

# Target Risk



<b>Report Date</b>	04 Mar 2022
<b>Risk Status</b>	Open
<b>Risk Area</b>	1. Strategic Risk Register
<b>Control Status</b>	Existing
<b>Action Status</b>	Outstanding

Target Risk



1. Strategic Risk Register							
Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
1435	<p>SR9 - Reductions in Government Funding</p> <p><b>Risk Owner:</b> Chief Finance Officer</p> <p><b>Last Updated:</b> 03 Mar 2022</p> <p><b>Latest Review Date:</b> 03 Mar 2022</p> <p><b>Latest Review By:</b> Risk and Insurance Manager</p> <p><b>Last Review Comments:</b> Risk updates provided by the Head of Financial and Payroll Services. A keen eye is held on Central Govt in respect of any public sector funding decisions, especially in light of Covid, Ukraine war, Brexit and energy prices.</p>	<p><b>Cause:</b> The Government reduced Public Sector funding in an attempt to eliminate the national deficit by 2021/22. They have since acknowledged they will not eliminate the national deficit, with further uncertainty around Govt Finances due to economic impact of war in the Ukraine, energy prices, etc. Changes to the national funding formula, which has been further delayed also pose a risk.</p> <p><b>Effect:</b> Significant changes to our Government grant and the failure to identify and deliver savings to offset the impact of any reductions could result in:</p> <ul style="list-style-type: none"> <li>•Our communities being put at risk of harm as gaps in service appear;</li> <li>•Reactive measures to balance the budget that do not make best use of resources available;</li> <li>•Not delivering a balanced budget as legally required; and</li> <li>•Increase costs on all supplies / services that not covered in the 2022/23 settlement.</li> </ul>	I = 5 L = 4 Primary (20)	<p>1.A long term financial planning process that maintains financial stability through taking a considered view of savings identification and delivery to minimise impact on the front line.</p> <p>2.A balanced plan to provide time to prepare for potential future cuts.</p> <p>3.Resource deployment on the basis of assessed demand and threat, risk and harm in our communities.</p> <p>4.A financially disciplined organisation that delivers within budget.</p> <p>5.A dynamic approach to resource allocation.</p> <p>6.The Towards 2025 'The Road to Improvement' programme that takes a structured approach to building resilience through restructuring the organisation to ensure efficiencies and effectiveness is maximised, around assessed demand and threat, risk and harm in our communities and collaboration with other organisations.</p> <p>7.A qualified and experienced Chief Finance Officer to the Chief Constable who is a member of the Chief Officer Group and advises on key resourcing decisions.</p> <p>8.Close working relations with the Police and Crime Commissioner's CFO ensures a sharing of financial awareness and a collaborative approach to financial planning.</p> <p>9. Audit and HMICFRS review.</p>	I = 4 L = 3 Primary (12)	<p>1. Continue to deliver the balanced budget in the long term financial plan (Note: years 3 and 4 of the plan are only balanced with assumed savings target).</p> <p>2. Deliver collaboration initiatives in line with timetable.</p> <p>3. Continued development of an agile estate strategy which is efficient, effective and will create a fit for purpose estate encompassing both technology and agile working advancements.</p> <p>4. Monitor and influence the development and proposals for a new police funding formula due next year 2022.</p> <p>5. Continued scenario planning to reflect potentially changing circumstances and prompt action as necessary.</p> <p>6. Workforce mix - putting the right people with the right skills in the right places and embracing the use of volunteers and special constables.</p> <p>7. Continue to review the Historic Investigation Unit requirements in line with the regular Finance/HR meetings and quarterly updates to the Special Grant Unit in the Home Office. Should the funding fail to materialise further scenario testing will be required to mitigate any potential reputational risk.</p> <p>8. Continue to develop a programme of further savings opportunities/ initiatives to provide financial resilience to in year mandated cost pressures such as police pension charges and increase in supplies and services costs.</p> <p>9. To review all services brought back from Sopra Steria to assess for efficiencies.</p> <p>10. Demand work to continue to</p>	9

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						<p>ascertain the required establishment for both police officers and staff set against the demand profile in the Cleveland force area.</p> <p>11. Continue to review the total number of officers and staff required against the current financial envelope to ascertain if further savings are required or if further funding is needed to plug a possible funding gap.</p> <p><b>Person Responsible:</b> Chief Finance Officer</p> <p><b>To be implemented by:</b> 31 Mar 2023</p>	

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1439	<p>PD29 - The inability to deliver core services created by the impact of absences due to sickness absence.</p> <p><b>Risk Owner:</b> Human Resources Director</p> <p><b>Last Updated:</b> 15 Nov 2021</p> <p><b>Latest Review Date:</b> 01 Mar 2022</p> <p><b>Latest Review By:</b> Risk and Insurance Manager</p>	<p>The Force is experiencing ongoing high levels of sickness absence which has a negative impact on service delivery and an increased risk to Officers and the public in general.</p> <p>In the year 2016/17 sickness absence has cost the Force £3,696,969 for police officers and £732,405 for police staff – approximately 5.6% of the staffing budget, which is up on the previous years 15/16 sickness absence which cost the force £3,284,890 for police officers and £587,890 for police staff - approximately 5% of the staffing budget.</p> <p>The figures rose further to end Apr 18 where sickness absence has cost the force £4,454,631 for police officers and £818,416 for police staff - approximately 6.46% of the staffing budget.</p> <p>The effect this is having equates to 59 FTE's not being available for deployment per day. This equates to approximately 13 days lost per officer and 11 days lost for staff on average across the Force.</p> <p>For the year 2018-19 sickness costs were £3,901,156 for Police Officers and £816,568 for Staff - approx. 5.8% of the staffing budget, equating to 53 FTE's and 12 days lost per Officer and 10 days for staff.</p> <p>The average working hours lost for 2019/20 is: Officers 5.79% and Staff 5.93%.</p> <p>The average working hours lost for 2020/21 is: Officers 4.85% and Staff 6.34% (increase attributed in part to</p>	I = 4 L = 5 Primary (20)	<p>A Wellbeing Strategy is in place to drive delivery. Recruitment of additional ER staff and the revised sickness management process rolled out Force wide. The Mind Blue Light mental health action plan, with the appointment of champions is now absorbed into core business.</p> <p>Wellbeing Wednesdays are now fully embedded and offer health promotion activity and OH referrals have reduced from 17 to 13 days through the addition of new staff into the Wellbeing Team and improved triage through nurse led approaches. OH referrals reduced further to approx 10 days.</p> <p>A new sickness reporting process has been introduced to drive early intervention, including a further review of the front end process.</p> <p>Case management reviews undertaken by ER Advisers and line managers.</p> <p>ER advisers attend SLT meetings to report on sickness.</p>	I = 4 L = 4 Primary (16)	<ul style="list-style-type: none"> <li>Psychological assessments are now managed via the Wellbeing team, through an electronic screening tool and are trained in undertaking the structured interviews. Update 16.9.21 - this activity is continuing and the counsellors are working to improve engagement levels, this will involve working with the teams to increase understanding of the assessment and individual feedback sessions for all completed assessments.</li> <li>The return to Force of the control room staff has allowed the introduction of necessary health screening, in particular hearing assessment. Update 16/09/21 - This is on hold as the equipment is in use for new recruits, with the wellbeing team continuing to have operation uplift activity prioritised. The volumes for operation uplift are significantly greater than was ever factored into the wellbeing structure so at present there is no capacity to begin to absorb this.</li> <li>Mental Health First Aid (MHFA) has been rolled out Forcewide and deemed mandatory. This will be followed by suicide prevention training once MHFA complete. Update 16.9.21 - 300 people trained so far on MHFA, training levels affected by COVID and associated restrictions.</li> <li>The new wellbeing IT system 'Cohort' is in place and work is ongoing for more streamlined processes between the Occupational Health Team and ER to enable more effective sickness and wellbeing management. Update 16.9.21 - The rollout continues of the additional modules.</li> <li>There are now 43 trained Trauma Risk Incident Management (TRIM)</li> </ul>	9

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	<p><b>Last Review Comments:</b> The national Iqanta information showed that the Force made positive improvements for its sickness rates for 2020/21 compared to the previous year. This is despite the impact of the covid pandemic. However, improvements were also made nationally which meant that our position still kept us in the lower quartiles. Unfortunately, so far this year we have seen an increase in sickness absence rates and this will continue to be a challenge over the winter months, this is to be monitored on a weekly basis as part of Corporate Services' Situation Report. The organisation was severely tested during the global pandemic and was able to demonstrate its ability to deliver core services, with this in mind once through the challenging winter period, the risk scores will be reviewed. Further to this we are now entering the 'Living with Covid' phase as termed by the Govt. with a full relaxation of restrictions and return to work, which inevitably will increase sickness as people mix.</p>	FCR shift change and Covid19).		<p>Continued monitoring and reporting shows: A year on year comparison/improvements for the average number of days of absence within a rolling 12 month period (Officers and Staff):  Aug 17-18 – 4% and 3% increase;  Oct 17-18 – No change and 9% decrease;  Jan 18-19 – 13% decrease and 9% decrease;  Mar 18-19 – 13% decrease and 4% decrease;  Apr 18-19 – 13% decrease and 1% increase; and  Sep 18-19 – 18% decrease and 26% increase.</p> <p>The figures shown from Mar 18-19 onwards whilst showing a reducing trend across Police Officers, shows the opposite for Police Staff, this is in the main due to the transfer of 250+ staff back to Cleveland Police from Sopra Steria within the Force Control Room. This remains an area of focus.</p> <p>The end of 2020 and into early 2021 showed a rise in sickness from both Officers and Staff due to Covid related sickness absence although the year to end March 2021 showed a decrease on previous year of Officer 4.85% and Staff 6.34%.</p>		<p>practitioners and 10 TRIM managers. Due to the success of TRIM, it has been decided not to move to the pilot for the Emergency Services Trauma Intervention Programme (ESTIP). Update 16.9.21 - TRIM continues to be embedded with a referral process linked to Wellbeing where additional support is required. A further training course for practitioners will take place in the next 3 -6 months to give increased capacity for the numbers of TRIM interventions required.</p> <p>•Sickness absence and medical retirements have been audited recently confirming that the Chief Constable can take reasonable assurance that the controls upon which the organisation relies to manage this risk are suitably designed, consistently applied and effective although there are some actions we need to undertake.</p> <p><b>Person Responsible:</b> Head of HR  <b>To be implemented by:</b> 31 Mar 2022</p>	
				<p>Early engagement with Force Occupational Health in particular to Post Traumatic Stress Disorder and mental health issues. OH services now incorporate counselling, EAP, Welfare and Alliance Psychological Services.</p>			

