

Strategic Risk Register Comprehensive Summary

Annex A

The Strategic risk register is a jointly owned document that is regularly reviewed and updated

The risk is assessed before mitigating controls and after controls are in place using the tables below. Likelihood is multiplied by Impact giving a total score.

RISK ASSESSMENT SCHEME

Key

- L** Likelihood
- I** Impact
- R** Risk rating

Scores							
Likelihood				Impact			
Remote	Possible	Probable	More Likely Than Not (>50%)	Minor	Moderate	Significant	Major
1	2	3	4	1	2	3	4

Impact	Major	4	8	12	16
	Significant	3	6	9	12
	Moderate	2	4	6	8
	Minor	1	2	3	4
		Remote 1 – 10%	Possible 10 – 30%	Probable 30 – 50%	As likely as not ≥50%
		Likelihood			

Public Engagement

R1.1 – The Commissioner fails to provide the local link between the police and communities. The Chief Constable fails to explain to the public the actions of Cambridgeshire Constabulary.

Before mitigating controls are in place	Likelihood	Impact	Total
	3	3	9

An Engagement Board has been established, Chaired by the Head of Territorial Policing. The Board has developed a joint OPCC and Force Engagement Strategy and action plan ensuring close liaison between the PCC’s Office and the Constabulary. This helps a consistent and transparent approach to public engagement activity as well as a mechanism for monitoring the effectiveness of public engagement activity. The Director of Communications (OPCC) and the Head of Communications (Constabulary) work closely together to ensure both organisations activities are mutually supporting. There is further liaison with communication leads in Bedfordshire and Hertfordshire relating to collaboration. There is proactive engagement with and monitoring of media by the OPCC and Constabulary jointly and separately in order to provide proactive responses to criticism and positive activity. The Commissioner and Constabulary websites are constantly monitored for compliance with Publication Schemes and guidelines set by the Information Commissioner’s Office. The Commissioner’s overall engagement is under-pinned by on-going engagement activity with the public including street surgeries, one to one meetings with citizens, events, public meetings, newsletters and correspondence. He is supported by the Outreach Worker Programme. Local Policing Teams use a variety of contact channels including e-Cops, local crime panel meetings, media and through partnership work.

After mitigating controls are in place	Likelihood	Impact	Total
	2	3	6

R1.2 – Collaboration ventures could expose Cambridgeshire to reputational risk if one of the other forces is portrayed negatively in the media. This could impact in the public confidence of Cambridgeshire officers.

Before mitigating controls are in place	Likelihood	Impact	Total
	3	3	9

Regular meetings between OPCC and Constabulary communication leads meet regularly with the Strategic Alliance Communications lead to maintain transparency and proactive media approach particularly following major decisions.

After mitigating controls are in place	Likelihood	Impact	Total
	2	3	6

Setting Direction			
R2.1 – Failure to take the appropriate decisions to enable the PCC and Constabulary to fulfil their statutory functions effectively.			
Before mitigating controls are in place	Likelihood	Impact	Total
	2	3	6
Proactive executive team management of capacity and processes to ensure decisions required by the Commissioner are taken in a timely manner. Chief Constable held to account at Business Co-ordination Board. Development and implementation of a transition plan for PCC elections is underway. All Section 22 structures and agreements go through a rigorous scrutiny process.			
After mitigating controls are in place	Likelihood	Impact	Total
	2	2	4
R2.2 – The Commissioner, despite consultation with the Chief Constable and due regard to the Strategic Policing Requirement and priorities of community safety and criminal justice partners, fails to ensure the Police and Crime Plan sets objectives which provide a clear focus to reduce crime and disorder and meet the expectations of the people of Cambridgeshire. The Police and Crime Commissioner’s manifesto commitments are not delivered. Achieving the objectives of the Police and Crime Plan does not reflect National and Local priorities and views of the public.			
Before mitigating controls are in place	Likelihood	Impact	Total
	3	4	12
Regular reviews of Police and Crime Plan ensure it complements the Strategic Policing Requirement and financial and other key strategies. Engagement with stakeholders including the Chief Constable ensure links with community safety partners. Star Chambers enables the Commissioner to understand the work of partnerships and how grant funding adds value. Cambridgeshire Criminal Justice Board (CCJB) Victims and Witnesses group established to address needs countywide. Additionally a CCJB Offenders group has been established to join up strategy in the context of Transforming Rehabilitation. Development and implementation of a transition plan for PCC elections is underway.			
After mitigating controls are in place	Likelihood	Impact	Total
	2	3	6
R2.3 – The Chief Constable fails to meet the operational expectation of the Home Office with respect to the Strategic Policing Requirement.			
Before mitigating controls are in place	Likelihood	Impact	Total

