

# Standard Risk Register



<b>Report Date</b>	20 Mar 2023
<b>Risk Status</b>	Open
<b>Risk Area</b>	Office of the Police and Crime Commissioner
<b>Control Status</b>	Existing
<b>Action Status</b>	Outstanding

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Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required
1472	Organisational Governance	<p>A lack of adherence to good governance procedures Acts/Orders/Regulations could lead to bad publicity, loss of reputation, financial loss and possible legal sanction resulting in critical review by HMICFRS, Police &amp; Crime Panel and/or External Audit, poor decision making and adverse publicity and public attention.</p> <p>Poor governance processes leads to poor decision making and overall poor performance and value for money.</p>	I = 5 L = 5 Primary (25)	<p>1. Governance and decision making procedures in place regularly reviewed and updated.</p> <p>2. PCC signs up to a voluntary Code of Conduct including declarations of interests and notification of gifts and hospitality.</p> <p>3. PCC staff subject to Code of Conduct including declarations of interests and notification of gifts and hospitality.</p> <p>4. Annual Governance Statement process.</p> <p>5. Internal (&amp; external) audit scrutiny and reporting</p> <p>6. Oversight by Audit Committee</p> <p>7. Monitoring Officer and Deputy Monitoring Officer.</p> <p>8. Ongoing environmental scanning for new regulatory requirements.</p> <p>9. Code of Corporate Governance in place and reviewed by the Audit Committee</p> <p>10. Robust Governance arrangements are in place for major Collaborations. Which are subject to regular Audit.</p>	I = 5 L = 2 Contingency (10)	

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1474	Fraud	Failure to manage processes, controls and procedures leads to increased risk and occurrence of fraud resulting in bad publicity, financial loss, possible legal sanctions and critical review by external agencies.	I = 4 L = 5 Primary (20)	1. Whistle-blowing Strategy. 2. Counter Fraud and Corruption Strategy. 3. Confidential e-mail system. 4. Internal Audit Services. 5. Internal disciplinary policies. 6. Systems of management including Delegation Scheme. 7. Financial Regulations (including Contract Standing Orders). 8. Budgetary control system with monthly analysis and review. 9. Audit Committee 10. Zero tolerance' policy	I = 4 L = 2 Contingency (8)	1. Continued and Annual review of all policies and processes relied upon as existing controls to ensure that it is clear how they apply to the Office of the PCC.  The OPCC have introduced a number of risk controls (as listed) to reduce the residual risk of Fraud within both the Force and OPCC. These risk controls are subject to annual review with sign off of policies and produces by the relevant panels.
1478	Financial Planning	Failure to ensure effective financial control and financial planning processes for the 'PCC Group', (i.e. the Office of the PCC, the Chief Constable, and Grants provided to, or services commissioned by, Partner organisations.) leads to poor decisions and wasting public money resulting in reduced services, poor value for money and adverse commentary and scrutiny for external bodies.	I = 4 L = 4 Primary (16)	Key Mitigations: 1. PCC CFO in place 2. Force CFO in place 3. Work of internal audit 4. Work of external audit 5. Regular reporting and scrutiny of current year financial performance and longer terms plans 6. Regular meetings and communications with partners who currently receive grants from the PCC 7. Regular meetings of the PCC and Force CFO's 8. Balanced medium term financial plan (MTFP) in place for next 2 years based on current assumptions. 9. Earmarked Reserves created for higher pay awards and a legal/insurance reserve.	I = 4 L = 3 Primary (12)	For a 4 year balanced MTFP to be developed, which includes scenarios for higher pay awards and higher levels of inflation.  The PCC requires assurance from the Force that scarce resources are delivering against the organisational priorities and in turn delivering efficient services. The OPCC obtain assurance from the Force by assessing and scrutinising the key mitigations which have been put in place and ensuring delivery of financial reporting against actual progress. Regular governance meetings take place with the Forces CFO along with regular work by internal and external audit.  Ongoing reassurance is needed from the Force to the PCC that future recruitment and training plans will meet both the organisational needs, and service demands and that overall they can be delivered within the finances available to the Force.