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				<p>LTFP provides limited funding for medical retirements. Additional resource has been secured for 2021/22 to enable additional medical retirements to take place where appropriate to do so.</p> <p>Stress management/ workplace well-being courses offered. Force joined the Blue Light NE network. Blue Light champions identified and trained, inclusive of Mental Health First Aid training.</p> <p>The Force has an attendance management policy.</p> <p>The pay appeal process (formerly Health Group) has developed a more consistent and systemic approach to case decisions and increasing numbers moving to reduced pay in accordance with Police Regulations and staff conditions, chaired by the DCC (HM) meeting monthly.</p> <p>The People Intelligence Board meet monthly, chaired by the Head of DSE. This ensures a joined up approach between Legal, HR, DSE and Command Reps.</p> <p>The Strategic Performance Improvement Board have been scrutinising attendance management issues throughout 2021. The team has undertaken deep dives and produced several presentations on this subject which summarises sickness rates, reasons etc, identifies areas of concern and focus for the ER team and Wellbeing initiatives.</p>			

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1499	<p>PD35 - Pension scheme amendments from the McCloud/Sargeant judgement</p> <p><b>Risk Owner:</b> Chief Finance Officer</p> <p><b>Last Updated:</b> 28 Feb 2022</p> <p><b>Latest Review Date:</b> 28 Feb 2022</p> <p><b>Latest Review By:</b> Risk and Insurance Manager</p> <p><b>Last Review Comments:</b> Legislation is still progressing through parliament to move all members of the PPS to the 2015 scheme on 1 April 2022. Remediation is included in the legislation and schemes have until October 2023 to make relevant calculations. Compensation has been agreed to be paid for and settled by the Home Office. 2 Weekly meetings are being attended with the NPCC and a national way forward is being followed.</p>	<p>A number of Police Officers were automatically transferred to the 2015 Home Office Police pension scheme. The Chief Constable of Cleveland currently has 570 claims (inc the Group Federation Claim) lodged against him in respect of the challenge to the Police Pension Scheme 2015.</p> <p>Claims of unlawful discrimination have also been made in relation to the changes to the Judiciary and Fire fighters Pension regulations and in December 2018 the Court of Appeal ( McCloud / Sargeant ) ruled that the 'transitional protection' offered to some members as part of the reform to public sector pensions amounts to unlawful discrimination. Should the ETs be successful there is a financial risk that could impact on the Force, however costs and funding implications are as yet unknown.</p> <p>Updated 1.8.19- the Supreme Court have denied the Government leave to appeal hence the Employment Tribunals ruling is valid. This has been reflected in the Statement of Accounts for 18/19 and guidance issued by the Home Office. The Government has issued a statement confirming that they are considering their action but that it will impact upon all public sector schemes where there were amendments imposed.</p> <p>The Government is seeking permission to appeal this decision. It is envisaged that if this is unsuccessful, the Court will require</p>	I = 5 L = 5 Primary (25)	<p>As of 20th July 2020 - Separate to the consultation, the government has announced that the pause of the cost control mechanism will be lifted, and the cost control element of the 2016 valuations process will be completed. The costs of addressing the discrimination identified in the McCloud judgment will be included in this process.</p> <p>Pension Scheme Regulations and Home Office Guidance, of which the Force acted upon.</p> <p>The Force released a message to all (at the request of the NPCC) on the intranet about the judgement, and XPS will be providing a list of FAQ's that we can direct police officers to. Attending monthly meetings with the NPCC and there is now a larger team (which CP pay a contribution to) who are leading at a national level to make sure that all Forces are carrying out the same work at the same time to negate any possible legal challenges in the future about how we administered the remediation.</p> <p>In Q2 2021/22 the Force received c£30k from the HO to be used towards the costs for administering the first phase of the remedy. This money is not for us to cover the costs of the remedy or the compensation claims but purely for administration purposes.</p> <p>The Forces Head of Payroll is on one of the national pension workstreams. This enables the Force to receive information as early in the process as possible.</p>	I = 5 L = 5 Primary (25)	<p>National updates:</p> <p>Await judgement of tribunals and liaise with Home Office in terms of paying out on any changes.</p> <p>Update 1.11.17 - Fire service case heard and found in favour of the employers. Decision appealed and going to EAT. In the meantime the police claim continues to be stayed.</p> <p>Update 27/11/18 - They are all stayed pending the judges and fire appeals. Monetary quantification awaited.</p> <p>Update 1/8/19. Decision by ET in favour of the judges and fire-fighters. Right of appeal denied by Supreme Court in July 2019 and guidance issued by Government who are still considering the action they will take. This is a recognised national issue and is expected to be resolved nationally.</p> <p>Updated 2.4.20 National guidance being sought for the remedy to be determined and 3 weekly national teleconferences being held. No action expected in the short term</p> <p>Update 30/06/20 - The government has of 20th July launched a consultation (open until Oct 20) on proposals to remove the discrimination identified in the McCloud/Sargeant litigation. Still live with work ongoing with the HO, likely implementation of any new pension remedy will not be until 2022.</p> <p>Update 11/09/2020- Further information from the NPCC indicates that the remediation work will be substantial in terms of provision of data to pension provider who will need to recalculate the pension under every option for every individual There is still a national group leading this but there are still no</p>	20



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		<p>steps to be taken to compensate employees who were transferred to the new schemes potentially including Police Pension Scheme members. This would lead to an increase in Police Pension Scheme liabilities.</p> <p>The impact of an increase in annual pension payments arising from McCloud / Sargeant is determined through The Police Pension Fund Regulations 2007. These require a police Force to maintain a police pension fund into which officer and employer contributions are paid and out of which pension payments to retired officers are made. If the police pension fund does not have enough funds to meet the cost of pensions in year the amount required to meet the deficit is then paid by the Secretary of State to the police Force in the form of a central government top-up grant.</p>				<p>assurances as to who will pay for the additional work and whether it is achievable.</p> <p>Update 17/02/2021- NPCC meeting still being held and national plans being drawn up to deal with the remediation. Latest guidance is that work to commence on data validation but amendments to the pension Schemes require to be passed through legislation to be legally binding. The NPCC are requesting that all costs associated with the remediation are paid for by central government but this has not yet been agreed.</p> <p>Update 29/04/2021 - Immediate detriment work is being facilitated with NPCC and all Forces, to ensure Forces use consistent processes.</p> <p>Update 5/10/2021 - Primary legislation has been passed and forces are expecting final details on immediate detriment from the HO in the next 12 weeks.</p> <p><b>Person Responsible:</b> Chief Finance Officer</p> <p><b>To be implemented by:</b> 31 Mar 2022</p>	

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						<p>No further detail is available on the impact to the Chief Constable but should there be a financial impact, more radical options will be developed including further reductions in officer, PCSO and staff numbers, inter-force collaboration and blue light collaboration.</p> <p>Update 25/02/22 - Legislation is still progressing through parliament to move all members of the PPS to the 2015 scheme on 1 April 2022. Remediation is included in the legislation and schemes have until October 2023 to make relevant calculations. Compensation has been agreed to be paid for and settled by the Home Office. 2 Weekly meetings are being attended with the NPCC and a national way forward is being followed.</p> <p><b>Person Responsible:</b> Strategic Finance Manager</p> <p><b>To be implemented by:</b> 30 Jun 2022</p>	

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						<p>Local actions:</p> <p>Updated 1/8/19 The Government have been denied leave to appeal and are considering their response. This is a national issue which impacts on most public sector pension schemes and further Government guidance is expected.</p> <p>Updated 17.12.19 A national approach is being followed and a working group has been set up comprising of Finance, HR and legal representatives to co-ordinate Cleveland's response</p> <p>Updated 11/9/2020. National NPCC meetings being attended and it has become apparent that there will be a significant amount of work to provide the information to XPS to calculate the individual pension difference between the schemes for every employee. there is a risk that we will not have the resources or information to do this and that XPS will not have the capacity to recalculate this on our behalf. There will be additional costs from XPS for this work and there is no assurance from the government that this will be paid by them. There is the risk that if this is not consistently applied by every pension body that this will lead to further pension challenges.</p> <p>Updated 17/02/2021- Ongoing dialogue with the NPCC, XPS and Colleagues at NY Police. Preparations are being made to validate the data from XPS regarding who will be affected by the judgement but no information to be given to individual Officers as awaiting national remediation details (to prevent future legal challenges) and also for a change to the legislation to allow for changes to</p>	

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						<p>be legally made. A work plan has been devised to ensure that there are staff in Force to carry out the work necessary and an increased budget has been set for 21/22 to pay for the work required of XPS as there is no certainty that this will be paid for by Central government. no remediation timetable yet agreed. Expectation is that this will take years to fully implement.</p> <p><b>Person Responsible:</b> Strategic Finance Manager</p> <p><b>To be implemented by:</b> 30 Jun 2022</p>	

