

Standard Risk Register



Report Date	20 Feb 2019
Risk Status	Open
Risk Area	Office of the Police and Crime Commissioner

Standard Risk Register



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required
1472	Organisational Governance	<p>A lack of adherence to good governance procedures Acts/Orders/Regulations could lead to bad publicity, loss of reputation, financial loss and possible legal sanction resulting in critical review by Police & Crime Panel and/or External Audit, poor decision making and adverse publicity and public attention.</p> <p>Poor governance processes leads to poor decision making</p>	I = 5 L = 4 Primary (20)	<p>1. Governance and decision making procedures in place regularly reviewed and updated.</p> <p>2. PCC signs up to a voluntary Code of Conduct including declarations of interests and notification of gifts and hospitality.</p> <p>3. PCC staff subject to Code of Conduct including declarations of interests and notification of gifts and hospitality.</p> <p>4. Annual Governance Statement process.</p> <p>5. Internal (& external) audit scrutiny and reporting</p> <p>6. Oversight by Audit Committee</p> <p>7. Monitoring Officer and Deputy Monitoring Officer.</p> <p>8. Ongoing environmental scanning for new regulatory requirements.</p> <p>9. Code of Corporate Governance in place and reviewed by the Audit Committee</p> <p>10. Robust Governance arrangements are in place for major Collaborations. Which are subject to regular Audit.</p> <p>11. Governance arrangements for scrutiny of Police Force are now embedded and effective and the PCC has the information to hold the Chief Constable to account</p>	I = 5 L = 2 Contingency (10)	Target Risk - Impact 5, Likelihood 2
						Target Risk - Impact 3, Likelihood 2

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1479	Constraints in Central Funding	Failure to manage the combined impact of continuing constraints in central funding, and other national changes around Pensions and Pay Awards leads to potential shortage of funds to deliver key services resulting in reactive and poor decisions to balance the budget or an overspend which could put the financial stability of the organisation at risk.	I = 5 L = 4 Primary (20)	1. Long Term Financial Planning process. 2. Efficiency planning and implementation processes. 3. Initiatives to collaborate, process re-engineer, civilianise and improve procurement processes. 4. Value for Money analysis and benchmarking across Police Forces. 5. Scrutiny of revenue and capital spend. 6. PCC CFO in place and required to annually review the level of financial reserves the PCC holds and report on the Adequacy of the Reserves and the Estimates used in the LTFP. 7. Internal and External Audit reviews of financial planning and arrangements for use of resources 8. Clear communication, by the Office of the PCC, to the Force and other Partners who receive funding, of how much funding is likely to be available in the future and what the PCCs priorities are 9. LTFP is balanced for the next 4 years based on current indications in relation to Central Funding and based on the delivery of known savings plans. 10. Earmarked Reserve has been established to manage Pay Awards being higher than budgeted so that in year pressures can be managed.	I = 5 L = 3 Primary (15)	1. Continue to work closely with Partner organisations to deliver more collaborative and efficient services. 2. Continue to consult and communicate with the public of the impact of continued constraints in funding. 3. Continue scenario planning for various levels of funding levels and pay awards across the LTFP period. 4. Link into national work on next Comprehensive Spending Review to ensure Cleveland's case is made for sufficient funding. 5. Link in to National work on any review of the Police Funding Formula to ensure that Cleveland's views are taken into account and make the case for a fair share of funding for the Police Force Area. Target Risk, Impact 5, Likelihood 2.

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1481	Structure with the right capacity to support the PCC,	Failure to put in place a fit for purpose structure with the right capacity to support the PCC clearly indicating who is appointed to under take the statutory roles of Chief Executive/Monitoring Officer and Chief Finance Officer leads to poor governance and undefined roles and responsibilities leading to ineffective working practices and criticism from external agencies.	I = 4 L = 4 Primary (16)	<ol style="list-style-type: none"> 1. Chief Executive and Monitoring Officer in place, with deputy arrangements also defined. 2. Chief Finance Officer appointed. 3. The Office has embedded the changes required post the Stage 2 transfer and the additional responsibilities that resulted from the transfer. 4. First phase of the implementation of a revised structure has been completed and roles are being recruited to. 5. Revised Job descriptions have been put in place for all roles within the OPCC and been graded. 6. Resources within the office are now in place to deal with the additional work around Grants and Commissioning. 7. Resources are now in place for delivering against the PCC's priorities around criminal justice. 	I = 4 L = 3 Primary (12)	<ol style="list-style-type: none"> 1. Phase 2 of the wider review of the office structure and roles and responsibilities is to be concluded. <p>Target Risk, Impact 4, Likelihood 2</p>
1486	Holding the Chief Constable and the Force to account	Failure to put in place adequate processes to effectively hold the Chief Constable and the Force to account for performance and use of resources as per statutory requirements leads to a reduction in the ability to shape the strategic direction of the Force resulting in key objectives not being met, adverse publicity, poor services to the people of Cleveland and adverse comments from external agencies.	I = 5 L = 4 Primary (20)	<ol style="list-style-type: none"> 1. Attendance/involvement at key force performance meetings. 2. Regular one to one meetings between the PCC and CC. 3. Clear Governance framework in place 4. Scrutiny meetings in place for all aspects of Force Performance which is now embedded and focussed on a much wider range of areas of scrutiny. 5. Clearer links with the Police and Crime Plan and Force Strategies have been established. 6. Closer working across both organisations in the development of the Police and Crime Plan 	I = 5 L = 2 Contingency (10)	<ol style="list-style-type: none"> 1. Continue to develop the scrutiny programme to ensure key areas of concern are reviewed. <p>Target Risk, Impact 5, Likelihood 2.</p>

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1487	Commissioning of services and work with partners	Failure to effectively commission services and work with partners generally to deliver the Commissioner's key objectives and priorities leads to a lack of joined up working, poorly specified service needs resulting in poor decisions around which services should be commissioned and/or the wrong services being delivered.	I = 4 L = 4 Primary (16)	<ol style="list-style-type: none"> 1. Grant agreement template in place. 2. Clear guidelines on PCC website of how the PCC will commission services and how funding can be applied for. 3. Good partnership links and networks. 4. Service commissioned for Victims Referral Services. 5. Commissioning Strategy has been developed. 6. Actions from Internal Audit Reviews have been completed. 7. Reviews and Audits of services provided with Grants are being undertaken in-house to ensure delivery against Grant terms and inform future decisions. 8. Services now commissioned for Restorative Justice and Independent Sexual Advisor Services and Sexual Assault Referral Services 	I = 4 L = 3 Primary (12)	<ol style="list-style-type: none"> 1. Continue to improve our understanding of the needs of both Victims and Witnesses within Cleveland to ensure that services are provided that meet their needs. 2. Organisation needs to continue to move away from Grants and towards Commissioning/Contracting for the delivery of services. Target Risk - Impact 4, Likelihood 2