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1485	Objectives of the Office of the PCC	Failure to focus on the delivery of the key organisational objectives of the Office of the Police and Crime Commissioner leads to time wasted on non key areas and absorbing resources into peripheral areas resulting in a poor service to the people of Cleveland in the areas most needed.	I = 4 L = 4 Primary (16)	<ol style="list-style-type: none"> <li>1. Annual delivery plan developed covering all 10 -points of the police and crime plan.</li> <li>2. Regular meetings take place to review progress both internally and with Partners as required.</li> <li>3. The Force's Towards 2025 Strategy aligns with and underpins the Police and Crime Plan.</li> <li>4. The PCC has issued a clear Strategic Direction to the Force setting out what is required.</li> <li>5. Reporting to the Police and Crime Panel is well embedded.</li> <li>6. Police and Crime Plan has been refreshed and reflects feedback from Partners, Public and Force.</li> <li>7. OPCC is well engaged with HMICFRS.</li> </ol>	I = 4 L = 2 Contingency (8)	<p>Continued development and embedding of the revised scrutiny programme is required including drawing in more independent information to challenge the Force and provide alternatives sources of assurance/information.</p> <p>Continue to monitor and review the additional responsibilities being placed upon PCCs and ensure appropriate resources to deliver are in place to prevent impact on PCP delivery objectives.</p> <p>Ensure effective implementation of revised OPCC staffing structure</p> <p>Now a new Chief Constable has been appointed, the Police and Crime Plan needs to be promoted further within the Force as the key strategic document, with the OPCC to scrutinise how the Toward 2025 Programme is the mechanism for delivering the requirements.</p>

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1486	Holding the Chief Constable and the Force to account	Failure to put in place adequate processes to effectively hold the Chief Constable and the Force to account for performance and use of resources as per statutory requirements leads to a reduction in the ability to shape the strategic direction of the Force resulting in key objectives not being met, adverse publicity, poor services to the people of Cleveland and adverse comments from external agencies.	I = 5 L = 5 Primary (25)	<p>1. Attendance/involvement at key force performance meetings.</p> <p>2. Regular one to one meetings between the PCC and CC.</p> <p>3. Clear Governance framework in place</p> <p>4. The OPCC has redesigned the Governance, Assurance and Scrutiny arrangements, that it has in place, to provide independent assurance to the PCC on the performance of the Force.</p> <p>5. The scrutiny programme has been developed in line with Strategic Direction given to the Force to ensure key areas of concern are reviewed. To ensure there is a clear understanding about the current health of the Force and how it will improve its efficiency, effectiveness and standards in the years to come. This will include an increase in the use of independent scrutiny approaches and a clear expectation for the Chief Constable to confirm what will change and by when.</p> <p>6. An important aspect of the Strategic Direction from the PCC was an expectation that police personnel at all levels are transparent and candid with the PCC – and with the Chief Constable - about their work</p> <p>7. A joint Strategic Board has now been implemented with refreshed agreed terms of reference.</p>	I = 5 L = 3 Primary (15)	<p>With the appointment of a new Chief Constable:-</p> <p>1. The OPCC will continue to review the Governance, Assurance and Scrutiny arrangements, that it has in place, to provide independent assurance to the PCC on the performance of the Force.</p> <p>2. The scrutiny programme will be subject to continued review in line with Strategic Direction given to the Force to confirm key areas of concern are reviewed. The OPCC will ensure they have a clear understanding about the current health of the Force and how it will improve its efficiency, effectiveness and standards in the years to come. This will continue the use of independent scrutiny approaches to drive a clear expectation for the Chief Constable.</p> <p>3. An important aspect of the Strategic Direction from the PCC was an expectation that police personnel at all levels are transparent and candid with the PCC – and with the Chief Constable - about their work.</p>

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1487	Commissioning of services	Failure to effectively commission services leads to a lack of service provision that fails to meet local need and demand, as well as reduces the support we can offer our communities, policing and partnerships	I = 4 L = 4 Primary (16)	<p>Commissioning Strategy published on PCC website</p> <p>Contract Management Training delivered to key members of the team</p> <p>Contract monitoring arrangements in place</p> <p>Grant agreement template in place</p> <p>Strong links with Cleveland Police procurement team</p> <p>Victims Service Needs Assessment in place.</p>	I = 4 L = 3 Primary (12)	<p>Continue to improve our understanding of the needs of both Victims and Witnesses within Cleveland, using a demand / evidence based approach, ensuring that commissioned services provided meet the needs of the public.</p> <p>Organisation needs to continue to move away from Grants and towards Commissioning/Contracting for the delivery of services. This will be driven via the Commissioning Strategy, within which there is a focused effort to work with key partners and stakeholders to collaborate wherever possible. Ongoing action with a view to further increase commissioned services.</p> <p>Commissioning action plan to be developed as a result of the January 2023 internal audit</p> <p>Clear policy and processes to be developed in relation to commissioning as a whole</p> <p>Management actions from the Internal Audit of Commissioning to be implemented within the required timescales.</p> <p>Understand any further training and development needs of the OPCC team</p> <p>Development of a strategic commissioning strategy / plan</p> <p>Services currently commissioned to be regularly reviewed to ensure they still meet specified delivery and need</p>