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1523	<p>SR24 - Force Control Room not functioning effectively to fulfil our core obligations</p> <p><b>Risk Owner:</b> Assistant Chief Constable</p> <p><b>Last Updated:</b> 12 Nov 2021</p> <p><b>Latest Review Date:</b> 02 Mar 2022</p> <p><b>Latest Review By:</b> Risk and Insurance Manager</p> <p><b>Last Review Comments:</b> Performance improvements can be seen across the board with regards call handling, THRIVE and quality and assurance. Identification of vulnerability is also apparent, however additional improvements are being sought with regards to dispatching of some of our most vulnerable incidents, working in collaboration with uniform colleagues. The FCR project has to maintain pace with development of accessibility for the public to contact the Police.</p>	<p>The Force Control Room (FCR) is a critical component and at the heart of operational policing. If it is not functioning efficiently then it will impact on our ability to fulfil core obligations such as protecting vulnerable people. The Force Control Room is failing to answer calls for service (101 and 999) promptly and call abandonment rates remain high. Sickiness levels and staff retention can make it difficult to maintain the levels required to meet satisfactory performance levels. Additionally the Control Room staff shift pattern does not appropriately reflect demand and as such peak times are difficult to manage. The rise in call volumes (in line with the national average) and the appropriate application of THRIVE, which has extended the call duration (to ensure the most appropriate resources are deployed) is impacting upon a timely response. This rise in demand coupled with resourcing pressures particularly in IRT has impacted negatively on the outlet routes for demand.</p> <p>The factors listed could add to the potential for injury / death, resulting in, IOPC investigation, a loss of public satisfaction / confidence and reputational damage to both Cleveland Police and the Office of the Police and Crime Commissioner. Update 18/01/21 - The Chief Constable declared the extreme staffing shortages in the FCR a critical incident. The FCR is 43%</p>	I = 5 L = 5 Primary (25)	<ul style="list-style-type: none"> <li>Abandonment rate call levels are captured in the daily performance framework, management information (for both 999 -target 100% and 101 calls – target 90%+). Reported daily on the Exec log. Which is demonstrating an improved picture; and also to the Managing Demand Board and across all strategic performance boards.</li> <li>FCR divided into three areas of command – one call handling and vulnerability desk, second is primary crime investigation unit and force crime management unit and the third is dispatch and force incident managers; each with dedicated senior managers.</li> <li>Each FCR Ch Inspector have portfolios to manage/ SPOC and accountable to both internal/ external stakeholders.</li> <li>New THRIVE policy – with a focus on Threat, Harm, Risk and Vulnerability and reinvigorated training. The methodology for auditing has changed for THRIVE and Re-THRIVE and results are presented at each of the Force strategic boards.</li> <li>Monthly finance meetings – focus on overtime budget (this has been increased yet further to plug the gaps created by rapidly rising vacancy levels {predominantly sickness}).</li> <li>Telephony system upgrade introduced on 101, gives the caller the ability to ask for particular people and leave voicemail. In addition to the upgrade the Force has gone down the route of reordering the 101 to ensure that the caller gets through to the most appropriate department whilst also removing some of the demand for the</li> </ul>	I = 4 L = 4 Primary (16)	<ul style="list-style-type: none"> <li>The Head of FCR is working to improve the attendance at incidents in particular the DA and Missing From Home (MFH - Children) priority graded incidents - this is now scrutinised daily at Pacesetter, and is linked to the demand review of IRT. Update 12/11/21 - There is heightened scrutiny around DA and MFH priority attendance, and both IRT and FCR supervision play an active part in ensuring dispatch and arrival times are met. Where meeting dispatch/attendance times is not possible then the FCR is increasingly evidencing the actions it has taken using the MOU and escalation protocol. IRT staff are becoming better at updating the FCR, particularly when they arrive at an incident. RWD grading is now back in effect which should remove errors being recorded in due course. Through scanning and analysis we have identified the problem areas and are working through these.</li> <li>The Head of FCR is looking at further scope within the vulnerability desk (VD) function to possibly review additional vulnerability related incidents - update Nov20 they have now taken on sexual offences. Work underway looking at a multi-agency input. Update 06/04/21 - The VD have aligned with the FCR and IRT shift pattern for a more joined up approach between functions. Mental Health triage are back in the FCR (although staffing intermittent, as a result of Tees, Esk and Wear Valley Nurse provision) in the near future to work closely with the VD and FCR staff. Further collaborative work is ongoing at the moment with regards to joint</li> </ul>	6

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		<p>down on its full complement of 141 (60 off); the shortfall is comprised of 33 vacancies, 21 off on sick leave and the remainder out of dept. (e.g. under investigation, etc). The demand is currently manageable purely due to the National Covid19 Lockdown.</p> <p>Update 12/03/21 - Important areas highlighted as failing, due to the critically low staffing and training levels on dispatch in the FCR, for the vital and mandated functions of ANPR monitoring and responding and the updating of PNC. The former routinely lacks a channel 200 (LZ) operator to fulfil this role. The latter, Only a small number of staff in the FCR are PNC update trained. Currently Cleveland has no internal capacity to train PNC updates and this has to be out-sourced.</p>		<p>FCO in FCR.</p> <ul style="list-style-type: none"> <li>• Single Online Home is being phased in incrementally, crime reporting upon the Force Website.</li> <li>• A demand calendar has been formulated and utilised, identifying peaks and troughs linking to duties to ensure optimal staff. FCR now match IRT shift patterns, by adopting a 6 on 4 off; with demand reviewed and data checked over a 12 month period.</li> <li>• A vulnerability desk within FCR, staffed by subject matter experts (x16) from Safeguarding/ crimeing DAs and building intelligence of repeat offenders. This also includes partnership involvement from My Sisters Place - (IDVA) Independent Domestic Violence Advocate.</li> <li>• FCR staff re-graded with scope via a competency framework to progress through various pay grades. This will improve competency and Omni-competency.</li> <li>• The Head of FCR completed a training needs analysis for all FCR staff. As a result training was identified in the areas of PNC update, Dispatch, Call Taking, THRIVE, CDI.</li> <li>• A dedicated FCR trainer has been employed with 11 new cohorts of staff trained. A further cohort commences in Feb 22. L&amp;D FCR Hub has been in trial phase for several months now and recently ratified at Executive level to make permanent, as a result we have seen a significant improvement in THRIVE. Eight call takers have recently been trained in Oct21 to become dispatchers with a further eight-ten to be trained in Feb 22.</li> </ul>		<p>working with VCAS and PHE.</p> <ul style="list-style-type: none"> <li>• Specific Training days have been built into the new shift pattern. Update 12/11/21 - The FCR trainer has secured some extra PNC update training for end Nov21. The FCR L &amp; D tutor hub is now well established and ratified at Exec level for permanent structure. Future plans of how the tutor hub will evolve are being explored at SLT level, but enhancement of FCR training will be part of this vision.</li> <li>• The entire incident grading and attendance policy is being reviewed and RWD grading has been re-introduced as part of this.</li> <li>• Close liaison with the Force Crime Registrar to highlight and address any areas of concern – in particular, stalking and harassment. A full review of the Crime Management processes was completed and formed part of the FCMU business case. Update 12/11/21 – Governance structures are in place at both strategic and operational level to ensure oversight of CDI.</li> <li>• FCR performance/ sickness rates are under daily review with supervision. Update 12/11/21 - Dedicated FCR ER staff work with FCR supervision to ensure sickness management is robustly maintained. Vast improvement seen in regards long term sickness however staff retention remains an issue for the entire Force and strategic plans are in place.</li> <li>• The FCR project Board are continually developing ways to enhance customer contact, including development of Netcall and single online home. Update 12/11/21 - A new ICT administrator post</li> </ul>	

## Target Risk



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				<ul style="list-style-type: none"> <li>•Ex-employees have been invited back in to FCR under zero hours contracts, three are actively working in FCR and a further two undergoing checks.</li> <li>•To ensure call demand is met on the frontline a MOU entitled 'Collaboratively meeting demand' has been agreed between FCR, IRT, NPT and CDSOU, which documents the escalation process to promote prompt attendance at all immediate and priority graded incidents.</li> <li>•A new Primary Crime Investigation Unit (PCIU) has been set up (Mar21) within the FCR, it is to focus on crime recording and desk top investigations. The aim of PCIU is to tri-age each incident ensure that they are responded to appropriately. They will also assist to reduce demand on Dispatchers and improve the quality of those incidents that are placed on IRT, CID and NHP Teams.</li> <li>•FCMU business case approved and the recruitment of a 20 strong team is underway, with 9 FTE in place and team leader recruitment ongoing.</li> <li>•The FCR project is now well developed and reports on a bi-monthly basis to the Managing Demand Delivery Group. The weekly FCR gold groups allow for all emerging issues to be discussed and actioned. A full review of the project has been completed and the FCR delivery and change plan details all the key deliverables along with the timeline for delivery.</li> </ul>		<p>has been created and recruited into, commencing 01/12/21.</p> <p><b>Person Responsible:</b> Supt FCR</p> <p><b>To be implemented by:</b> 01 May 2022</p>	

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
1552	<p>SR22 - Failure to meet compliance with all requirements of GDPR and Data Protection Act 2018</p> <p><b>Risk Owner:</b> Deputy Chief Constable</p> <p><b>Last Updated:</b> 02 Mar 2022</p> <p><b>Latest Review Date:</b> 02 Mar 2022</p> <p><b>Latest Review By:</b> Risk and Insurance Manager</p> <p><b>Last Review Comments:</b> The GDPR audit work with the IAO's continues to identify some specific areas we need to work on within business areas and to fully document the Record of Processing Activity. Governance arrangements now made to the Information Assurance Board mean that the relevant stakeholders will be sighted on risk and involved with appropriate decision making around information assurance. The completion of the ICO self assessment toolkit will be pivotal in identifying and documenting areas of non-compliance and work needed to become compliant, this will underpin future FMS submissions for Information Management.</p>	<p>The UK GDPR and Data Protection Act 2018 are designed to harmonise data privacy laws; to protect and empower citizens data privacy and to reshape the way organisations approach data privacy. This reform took place in May 2018. Organisations must comply with the legislative including the six data protection principles covering lawful basis and transparency, data accuracy, data breaches, retention, deletion and MOPI (see linked risk 1434). The new data breach statutory reporting timeline (72 hours) will make the Forces management of GDPR &amp; DPA 2018 more transparent to the ICO. The Force had dealt with five significant internal data breaches in 2018/19, with the potential loss of personal data. Failure to comply with the legislation face heavier fines than previously set. Fines can reach up to €20m (£17m) or 4% of our turnover, even lower level enforcement such as enforcement notices and audits can be disruptive and costly to service, reputational damage, reduction in public confidence and the risk of civil claims from poor data management are also consequences of non-compliance.</p> <p>The DPO is in the process of taking the organisation through the ICO's accountability self assessment tracker. Some significant areas of non-compliance with the legislation have already been identified,</p>	I = 4 L = 5 Primary (20)	<p>Officer and Staff blue 'day' books have been logged, returned and replaced with an auditable solution; by application only, logged, with numbered pages and containing guidance (DPA18). Sensitive data is to be removed and scanned with an index to the rear.</p> <p>Secondary sign off now applied for issuing forward facing external publications by the line managers as a double check for any personal data that should have been redacted.</p>	I = 4 L = 3 Primary (12)	<p>Software system was purchased early 2021 - 'Veritas' which is utilised to locate, manage and delete or retain unstructured data. This has not yet been deployed to our network, pending some ICT input that is required. Update 6th Jan 22 - we await input from ICT to enable servers to host the Veritas solution and allow Veritas the access to deploy. Review again in 3 months.</p> <p><b>Person Responsible:</b> Head of Information Management</p> <p><b>To be implemented by:</b> 31 Mar 2022</p>	6



## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
		including we do not have data processing contracts in place with our data processors, we have not reviewed the privacy notices on our forms and data collection points, we do not have information sharing agreements covering all sharing arrangements, further areas of non-compliance will be fully known once the self assessment has been fully worked through. Once this is known, the full picture will be raised with the Information Assurance Board and some proposal to plug the compliance gaps or accept the risks will be put forward.		<p>The Force has a dedicated Data Protection Manager, with role profiles for their staff documented.</p> <p>The Share Point site is utilised to log archived material sent to Re-store.</p> <p>The Information Assurance Board ToRs and membership have recently been amended to ensure the group has oversight and decision making with regards compliance with data protection law and are sighted on risk, chaired by SIRO.</p> <p>A Police regional group meet to share good practice. A national working group 'Article 29' provide clarity and advice; the Data Protection Manager reviews and adapts this for the Force.</p> <p>The Force has appointed an Information Security Officer, who works closely with ICT to protect data.</p> <p>The Information Rights Unit has undergone a re-structure, affording more resilience across the Teams.</p> <p>The inclusion of a GDPR Auditor – to audit compliance with GDPR across the Force, formalising the structure under DP legislation, promising additional functionality to support those statutory roles.</p>		<p>To create further resilience the team will encompass SAR (Information Rights) and FOI.</p> <p>The GDPR Auditor is commencing further work to complete the Record of Processing Activity and identify all data processors we use and information sharing arrangements we have. The DPO is to complete the self assessment exercise. We face challenges in both maintaining the business as usual and fixing the backlog activity as IMU are presently not resourced to accommodate this. The best endeavours we can achieve at present are to identify the areas of non-compliance and record them.</p> <p>IAO will progress data workflows moving forward with the controls being tested annually or when there is data breach. Once C19 restrictions relax audits will commence. In the meantime, the GDPR Auditor is meeting with each IAO to identify specific gaps with non-compliance and update the DP register / Record of Processing Activity.</p> <p>Update 28/02/22 - Approval granted for the establishment of 1FTE Information Governance Manager who will line manage the Information Rights team, thus freeing up the DPO to concentrate on the fulfilment of statutory DPO duties, work on the ICO toolkit expectations and supporting the Change Programme. As well as being assisted in these areas by the new role.</p>	

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
				<p>The Information Security Board has become the Information Assurance Board with revised terms of reference and membership, including many of the Information Asset Owners. This group will have oversight of the compliance with data protection legislation.</p> <p>An Information Asset Owners group exists, chaired by the Force SIRO which is currently under review given the revision to the aforementioned Board, having taken on much of the scope of the IAO Board. It may be that the IAO Board meets sporadically to discuss emerging issues.</p> <p>The GDPR Auditor is currently working alongside all IAOs to complete some of the gap analysis work. A risk register was established to ensure appropriate governance of information security and data protection (this doubles up as our Record of Processing Activity, a requirement of the law).</p>		<p><b>Person Responsible:</b> Head of Information Management</p> <p><b>To be implemented by:</b> 30 Aug 2022</p>	

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
						<p>The DPO is completing an ICO self assessment toolkit on governance and accountability, which assesses CVP's compliance with the 338 expectations the ICO has of any data controller. This toolkit allows us to identify where our areas of non-compliance are, and to document the work needed and progress towards those expectations. The dashboard of compliance and progress is now reported to IAB.</p> <p>Update 6th Jan 22 - the self assessment is now complete, Cleveland Police are currently compliant with approximately one third of the ICO's expectations. Leaving two thirds of the expectations in a state of 'partially compliant' or 'not compliant'. Work now commences to progress through these expectations to become compliant, though is dependent on additional resourcing requested through the FMS process. Work has begun to address some of the fundamental governance expectations including the writing of several key policies and procedures. Pushed on implementation date to review is a year's time, though it will take much longer to complete this action.</p> <p><b>Person Responsible:</b> Head of Information Management</p> <p><b>To be implemented by:</b> 31 Dec 2022</p>	

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
						<p>Workflow assessments complete, with some producing actions.</p> <p>An extension to the newly formed Information Asset Owners Board (IAO) needs to be developed with prescript terms of reference to move forward with historical data and deletion. Update 15/10/21 – the IAO board is under review given the revision to the newly formed Information Assurance Board.</p> <p>500 unassigned boxes in Re-Store need to be retrieved, searched and documented, this is in addition to all hard copy paperwork across the organisation.</p> <p>The Records Manager is embarking on work to understand where our highest risk areas of document retention exist (both electronically and in hard copy) and will put forward a paper to IAB highlighting the risk and options. Update 15/10/21 - The Oracle Optimisation programme Data Readiness Stream will bring to the fore the People Services related paper storage boxes.</p> <p><b>Person Responsible:</b> Head of Information Management</p> <p><b>To be implemented by:</b> 31 Dec 2022</p>	

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
1569	<p>SR26 – Force failing to identify at first point of contact DA Victims and ensure effective recording and response.</p> <p><b>Risk Owner:</b> Assistant Chief Constable</p> <p><b>Last Updated:</b> 28 Feb 2022</p> <p><b>Latest Review Date:</b> 28 Feb 2022</p> <p><b>Latest Review By:</b> Risk and Insurance Manager</p> <p><b>Last Review Comments:</b> Risk reviewed by both DCI's DA, with three actions fully implemented and now forming risk mitigation. This has resulted in the residual risk score dropping down one point from significant to moderate impact. Further work is needed to reach the target risk score.</p>	<p><b>Cause:</b> When the risk was identified in January 2018, 63% of domestic abuse calls were being logged against codes which reflected an incident as opposed to a crime. So at first point of contact and subsequently throughout the life of an incident the Force is not supporting victims of crime.</p> <p>1).The challenges of the relevant command functions (control room / IRT / PVP) managing high demand levels and competing priorities, coupled with a lack of understanding and appreciation of risk within this.</p> <p>2).Crime offences are not identified along with vulnerability and therefore safeguarding is not being provided.</p> <p>3).There is a lack of clear understanding of the requirements of NCRS in respect of identifying vulnerability and potential crimes.</p> <p>4).Officers attending jobs are often submitting a below par sequel not covering the exact circumstances.</p> <p>5).History checks of incidents are being dealt with in isolation whilst other information is held.</p> <p>6).Incidents are closed with insufficient rationale to justify the closure; and</p> <p>7).DASH forms are not checked sufficiently by Supervision before final submission and are not being submitted in a timely fashion, which could delay safeguarding being implemented.</p> <p><b>Effects:</b></p>	I = 4 L = 5 Primary (20)	<p>All IRT and NHPP Officers have access to Body Worn Video (BWV), which provides first hand clear evidence of each job. New equipment was rolled out Aug20. It has been mandated that it is turned on to all DA's and also if retraction statements are taken. As standard the vulnerability desk prompt all Officers attending DA's to turn on BWV and a performance question set is built into Storm and is fed back monthly to IRT regarding compliance. (Cause 4).</p> <p>Audits and quality checks of DA recommenced in March 2020, with findings being highlighted and tackled. Extraordinary reports are produced and reported to the bi-monthly Safeguarding and Vulnerability Board and a monthly management governance meeting. Internal Audits conducted by RSM. (Cause 2, 3, 4, 6 and 7).</p>	I = 3 L = 4 Primary (12)	<p>The dedicated DA vehicles used on weekends are currently being evaluated as to their effectiveness (following Op Phoenix); following which a report / business case will be produced should it require one.</p> <p>Update 28/02/22 - Following Op Phoenix, Op Guildford has been run and fully evaluated and a business case is being compiled re if this is to become BAU.</p> <p><b>Person Responsible:</b> Safeguarding Superintendent</p> <p><b>To be implemented by:</b> 31 Jul 2022</p> <p>Training - Raising Investigative Standards (RIS) has been delivered via specialists in each area and is mandated, commenced Jan20 (Full delivery slightly delayed due to Covid19). RIS 2 was launched 30/09/20 ahead of RIS 3 (Mar21) in addition to an evidence led NCalt package (both mandatory).</p> <p><b>Person Responsible:</b> Safeguarding Superintendent</p> <p><b>To be implemented by:</b> 31 Jul 2022</p>	6