	2	4	8
The Strategic Policing Requirement is integrated into the Policing Strategic Assessment. Recommendations made from HMIC inspections are also considered along with broadening of collaboration with existing partners to enhance resilience of protective services. Monthly Performance Boards and Force Executive Board Meetings monitor performance.			
After mitigating controls are in place	Likelihood	Impact	Total
	2	2	4
R2.4 – The Commissioner and Chief Constable are unable to influence national, regional, or strategic alliance policies.			
Before mitigating controls are in place	Likelihood	Impact	Total
	3	4	12
There are well-established horizon scanning processes in place. The Chief Constable, Commissioner and Chief Executive engage proactively with relevant national bodies. The Commissioner recognises the national role of the Chief Executive and Chief Constable within the PDR process. Effective agenda setting and clerking for the strategic alliance and the Eastern Regional Collaboration terms of reference are led by Cambridgeshire.			
After mitigating controls are in place	Likelihood	Impact	Total
	2	3	6
R2.5 – Partners could exert pressure on Cambridgeshire to conform to their wishes/working practices, but this may not be the best outcome for Cambridgeshire.			
Before mitigating controls are in place	Likelihood	Impact	Total
	2	3	6
There is a Strategic Alliance Memorandum of Understanding between all parties. This provides an overarching effective collaboration governance framework. Section 22 agreements are in place for individual components of collaboration. Appropriate consideration of devolution ongoing through the Chiefs and Leaders meeting and Public Service Board.			
After mitigating controls are in place	Likelihood	Impact	Total
	2	2	4

Resourcing and Enabling Delivery

R3.1 – The Commissioner and Chief Constable fail to manage the finances effectively i.e. arrangements are not in place for strategic financial planning, receiving funding, financial management, accounting and auditing, monitoring value for money, setting the police precept, allocating funding and issuing crime and disorder reduction grants, planning for major police operations. Statutory duties are not met and the accounts are qualified.

Before mitigating controls are in place	Likelihood	Impact	Total
	3	4	12

There are well-established medium term financial planning processes in place. The Tri-Force Scheme of Governance and Financial Regulations clearly set out duties of relevant roles. There are annual reviews of key financial documents: Financial Reserves, Treasury Management Annual and Fees and Charges Review. Additionally there is monthly monitoring of revenue and capital expenditure which leads to updates of the Medium Term Financial Plan (MTFP) and Capital Programme bi-annually. There is regular joint working between the Deputy PCC, Commissioner’s CFO and Chief Constable’s CFO. Monthly Finance Sub Group meetings monitor revenue and capital spending and approve in principle in-year revisions to the revenue budget. Recommendations made by Finance Sub Group are taken to Business Co-ordination Board for Commissioner approval. Quality of service provision report and internal value for money investigations occur especially in relation to disposal of assets, land or property.

After mitigating controls are in place	Likelihood	Impact	Total
	3	3	9

R3.2 – The Commissioner and the Chief Constable fail to work together effectively.

Before mitigating controls are in place	Likelihood	Impact	Total
	3	4	12

The Scheme of Governance and Policing Protocol Order 2011 clarify respective roles and responsibilities. There are regular meetings between the two. A Governance framework lays out the requirements of joint planning work and separate responsibilities and commitment to Nolan principles ensure the Commissioner and Chief Constable act with integrity and ethically towards each other. Signing of Oath by Commissioner and Police conduct regulations and standards. Ongoing liaison between Constabulary and Commissioner’s staff. Business Co-ordination Board is where Commissioner holds Chief Constable to account.

After mitigating controls are in place	Likelihood	Impact	Total
	2	2	4

R3.3 – The Commissioner (and Chief Constable if this relates to the functions of the police force) fails to enter into or achieve the benefits of collaboration agreements where it is in the interest of the efficiency or effectiveness of their own or another police force.