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1720	Failure to provide competent Complaints Model 3 service	Failure of OPCC-led Complaints Model 3 service could lead to sub-optimal or severely deficient service delivery to the public of Cleveland who wish to exercise their lawful right to express dissatisfaction against Cleveland Police under Police Reform Act 2002, Policing and Crime Act 2017 and Police (Complaints and Misconduct) Regulations 2020. This could result in loss of public confidence in both Cleveland Police and the OPCC, reputational damage if any service failure matters were amplified in public domain, damage to the relationship between the OPCC and the Force, and potential escalation/ repetition of complaints/ service failure to Independent Office for Police Conduct, the Police and Crime Panel, the Home Office, HMICFRS, or to courts for judicial review.	I = 4 L = 5 Primary (20)	Centurion is used as the central system, with full auditability and governance in place Comprehensive training and induction programme in place with ongoing training and development Demand analysis undertaken to ensure appropriate resources available to deliver service Initial communications strategy developed for service launch and embedding of service Occupation Health service in place for staff dealing with difficult complaints Regular monitoring of demand & performance undertaken Service delivery is engineered around the College of Policing Code of Ethics Use of Sancus for review handling with additional administrative support	I = 3 L = 3 Contingency (9)	1. To conduct a regular survey, on the public perception of the complaints service. 2. To carry out an annual analysis of demand once full years' worth of data is available. 3. Strategic Complaints Group to be instigated as forum for service scrutiny 4. Conduct regular dip sampling of complaint responses by the Resolution Team 5. SLA developed (to ensure clarity of roles, responsibilities and response times) with regular review between OPCC and DSE. 6. Conduct further internal and external comms on service function 7. Embed OPCC complaints team 8. Development of staff feedback/training/lessons learnt programme via MPRs 9. Ongoing problem solving with DSE Toolkit and processes formalised Work towards Customer Service Excellence award for excellent complaint's handling
1751	Working with Partners	Failure to effectively work with partners could lead to poor working relationships, lack of opportunities for collaboration and weaken delivery of police and crime plan and other organisational objectives	I = 4 L = 4 Primary (16)	1. Strong partnership links and networks in place 2. PCC/OPCC play a leading role in a number of key strategic groups namely, Local Criminal Justice Board, Combatting Drugs Partnership and CURV Governance Group. 3. Attendance at key partnership including CSPs and Domestic Abuse Partnerships	I = 4 L = 3 Primary (12)	1. Ensure PCC is supported to effectively chair Cleveland wide strategic groups. 2. Ensure sufficient resources are in place to engage with and lead on partnerships groups / forums. 3. Understand the balance between partnership working and holding partners to account – broader than Cleveland Police

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1752	Sexual Assault Referral Centre	Failure to maintain a high quality service to victims of sexual assault as a result of historic self referral forensic samples (post 1 April 2022) not being correctly stored and maintained and as a result of non-compliance with the new SARC quality accreditation (ISO15189) required by October 2025	I = 4 L = 4 Primary (16)	<ol style="list-style-type: none"> <li>1. Support from senior nurse within Mitie (previous contract holder),</li> <li>2. Monitoring technology in place to ensure freezer storage maintains appropriate temperature</li> <li>3. Samples remain stored within Teesside SARC building behind a secure door</li> <li>4. Regional ISO working group in place involving both children and adult SARC services (Paediatric service is NHS England contract)</li> <li>5. Ongoing discussion with NE SARC Support Service provider who bring learning from being pilot in other OPCC area</li> <li>6. Cleveland Police Estates supporting conversations around changes required in Teesside SARC building</li> </ol>	I = 4 L = 3 Primary (12)	<ol style="list-style-type: none"> <li>1. Formal arrangement for management of historic samples required with Mitie.</li> <li>2. Disposal and retention of historic samples to be arranged with Mitie.</li> <li>3. Understanding of requirements for Teesside SARC needed to enable building plans to be developed.</li> <li>4. Continue to engage with NHS England in relation to the paediatric service and escalate if required</li> </ol>