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
		<ul style="list-style-type: none"> <li>•The Force is at risk of failing to identify at first point of contact and at other points throughout the process that a caller is a victim of crime, in particular to reports of domestic abuse.</li> <li>•Cases could escalate resulting in serious harm or death of the victim.</li> <li>•Victims could be subject to further victimisation.</li> <li>•This will have a detrimental effect on the trust and confidence of victims of domestic abuse and could result in repeat callers thus increasing demand; and</li> <li>•There is also a failure to signpost vulnerable victims to partner agencies for safeguarding support.</li> </ul>		<p>Call takers are trained to recognise any incident that falls under the NPCC and NSIR definition of a domestic incident; complete initial risk assessment and grade the response accordingly. All new FCR call handlers have an input from safeguarding regarding recognising the risks. STORM prompts with a pop up - 'STOP - Is this a CRIME? Is there an assault, damage, harassment or coercive control - if so, change to a crime NOT PS11 and describe what the caller has told you'. Recent performance data shows yet further improvement recording in line with NCRS for DA at 92.9% compliance; recent stats show Cleveland Police has the highest recorded crime per head of population with a 17% increase in stalking and harassment offences alone, CP also has the second highest recorded DA rates in the country. (Cause 2).</p> <p>DA Matters training now mandated Forcewide and all operational staff have completed this now. In conjunction to this DA Champions and train the trainer has been rolled out with a large take up. Sharepoint site created and CPD events arranged - ongoing.</p> <p>DAST team fully embedded into the DA team, key functions all catered for. The position is imminently expanding to include a MARAC coordinator and clerk.</p>			

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
				<p>FCR have a dedicated qualified trainer, one team leader and three tutors in place in their own L&amp;D Hub, with all staff having been trained in stalking and harassment (recognition/ identification), as well as DA Matters (including front desk staff), SME's from across the Force are invited in to talk about their business areas, e.g. safeguarding. (Cause 2 and 3).</p> <p>Further compliance measures were introduced into the control room environment by staff from both the control room and the vulnerability desk carrying out dip sampling of opening and closure codes to ensure they are correct. (Cause 2, 3, 4, 5 and 6).</p> <p>HMICFRS conducted an interim inspection in Oct 20 and they identified some good practice, although with some work to do.</p> <p>ICE (Initial Customer Enquiry system) software application allows call handlers to record top level caller incident information and obtain THRIVE data relating to the call, providing call handlers with cleaner data. In addition to this the majority of call handlers are also now trained on NICHE Viewer which affords a greater degree of information availability. Full Niche training online is being developed at the moment. (Cause 2).</p>			

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
				<p>Internal promotion of DA, highlighting the issues and correct procedures to follow, with guidance documents on key crime types having been created and hosted on the NCRS webpage and shared with Commands in a booklet. A Public Protection Notice (PPN) poster has been distributed as well as 'Cherish' for Op Encompass focusing upon children. Comms sent focusing upon set areas, including shift talks re evidence led prosecutions. Fortnightly safeguarding bulletin. New process implemented needing Inspector sign off of DA's. (Cause 3).</p> <p>Masterclasses held with line Supervisors, Inspectors and third party agencies, to create best practice and correct the failings. The PVP Supt has briefed partners within the local safeguarding boards of the issues faced. Training delivered – 'Vulnerability Look Beyond the Obvious' from the College of Policing, tailored to Cleveland Police and our specific issues. Coercive control training, to upskill staff, focusing on victim needs/our perception, this is mandatory and delivered to all Frontline Officers/ Staff. Staff development days for IRT supervisors looking at the HMIC findings with input from Safeguarding. Mandated Raising Investigative Standards 1, 2 and 3 training for all front line staff. DA Matters (third party) now mandated Forcewide. DA Toolkit complete and rolled out Forcewide, along with Officer crib cards and safety toolkit. (Cause 3 &amp; 4).</p>			



## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
				<p>New software solutions are in place: Power BI is a crime management tool, which as at end Sep 20 showed 99.4% submission of PPN's with a 70% data quality compliance. Control room supervisors can also see at a glance DA incidents and response times. An App is also in use on Officer mobile devices enabling them to complete a PPN at scene.</p> <p>Update 04/11/21 - A change to internal processes has resulted in a slight drop in submissions, year to Sep 21 is at 97%, although the quality has increased (re capturing childrens info), which at Sep 21 is at 88%. (Cause 7).</p> <p>The DA Rolling outstanding suspects has been reviewed by DCI DA and IRT with a new procedure put in place, with a fortnightly 'wanted' meeting, this ensures ownership at the earliest opportunity and a safeguarding and arrest strategy with constant supervisory overview, this features daily on Pacesetter and pre-pacesetter suspect allocation meeting. (Cause 1, 4 and 7).</p> <p>The Domestic Abuse Governance Group chaired by the D/Supt PVP feeds into the Safeguarding Vulnerability Delivery Group chaired by the H.O. Crime, driving improvement with DPO's (Cause 3, 4 and 7).</p> <p>There are also multi agency group meetings with the setting up of a Multi Agency Children's Hub (Mach and CHUB).</p>			

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
				<p>The PVP Hub/CHUB and MACH following review will send back PPN's to shifts if incomplete/poor standard. Safeguarding will always be addressed. Data Quality check is contained within NICHE to be reviewed by PVP Manager to identify theme, and areas for development/improvement on a monthly basis. These will be reviewed and learning shared and tested. (Cause 2,3,4 &amp; 7).</p> <p>The Vulnerability Desk (16 Officers additional to) FCR, sit between the call taker and the dispatcher in terms of information flow. They will review the incident completing a six point check in Storm and send to dispatch for disclosure. Officers have quick access to DA history in Power BI which can be relayed to the Officer in attendance and also populates the log for future history checks. The vulnerability desk also liaise directly with support agencies and make referrals alongside PVP Hub and DAST. They are also now on a 5 shift system. Two staff from VCAS are also back in attendance within the FCR and the IDVA (seconded from My Sisters Place). (Cause 3, 4, 5, 6 and 7).</p>			

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
				Within the FCR each team now has two Inspectors (FIM's) and one Sergeant plus two Team Leaders. Monthly audits are in place to check Thrive and Re-Thrive has been applied appropriately. An additional Vulnerability tag has now also been introduced in Storm which helps to highlight events that have been identified as including an element of risk or vulnerability. On-going Thrive training for FCR staff has increased confidence that threat, risk harm and vulnerability factors are addressed at first point of contact. This is audited to ensure compliance. No DA job is closed without input from the Vulnerability Desk. (Cause 2 &3).			

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
1661	<p>SR35 - The Force's ability to deliver the scale of change required by HMICFRS.</p> <p><b>Risk Owner:</b> Deputy Chief Constable</p> <p><b>Last Updated:</b> 17 Nov 2021</p> <p><b>Latest Review Date:</b> 04 Mar 2022</p> <p><b>Latest Review By:</b> Risk and Insurance Manager</p> <p><b>Last Review Comments:</b> Risk update input has been garnered from the SIT Programme Manager, Director of HR, the Head of Legal Services and the Head of Financial and Payroll Services. The ethical cause for concern is very close to sign off, only Custody work remains. The two way engagement piece will be ready for sign off this year. Succession planning is a work in progress. Prevention work is yet to be embedded. Demand work - all operational areas need demand profiling - 2 year piece of work.</p>	<p>Cause</p> <p>HMICFRS have raised 6 causes of concern along with 30 recommendations as part of the PEEL inspection 2019, along with an existing cause for concern and 26 outstanding recommendations and areas for improvement from previous inspections. This risk encompasses all work streams for the 6 causes of concern - The ineffective management of demand is putting the public at risk of harm. The Force can no longer police by consent because it is not engaged with its communities. The Force has a purely reactive approach to policing and is unable to prevent crime and protect its communities. The Force is putting vulnerable people at risk. Unethical behaviour by officers and staff become the norm based on behaviours demonstrated by senior leaders, and The Force will be unable to recruit and retain the right staff in sufficient numbers. In addition to the above, there have been subsequent inspections on other areas of the Force which have similarly produced causes for concern/ recommendations and AFI's, one such area being Custody, with cell call bells, ligature points, and minor cell defects all noted. Effect</p> <p>A significant amount of change is necessary to all business areas including operational policing and</p>	I = 4 L = 5 Primary (20)	<ul style="list-style-type: none"> <li>•Overarching policy, procedures, checklists and guidance on approach to organisational change underway;</li> <li>•Organisational change policy and procedure identified (employment related policy).</li> <li>•The Force has compiled an overarching change matrix to capture all ongoing and planned change/project activity and work has been prioritised against five priority areas set by the DCC (Force Control Room, Raising Investigative Standards, Vulnerability, Integrated Offender Management and Resource Management Unit) to ensure that delivery is coordinated and resources are appropriately aligned. This is maintained by Corporate Services and will be monitored through the Managing Demand Delivery Group and Futures Board.</li> <li>•Some areas of the Force are a collaborated service not Cleveland only and have the ability to draw on a wider team of expertise and this has been of substantial benefit in those areas where change programmes have impacted adversely; e.g. employment risk and litigation enabling us to impact on demand and keep costs on external providers to a minimum.</li> <li>•Support from CoP and other forces has been engaged to provide peer review and good practice.</li> <li>•Oversight and support from PPOG (which will likely run through to 2023).</li> <li>•Rigorous scrutiny and governance is in place via the Force Delivery and Assurance Groups, Futures Board, CDI Gold Group, Service Improvement Board, Audit &amp; Inspection Monitoring</li> </ul>	I = 4 L = 4 Primary (16)	<p>The Force has identified we have a vacancy gap and now the establishment is approved (end March 2021), plans are in place to fill the approved vacancies asap. The underlying budget was set with a vacancy factor of 6.15% which is a reasonable level of attrition for Police Staff.</p> <p>The forecast for staff pay is for an underspend of £1.2m against the budget, this is as a result of a large number of vacancies in the base budget, increase in number of leavers and inability to recruit into roles at such a level that results in us being net gainers rather than recruiting to stand still. Which results in our posts remaining vacant for longer and contributing to the large underspend, which could impact on this risk.</p> <p><b>Person Responsible:</b> Chief Finance Officer</p> <p><b>To be implemented by:</b> 31 Mar 2022</p>	4

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
		<p>enabling services.</p> <p>The scale of change and the organisational readiness for change required will need careful planning and control to ensure that change is prioritised, controlled and embedded, alongside our capacity and capability to the delivery of a business as usual continuous improvement programme, alongside the level of planned change.</p> <p>Inability to demonstrate delivery will impact public confidence both in policing services and our ability to respond to HMICFRS recommendations.</p> <p>Wholesale organisational change brings with it inherent risks of increased litigation, which creates unexpected demand on certain areas of the Force, creating an impact on the ability to be able to service this demand, whilst also maintaining performance as an 'enabler' to the change and as a service provider, possibly resulting in a delayed implementation.</p> <p>Change programmes may also impact further, on teams carrying vacancies, as departments undergoing change programmes may not recruit to specific vacancies until the change programme has been developed, consulted on and begun implementation, leading to capacity issues. (Although this may impact positively on the ability to maintain the 6.15% Police Staff vacancy gap, required to achieve a balanced budget).</p> <p>Possible harm caused to a detainee</p>		<p>Board, Custody Management Group, the OPCC and through the Joint Audit Committee.</p>		<p>•Growth for Police Officer and Police staff are agreed for 2021-22 and beyond, which will help the capacity issues; and</p> <p>•A skills audit is in place, which is continually improving so that we can understand current capabilities and inform the Force TNA to close any gaps and up skill the workforce for the future. Update 09/11/21 – The existing skills gap is being improved for accuracy, timeliness and understanding, with progression in the areas of response and investigation; with basic skills training now rigid and tied in with shift patterns. This is a work in progress, with processes improving year on year, including new governance structures – The L&amp;D Governance Board and the People and Wellbeing Board.</p> <p><b>Person Responsible:</b> Human Resources Director</p> <p><b>To be implemented by:</b> 01 Jul 2022</p>	

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
		whilst in our care, and ensuing litigation, investigation and reputational damage.					

