewed.
- 20/06/2024 - SMT reviewed.
- 03/06/2024 - Close risk all the controls are in place. The new PCP will have a tracker established to monitor progress.
- 09/07/2024- Propose close - PCC re-elected controls are in place.
- 18/07/2024 – SMT approved.

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
02/11/2022	OPCC035	Chief Finance Officer	Chief Finance Officer	3	3	→
<b>Title</b>	<b>Risk of an information security breach when staff are WFH</b>					
<b>Risk summary</b>	There is an increased risk of an information security breach when staff are working from home and for this reason, widespread home working has not been encouraged.					
<b>Controls</b>	<ul style="list-style-type: none"> <li>• Op Talla to keep homeworking under review.</li> <li>• Managers to supervise their staff remotely - Ensure staff have the correct equipment, are given a meaningful workload and their outputs are monitored.</li> <li>• Staff reminded not to use personal devices for force business.</li> <li>• Formal assessments for each role and its suitability for working from home -This will also include an assessment of an individual's history of computer misuse.</li> <li>• Formal staff briefings and confidentiality agreements</li> <li>• Review Induction pack to ensure mandatory NCALT packages are included.</li> <li>• Undertake Audit on training packages undertaken by staff relating to information security.</li> </ul>					
<b>Latest Update</b>	<ul style="list-style-type: none"> <li>➤ 30/11/2022 - Reviewed by SMT</li> <li>➤ 23/12/2022 - proposed new risk will be reviewed in line with the hybrid working policy.</li> <li>➤ 22/03/2023 - New hybrid working policy agreed and to be implemented from 1st April 2023. This will ensure there is clear understanding as to what staff are working from home and when. Further guidance has been given to staff regarding information security.</li> <li>➤ 16/07/2023 - No further update. Score remains unchanged.</li> <li>➤ 21/01/2024 - No further update. Score remains unchanged.</li> <li>➤ 14/02/2024 - New Controls added. Hybrid policy reviewed in November 2023. New staff to undertake mandatory NCALT packages as part of induction.</li> <li>➤ 12/03/2024 - Control Owner change to Policy and Compliance Officer. No further update</li> <li>➤ 11/04/2024 - No change - GDPR training videos to be sent out to staff 12/4/2024. Exploring further training around cyber security and WFH protocols.</li> <li>➤ 15/05/2024 - SMT reviewed.</li> <li>➤ 10/06/2024 Risk Controls 6&amp;7 a Mandatory training spreadsheet created for all staff to complete.</li> <li>➤ 11/06/2024 - CFO - Risk managed propose close.</li> </ul>					

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Risk creation date	URN	Risk Owner	Responsible Officer	Risk score	Proposed risk score	Movement
04/08/2023	OPCC062	Director of Strategy, Partnerships & Commissioning	Director of Strategy, Partnerships & Commissioning	3	3	→
Title	Redacted					

## Appendix D: Risk Scoring Matrix

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

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

Overall Risk Score

<b>Likelihood Score</b>	Very High	4	4 Low	8 High	12 High	16 High
	Likely	3	3 Low	6 Medium	9 High	12 High
	Possible	2	2 Low	4 Low	6 Medium	8 High
	Rare	1	1 Low	2 Low	3 Low	4 Low
			1	2	3	4
			Low	Medium	High	Very High
			<b>Impact Score</b>			



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

## Appendix G: Risk Action Plan

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

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

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

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

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

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

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



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

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