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
1662	<p>SR36 - The Force is facing continued historic litigation.</p> <p><b>Risk Owner:</b> Deputy Chief Constable</p> <p><b>Last Updated:</b> 28 Feb 2022</p> <p><b>Latest Review Date:</b> 28 Feb 2022</p> <p><b>Latest Review By:</b> Risk and Insurance Manager</p> <p><b>Last Review Comments:</b> Risk updates applied by the Director of collaborative Legal Services. Due to the very nature of this risk, mitigation will not immediately address it, but it should lessen the risk going forward. Upon review the risk impact has been mitigated from its inherent catastrophic to significant.</p>	<p><b>Cause</b> Causes of litigation past and current can be directly attributed to cultural, behavioural and procedural internal issues</p> <ul style="list-style-type: none"> <li>-Linked to HMICFRS causes of concern;</li> <li>-Procedural justice and fairness;</li> <li>-Institutional racism/ discrimination;</li> <li>-Profile of litigation:</li> <li>-discrimination,</li> <li>-whistleblowing,</li> <li>-Abuse of Police powers.</li> </ul> <p>this has a cumulative effect of various legal challenges against the Force (ET, IPT, IOPC investigations, grievances, complaints from Officers and Staff and civil claims {some of which are linked to recent cases and all except the civil claims fall outside of the insurance covers}).</p> <p><b>Effect</b> The cumulative effect of these challenges could be highly damaging to the Force reputation and result in significant financial implications diverting essential funding and resources needed to deliver identified changes. The historical nature creates an issue in locating available, credible witnesses to aid the Forces ability to marshal its best response. This also impacts on trust, morale and culture. (Link to SR31 and Force's inability to recruit based on reputational damage).</p>	I = 5 L = 4 Primary (20)	<p>The introduction of the Standards and Ethics board is a useful tool in the organisational armoury.</p> <p>Early identification and intervention of potential issues (HR, Line Management, staff associations); with fair, consistent and timely resolution of grievances.</p> <p>In-house clearly defined litigation strategies and case reviews provide ongoing scrutiny of high risk litigation and learning opportunities.</p> <p>Continual review of potential financial liabilities, linking in with legal monthly and review, where appropriate, with the OPCC CFO.</p> <p>Designated Point of Contact for IOPC in respect of ongoing investigations.</p> <p>DSE – Integrity health check.</p> <p>DCC has oversight of high value litigation claims and DSE. Cases with an element of risk are tracked centrally within legal services and reported on.</p> <p>The Force use Alternative Dispute Resolution/ mediation where appropriate – and where the issues in dispute can be addressed as well or better, by ADR than by adversarial litigation. Where cases are properly defended, these are resourced appropriately.</p> <p>Use of appropriately skilled and knowledgeable advice/ advisors; and high quality specialist advice, external counsel ensures quality and expert advice is available to decision makers.</p> <p>Early and thorough involvement of in-house lawyers with subject matter expertise drawn from across Evolve.</p> <p>The OPCC statutory officers (x2) operating in accordance with the</p>	I = 4 L = 4 Primary (16)	<p>To implement recommendations from the Weightmans review of RIPA's (11/20). Similarly, the continual review of best practice arising from Investigatory Powers Commissioners Office (IPCO), inspections and all other regulatory compliance inspections. Use of external expertise to review actions taken, where applicable to revise on remaining operational issues and support decision making.</p> <p>The Equality Diversity Inclusion Team and the ongoing work to develop and innovate in professional standards plus all of the work underway to lead and engage better and differently internally and externally is continuing. Reporting to the EDI Board and Organisational Learning Board. Mitigation of this risk will be found in part by increasing confidence in Cleveland Police (both internally and externally).</p> <p>The Force needs to undertake work to engage and build confidence amongst persons who have made or may consider making, public interest disclosures – i.e. whistleblowing. Expressions of public concern in the workplace context are valuable sources of organisational learning and can trigger 'early intervention' measures provided they are handled well. Measures to ensure that no detriment (or perception of the likelihood of detriment) arises are vital in this context. This is an area for development by the Force. An audit in summer21 found policy revisions were needed – work now underway.</p> <p>The approach that the DCC is leading is to embed ethical decision making</p>	6

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
				<p>Scheme of Governance, have involvement on large settlements, with scrutiny of decision making, and risk management. The OPCC CFO scheme of delegation in place with view to setting up a forum to discuss high risk litigation cases.</p> <p>Continuity of the chief officer responsible for high risk litigation creates stability and consistency of approach. Any change to the stability of the COT could have an impact on litigation strategies.</p> <p>Effective use of performance and development tools, such as PDR help identify areas of skills gaps and development, including ethical issues.</p> <p>Application of Force and National guidance and the National Decision Making model for deviation from guidance.</p> <p>Use of external expertise to review actions taken where applicable and to advise on remaining operational issues and support ethical decision making.</p> <p>Ethical issues are a standing agenda item on all Force meetings, and feature as part of each individuals PDR.</p> <p>A dedicated policy advisor has recently been appointed within HR.</p>		<p>across the organisation and ensure that we are all held to the highest standards of behaviour via the code of ethics. Part of this approach is also to ensure we are policy compliant and that the policies themselves support an open, ethical approach to decision making. All policies are reviewed by the Head of Legal and the Executive Board prior to release. Significant review of policies has been undertaken and is ongoing in HR; with a dedicated policy advisor recently appointed.</p> <p>Fair and proportionate application of policy; adherence to policies to ensure fairness; along with surety that policies are fully embedded.</p> <p>The Force must demonstrate transparency in decision making to demonstrate fairness and consistency of approach.</p> <p>Policy gaps have been reviewed and is ongoing and will assist in ensuring that fairness is achieved through policy review and incorporation within policy changes.</p> <p><b>Person Responsible:</b> Deputy Chief Constable</p> <p><b>To be implemented by:</b> 31 Dec 2022</p>	



## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
1685	<p>SR38 - Denial of IT systems/ data</p> <p><b>Risk Owner:</b> Deputy Chief Constable</p> <p><b>Last Updated:</b> 03 Mar 2022</p> <p><b>Latest Review Date:</b> 03 Mar 2022</p> <p><b>Latest Review By:</b> Risk and Insurance Manager</p> <p><b>Last Review Comments:</b> As infrastructure is replaced and upgraded and security around this tightened, the risk will begin to lessen over time. Resilient internet links are due to be signed off very shortly. A cyber posture test in June will highlight further opportunities to close any gaps.</p>	<p>The large number of businesses worldwide have seen a significant jump in cyber-attacks, due in part to an increased number of employees working from home during the pandemic, with most reporting an increase in COVID-19 related malware. The global pandemic also revealed gaps in organisations' disaster recovery plans and IT operations.</p> <p>COVID-19 inspired malware saw the highest jump across the globe, with notable increases in such threats compared to typical volumes before the outbreak. Pandemic aside, businesses reported a climb in cyber -attacks over the past year, with a high percentage noting an increase in the level of sophistication in such threats.</p> <p>Vulnerabilities in Operating Systems were the most common cause of breaches, as cited by IT professionals worldwide.</p> <p>Ransom Ware is a particular threat with variations of the RYUK malware hitting local Teesside Local Authorities, North East Universities and against the National Single online Home website. The malware encrypts organisational data making it inaccessible to users and often the ransom demanded can be in the form of bitcoins to the value of millions of pounds.</p> <p>To put in context were such an attack to target Cleveland Police we could lose access to most if not all of our operational (except PNC and</p>	I = 5 L = 4 Primary (20)	<ul style="list-style-type: none"> <li>• Firewall in place/ continual monitoring and reporting of attacks.</li> <li>• Sophos Anti-Virus software running.</li> <li>• End user training and appreciation of cyber risk.</li> <li>• Regular reminders to staff around internet security (not opening suspicious emails, not plugging in unauthorised devices, restrictions on USB ports in monitors, etc). No CD drives in new issue laptops (providing physical barrier to insertion of discs).</li> <li>• A triage process in place for requests to obtain USB/disc access with advice provided to the recipient.</li> <li>• Regular software patching regime implemented.</li> <li>• In regards the specific risk posed by NICE investigate - Kinisense is to be utilised to run anti-virus checks on the media sources, off network prior to uploading to NICE. There are 50-60 Kinisense machines across the Force. Implemented the solution for direct loading into NICE Investigate from Kinisense, thus mitigating this risk aspect.</li> <li>• Expedited Windows 7 residual Win 10 replacements - all complete no Windows 7 assets left.</li> </ul> <p>The on-premise back up platform architecture now has new "Immutable" backup technology. The backups are permanent read only and cannot be encrypted and held to ransom for de-encryption. It provides ransomware data risk protection at the backup platform level. Whilst, this does not protect from, or prevent a cyber-attack, it greatly lessens the impact and recovery timescales and cost.</p>	I = 5 L = 3 Primary (15)	<p>To add a new internet links solution which will provide Cleveland Police with fully load balanced resilience, fully diverse 2 x 1GB circuits to each site and fully resilient fail over.</p> <p>As an addition it will also include fully Managed Dedicated Denial of Service (DDoS) Security, which 'cleans' and sorts the internet traffic, once triggered. This does not specifically mitigate the Malware/ransom ware risk but is enhanced cyber protection against malicious internet traffic so is mitigation against the high level threat of cyber attack.</p> <p>Work will progress in line with the FY21/22 ICT capital plan to further assess and enhance controls where required.</p> <p>Update 10/11/21 - Now installed new diverse internet links with enhanced DDoS protection from BT to augment our perimeter defence firewalls, and provide independent diverse routing so there is no single point of failure on any links. Yet to be fully commissioned.</p> <p>Update 03/03/22 - Resilient Internet Links, completion of physical installs 14/03/22.</p> <p><b>Person Responsible:</b> Head of ICT</p> <p><b>To be implemented by:</b> 31 Mar 2022</p>	6

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
		<p>PND and web hosted applications) and corporate data until such time as a ransom was paid potentially in the £ millions that would be funding organised crime or potentially terrorism, or we resolved the attack, but a large proportion of data loss could be expected. The reputational and financial impact could be extremely significant as could the impact on the communities we serve due to the operational and business impact of the attack. The proximity of such an event is increasing over time.</p> <p>One particular vulnerability we carry was opened upon the Force release of NICE Investigate online evidence store, which prompts by its very function for personnel to take digital evidence from external third parties and upload it to the Force cloud space/ network. There is no built-in anti-virus checking which could lead to a virus infecting the whole Force computer network resulting in possible malware installation, ransom ware, system failure, loss of /inaccessibility of data resulting in reputational damage, ICO investigation and subsequent financial penalties.</p>				<p>Until we have significant assurances in place to prevent, detect, contain and remediate any such attack. Plans are being drawn for an independent strategic cyber posture assessment exercise by ethical hacking/cyber assurance partners to baseline our current levels of defence and detection capabilities from a technical perspective, however there is equally a serious risk of social engineering or user based cyber compromise that will need non-technical approaches to address such as user awareness, training, and comms plans. A cohesive response plan is needed, best achieved with a covering project approach with scope deliverables to include:</p> <ul style="list-style-type: none"> <li>• Independent Cyber posture assessment to baseline the technical weaknesses and potential impact of any attack, with a remediation report that may inform the below steps: Update 22/10/21 - RMI to audit the forces cyber posture (risk, processes, tools and protection) in June 2022 for the internal audit requirement for ICT. Any resultant remediation actions will be forwarded to update the risk.</li> <li>• Firewall upgrade assessment - this is underway and will give enhanced capabilities for network perimeter defence. Update 22/10/21 - Now upgraded the Force firewalls with new Check Point technology with enhanced cyber threat capabilities. Stage 2 of this work is to implement new email and web filter protection on the firewalls; due to complete end 2021. Update 03/03/22 - Web filter protection complete. All email now via NEP in line with national</li> </ul>	

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
						<p>programme.</p> <ul style="list-style-type: none"> <li>• Sophos AV upgrade or replacement review. Update 22/10/21 - Review complete, it will be replaced. Update 03/03/22 - Sophos is being deleted and has no traffic.</li> <li>• Alerting and monitoring tool review with a potential protective monitoring managed service (£60k in this year's capital plan for such but needs review and cross matching with NEP NMC roadmap and limited time/resource to apply to it).</li> <li>• Comprehensive training and comms campaign with online cyber awareness course with confirmed and tracked completion requirement.</li> <li>• Cyber risk scanning process/improved national/regional info on risk and impacts.</li> <li>• DR/BCM, ICT and Info Sec worst case scenario review/War game of ransomware attack that encrypts data and elicits a ransom payment demand - implementing lessons learnt. Update 22/10/21 - Conducted a cyber-attack workshop exercise with Force Incident Managers and regional cybercrime colleagues. To develop cyber incident processes and playbooks as a result.</li> </ul> <p><b>Person Responsible:</b> Head of ICT</p> <p><b>To be implemented by:</b> 30 Jun 2022</p>	

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
1706	<p>SR39 - The Force not maximising the use of civil orders and protecting victims</p> <p><b>Risk Owner:</b> Assistant Chief Constable</p> <p><b>Last Updated:</b> 04 Mar 2022</p> <p><b>Latest Review Date:</b> 04 Mar 2022</p> <p><b>Latest Review By:</b> Risk and Insurance Manager</p> <p><b>Last Review Comments:</b> Risk updated by SIT Programme Manager, due to low resource and affordability the Force will prioritise five of the civil orders available and concentrate efforts onto these.</p>	<p>As a Force we currently do not maximise the issuing of civil orders to prevent further crime and protect victims. There are a whole host of civil orders which the Police have at their disposal to safeguard victims and/or our communities without bringing criminal charges, for example - SRO's / SHPO's / DVPO'S.</p> <p>A failure to do this leads to more victims/ further victimisation resulting in an increase in calls for assistance and Force demand rising, creating a perpetual cycle around certain offenders. The issuing of orders will seek to break these cycles thus in turn lowering demand. It is a shift from reaction to prevention.</p> <p>It is an opportunity risk in that investment needs to be forthcoming to reap reward thereafter. This increase in additional workload will impact on numerous areas across the Force, ultimately manifesting itself within the Legal Services department (disclosure team). One element to this risk is the capacity of the disclosure team to manage the demand of requests coming from the local authorities/family court for disclosure. Occasions may arise when there may be a requirement to outsource some of this excess workload which will create a financial impact. Also the courts will need to be made aware as it will also impact upon them.</p> <p>A secondary element is the wider</p>	I = 3 L = 5 Primary (15)	<p>The Force is on stage three of a programme of work to Raise Investigative Standards (RIS), which is mandatory for all frontline staff/officers. This will help inform and embed the processes and benefits of issuing orders.</p> <p>This in turn will make the whole process from end to end slicker and less resource intensive, if the paperwork is correct at the initial stage.</p> <p>This will be subject to a reality check in Jan 22 to check improvement.</p> <p>The Service Improvement Team are running a pilot of 60 offenders across 4 different areas of NHPP - this may result in an increase in orders. But, this will be managed, monitored, controlled and reviewed - with lessons learned disseminated.</p>	I = 3 L = 5 Primary (15)	<p>Legal Services are to monitor and review the demand generated from the initial pilot scheme and liaise with SIT to form a holistic overview. An external review will hopefully commence summer 21 regarding the disclosure team and demand profiling.</p> <p>Update 02/11/21 - This has resulted in a special grant bid to Central Government for £10m over 3 years, which will encompass an uplift of 7 (4 Lawyers and 3 Paralegals) within Legal Services; this is written and with the Executive for approval before final submission.</p> <p>Appended to this is a push to attain pre-austerity Police Officer numbers. The demand findings will be entered into the Force Management Statement (FMS).</p> <p>Update 04/03/22 - A bid was developed and submitted for a special Grant which was not approved therefore milestones in this area will not be achieved as funding is not available. FMS decisions have also been confirmed and predominantly will not be affordable. This now links to the other actions and an amended way forward.</p> <p><b>Person Responsible:</b> Risk Champion Legal Services (2)</p> <p><b>To be implemented by:</b> 30 Jun 2022</p>	4

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
		<p>piece of work that feeds in to the Force wide change programme/IOM work.</p> <p>Orders that are already in existence are not currently subject to review thereafter, in part due to the Force having no overarching view and the issuing being very insular. This could lead to litigation claims against the Force from persons claiming monetary recompense for being subject to restrictions for longer than intended or suffering detriment. The same applies in reverse, in that victims may seek compensation for the Police not applying orders. Thus there is a balance to be struck to ensure victims are protected and the processes are robust and resilient and are not to the detriment of existing procedures.</p>		<p>The work needed to maximise the use of civil orders was confirmed as part of the Force change programme within the IOM programme of work. A Service Improvement Inspector and a Business Analyst have completed this element of the project and their findings will now steer the Forces progression through this to include key deliverables. The work consisted of:</p> <ol style="list-style-type: none"> <li>1, Terms of Reference;</li> <li>2, Demand work to confirm:</li> </ol> <ul style="list-style-type: none"> <li>•What the level of offending is in Cleveland e.g. what is the scale of the issue?</li> <li>•Based on the risk what would we anticipate in terms of expected demand for civil orders and/or police enforcement?</li> <li>•Based on the above a plan for development and also a cost benefit analysis to clarify resource requirements.</li> </ul>		<p>The Service Improvement Team within stage 2 of the programme of works will pick this up, as a part of the existing vulnerability workstream. This will involve demand mapping and modelling, cost benefit analysis and close liaison with the Integrated Offender Management (IOM) teams, to review the scope of orders, including family court disclosures. This in turn will highlight the estimated number of orders to be issued and resource can then be overlaid/redirected to deliver this. An initial piece of work conducted, estimated that approximately 900 SHPO's could be issued.</p> <p>Update 04/03/22 - Offender risk/harm profiling based on the Cambridge Harm Index, on track for embedding into the TCG process by end March.</p> <p>-Demand profile associated with offender risk linked to the usage of civil orders and court disclosure. The family court disclosure demand assessment is completed. The Civil Order demand profile has been impacted by resourcing and the availability of data to do this accurately. Wider work has been completed to look at the scale and use of orders, plus a training needs analysis that identifies gaps in knowledge and appetite to complete. Alternative direction has therefore been provided to use the work completed and prioritise certain orders for embedding in the next financial year. This embedding approach will be supported by the programme. The target risk score will be revisited in the next IOM meeting, as now believed it is set too low on the basis of affordability.</p>	

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
						<b>Person Responsible:</b> Programme Manager <b>To be implemented by:</b> 30 Jun 2022	

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
						<p>The strategic risk associated with the use of Civil Orders will therefore due to affordability need to be tolerated in terms of being able to fully mitigate the impacts. Proposals for future IOM work are in progress that will focus from a change perspective on the embedding of knowledge on the use of orders plus some academic support for the use of SHPO's. This will take approx. 12 months to complete and will only focus on a small number of orders such as DVPN's/DVPO's, SHPO, SRO, CBO, SHO's, The force will therefore need to tolerate that the wider range of orders will be unlikely to develop significantly in the short term.</p> <p><b>Person Responsible:</b> Programme Manager</p> <p><b>To be implemented by:</b> 31 Mar 2023</p>	

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
1723	<p>SR42 - Ability to maintain the workforce establishment</p> <p><b>Risk Owner:</b> Human Resources Director</p> <p><b>Last Updated:</b> 05 Jan 2022</p> <p><b>Latest Review Date:</b></p> <p><b>Latest Review By:</b></p> <p><b>Last Review Comments:</b></p>	<p>Resourcing and retaining staff is one of the critical challenges of the Force.</p> <p>Pressures to recruit to existing vacancies for both Police Officers and Staff, this has an impact on the resourcing team, wellbeing team and vetting.</p> <p>Unplanned turnover leading to additional vacancies.</p> <p>The current economic situation of high employment is leading to skill shortages, employers are struggling to attract staff and this in turn has lead to wage increases/ improved terms and conditions. For ourselves this is particularly acute within the technological areas, e.g. digital forensics.</p> <p>External challenges facing us - Comprehensive spending review/ Securing funding/ Economy - inflation/ Government public sector pay strategy/ Pensions remedies and reform/ Continuing Covid impacts/ Cleveland demographics , education and skills/ Changing nature of crime - CP demand/ Digital revolution and Levelling up - impacts.</p> <p>Vacancies are being carried for longer than originally anticipated, leading to an inability to provide the levels of service to our communities/ frontline. This in turn can increase internal work pressures on existing staff, which can lead to poor morale and increased sickness.</p> <p>This will also have an impact upon the ability to implement the changes ongoing within the Force.</p>	I = 4 L = 5 Primary (20)	<ul style="list-style-type: none"> <li>•Resourcing team in place;</li> <li>•Resourcing plans, including PCDA and promotion plans;</li> <li>•Better understanding of the data, establishment and vacancy gaps to assist with prioritisation.</li> <li>•Improved governance and monitoring through the People and Wellbeing Board.</li> </ul>	I = 4 L = 5 Primary (20)	<ul style="list-style-type: none"> <li>•The development of a medium - long term attraction and retention strategy.</li> <li>•Review Exit Data to understand key organisational pinch points and "plug the holes" where possible and identify issues to be resolved.</li> <li>•Design a new more simplified and meaningful exit questionnaire.</li> <li>•Understanding intelligence from a range of sources including staff networks, EDI team, Unison, ET's, surveys, grievances, info picked up whilst out in commands.</li> <li>•Ensure we have a slick recruitment process to stand out in the market as an Employer of Preference.</li> <li>•Review Recruitment Strategy to ensure that filling most appropriate roles in most propitious timescales.</li> <li>•Ensure line managers competent in developing learning and development plans for new starters – before they arrive.</li> <li>•Joined up attraction strategy to ensure that the roles we are recruiting to, the staff have the tools to do the job from Day 1: training and development in place and pre-planned.</li> <li>•Development in new entry routes, eg apprenticeships.</li> <li>•Consider a Police Officer retention scheme.</li> <li>•Develop a re-join strategy.</li> <li>•Develop a total reward strategy.</li> </ul> <p><b>Person Responsible:</b> Human Resources Director</p> <p><b>To be implemented by:</b> 31 Dec 2022</p>	4



Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
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## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
1724	<p>SR43 - Expired vetting clearances: backlog of those already expired and forecasts for expirations</p> <p><b>Risk Owner:</b> Deputy Chief Constable</p> <p><b>Last Updated:</b> 01 Mar 2022</p> <p><b>Latest Review Date:</b> 01 Mar 2022</p> <p><b>Latest Review By:</b> Risk and Insurance Manager</p> <p><b>Last Review Comments:</b> It has been agreed to recruit 2xFTE Vetting Researcher staff. The risk remains until such time that the staff are fully trained and completing the role, making in-roads into the priority back logs.</p>	<p>The Vetting Unit are currently only resourced to meet the vetting demand arising from recruitment activity. The Vetting Unit are not resourced to meet the demand required as per the Vetting APP, to process renewals of expired vetting clearances, nor have the team been resourced to do this for some time, meaning a backlog of expired clearances has built up. The team are also not resourced to process renewal of vetting clearances that are due to expire in the future. The effect being that approx. 2882 vetting clearances have already expired (including those holding Police vetting clearance and those holding Non-Police Personnel Vetting clearance) – this equates to 506 weeks/10 years worth of work.</p> <p>Over the next 3 years, we expect the following vetting clearances to expire:</p> <ul style="list-style-type: none"> <li>- 2022/23 – 511 – 89 weeks of work</li> <li>- 2023/24 – 444 – 67 weeks of work</li> <li>- 2024/25 – 362 – 63 weeks of work</li> </ul> <p>The risk being that we are employing individuals and utilise contractors whose vetting has expired, this contravenes the Vetting APP, poses risk to the force in that adverse information is not being picked up which may affect an individual's suitability for a role, potentially posing risk to people we come into contact with, the security of force information, premises, assets, operational capability and organisation reputation.</p>	I = 4 L = 4 Primary (16)	<p>Quarterly communications are going out in the news bulletin reminding employees to submit a Change of Circumstances form if their circumstances change. We also have the annual integrity health check built into the PDR process. Both providing some opportunity for adverse information to be brought to attention for review.</p>	I = 4 L = 4 Primary (16)	<p>The Head of Information Management / Force Vetting Officer is making the case in the FMS process for additional resource to clear the backlog and to support future demand for renewals of expired clearances.</p> <p>Paper submitted to the working group who were making decisions around growth bids for their consideration (although DCC Arundale was also sighted on the paper separately). Confirmation received that 2 x FTE Vetting Researcher posts will be added to the establishment from year 22/23, the additional resourcing will allow us to maintain the demand for vetting for recruitment, it will allow us the resource needed to tackle vetting renewals which expire on a monthly basis, and will allow us to prioritise the handling of the backlog of expired vetting clearances. To allow for the recruitment process and training to take place it is expected that the roles will be commenced late Aug 22.</p> <p><b>Person Responsible:</b> Head of Information Management</p> <p><b>To be implemented by:</b> 31 Aug 2022</p>	6

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
		The vetting team are also not resourced to perform aftercare reviews for MV and NPPV3 vetting levels as required by the Vetting APP – aftercare reviews are to be conducted at intervals, twice during the 7 year life of the clearance.					

## Target Risk



Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
1726	<p>SR44 - The unsafe disposal of firearms and drugs</p> <p><b>Risk Owner:</b> Assistant Chief Constable</p> <p><b>Last Updated:</b> 03 Mar 2022</p> <p><b>Latest Review Date:</b></p> <p><b>Latest Review By:</b></p> <p><b>Last Review Comments:</b></p>	<p>The current methods utilised by Cleveland Police for the safe disposal of both firearms and drugs is open to abuse and challenge as well as breaking the chain of continuity.</p> <p>Firearms - once certified for disposal are stripped of all Police identification and placed in a bin awaiting destruction. At this point they are no longer logged nor accounted for, and a loss of one or more at this stage would not be flagged. The next stage in the process is for Officers to take these to a foundry to be melted down. This is a national practice, although it has been highlighted in another Force area that foundry staff had recovered weapons from the smelting process after Officers had left.</p> <p>Drugs - whilst these are accounted for right up until the point of destruction by burning, with Officers delivering them to the furnace, The process ceases at this point and it is unsure as to whether furnace staff are able to recover drugs from burning. No drug burns have taken place since this came to light, this in turn is affecting the capacity of the store and within 6-8 weeks the drug store will no longer be able to take in any further drugs.</p> <p>This places the Force at risk of weapons being made available that are undetectable through flaws in its</p>	I = 4 L = 4 Primary (16)	<p>The flaws in the processes are now known and the ACC (LT) has been briefed.</p> <p>A national contract will be utilised on a trial run to deal with the backlog of guns.</p> <p>CSI staff have logged and photographed all weapons including firearms prior to destruction for continuity and recorded on Police systems (Locard).</p> <p>The DCI for CDET has a written flow process of the destruction of drugs. Regular audits take place of all processes (added to the annual inspections).</p> <p>11/02/22 a meeting took place at the Haverton Hill waste site (attended by CCU, CDET, SOCO, CI drugs and the Risk Mgr) which included a tour so it could be seen first hand the flow process from delivery to incineration - this identified two areas of vulnerability - this has now been added to the drug destruction process (one Officer attending control room and latterly the hopper bay). This fully mitigates the drugs element of this risk.</p>	I = 4 L = 3 Primary (12)	<p>A meeting is to be held with the Chair of the Property Working Group, Procurement, Head of Firearms and Head of Forensic Investigation to solution this., exploring a private company used by other Forces for the destruction of Firearms (references will be sought).</p> <p>New processes will be written and a new contract explored to dispose of firearms and possibly drugs.</p> <p>Update 03/03/22 - The new drugs destruction process has been rewritten and signed off as complete. Drugs have been destroyed and the drug store now has capacity.</p> <p>The T&amp;Cs of the private company did not pass scrutiny, so two local foundry's have been identified that are capable and willing to assist with the destruction of weapons, a site visit to both is going ahead (with AFO Sgt, Risk Mgr, Procurement rep), to sign up an agreement. This once in place and the process documented and signed off will fully mitigate this risk to closure.</p> <p><b>Person Responsible:</b> Head of Forensic Investigation</p> <p><b>To be implemented by:</b> 15 Apr 2022</p>	4

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		processes, that could be attributed back to Cleveland Police and similarly the same with drugs. This may lead to external investigation of the Force resulting in reputational damage and potential litigation claims.					