Before mitigating controls are in place	Likelihood	Impact	Total
	4	4	16
Strategic Alliance Memorandum of Understanding (MoU) in place between Bedfordshire, Cambridgeshire and Hertfordshire. Revised Section 22 arrangements have led to lead force arrangements. There is a MoU agreed by PCCs and Chief Constables which includes agreement over how collaboration business cases will be produced. There is a Tri-Force scheme of Governance and financial regulations in place. A Collaboration Change Portfolio Delivery Board has been established and a member of the OPCC sits on this. There is an Eastern Region Collaboration Strategy and Regional Finance Scrutiny Group.			
After mitigating controls are in place	Likelihood	Impact	Total
	3	3	9
R3.4 – The Commissioner and Chief Constable fail to work effectively in partnership with local leaders in community safety and criminal justice and do not gain the benefits of devolution.			
Before mitigating controls are in place	Likelihood	Impact	Total
	4	3	12
Chief Executives of Cambridgeshire co-ordinate effective partnership working through the Public Services Board. Constabulary and OPCC are partners in many local partnerships and these are monitored by the Constabulary Engagement Board. There is an agreed Victims' Strategy through the Victims and Witnesses Group. There is also an agreed Offender Strategy and group to monitor progress. Bedfordshire, Northamptonshire, Cambridgeshire and Hertfordshire (BeNCH) Constabularies and PCCs have formed a steering group to harmonise working arrangements in relation to offenders. There is regular engagement with partners, including Star Chambers where the PCC holds partners to account for their grants. There is a Mental Health Concordat in place across Cambridgeshire and Peterborough to provide people in mental health crisis with the right care at the right time from the right agency. There are now Volunteer Police Cadets planned for each Police District and ongoing opportunities for Police Volunteers.			
After mitigating controls are in place	Likelihood	Impact	Total
	2	3	6
R3.5 – The Commissioner fails to ensure effective arrangements for the Deputy Commissioner, Chief Executive and the Commissioner's Chief Finance Officer to be appointed, supported and challenged while in post and to remove them from office when necessary. The Commissioner fails to provide the Chief Executive with the resources necessary to carry out their duties.			
Before mitigating controls are in place	Likelihood	Impact	Total
	2	4	8

Succession planning and active recruitment processes in place and have made use of effective interim arrangements. All appointments have been made and Performance Development Reviews (PDR) are in place for all staff. The Commissioner has regular one to one meetings with the Chief Constable, the Deputy Commissioner, the Deputy Chief Constable and the Chief Executive.			
After mitigating controls are in place	Likelihood	Impact	Total
	1	3	3
R3.6 – The Commissioner fails to ensure effective arrangements for the Chief Constable to be appointed, supported and challenged while in post and to remove them from office when necessary.			
Before mitigating controls are in place	Likelihood	Impact	Total
	2	4	8
There was a comprehensive Commissioner’s induction process following election. There are regular meetings between the Commissioner and Chief Constable. There is succession planning in place and the recent Chief Constable recruitment and selection process was successful and independently assured by The College of Policing and an independent person. There is a performance monitoring framework in place and the Commissioner holds the PCC to account at Business Co-ordination Board.			
After mitigating controls are in place	Likelihood	Impact	Total
	2	3	6
R3.7 –The Commissioner does not recognise and use the new powers provided to PCCs to meet the needs of victims and Restorative Justice.			
Before mitigating controls are in place	Likelihood	Impact	Total
	2	3	6
A Victims needs assessment was undertaken and has been refreshed to map provision for victims across the county. A clear strategy was put in place to ensure transition of service from Victim Support to constabulary led Victims’ Hub. In order to influence and increase understanding of national change the OPCC have membership of Ministry of Justice PCC Victims Commissioning Working Group. A regional action plan was developed to mitigate the impact of change on partners’ services that were identified during regional meetings.			
After mitigating controls are in place	Likelihood	Impact	Total
	1	3	3

Being Accountable

R4.1 – The Commissioner and Chief Constable fail to apply and demonstrate good governance, in accordance with best practice, including the Nolan principles.

Before mitigating controls are in place	Likelihood	Impact	Total
	2	4	8
<p>Signing of the Oath by the Commissioner and Police conduct regulations and standards. There is a Tri-Force scheme of Governance and the Commissioner has a decision making policy. The Monitoring Officer (part of Chief Executive role) ensures the legality of decisions. There is an external audit plan and consolidated (financial and non-financial) internal audit plan. There is an information governance process in place which ensures annual reports are created and presented as required, for example Annual Governance Statement. The strategic risk register is jointly owned and updated by the OPCC and Constabulary. There is a complaints and integrity handling and oversight process. A Tri-Force Governance Board was established by Cambridgeshire for collaboration. Development and implementation of a transition plan for second PCC elections in ongoing.</p>			
After mitigating controls are in place	Likelihood	Impact	Total
	2	3	6

R4.2 – The Chief Constable fails to deploy appropriately those staff under his Direction and Control to deliver the policing objectives in the Police and Crime Plan. The Commissioner fails to establish appropriate mechanisms to hold the Chief Constable to account.

Before mitigating controls are in place	Likelihood	Impact	Total
	3	4	12
<p>Monthly performance groups report to the Commissioner quarterly. A performance framework is in place around the Police and Crime plan which provides an annual cycle of reports. Both the Commissioner and Constabulary publish Annual Reports.</p>			
After mitigating controls are in place	Likelihood	Impact	Total
	2	4	8

R4.3 – The Commissioner fails to meet the requirements of the Police and Crime Panel as it assesses the performance of the Commissioner and scrutinises the Commissioner’s strategic actions and decisions.

Before mitigating controls are in place	Likelihood	Impact	Total
	2	3	6
<p>An induction for the Commissioner and Police and Crime Panel was held, and is ongoing for new Panel members. There is good engagement between the OPCC and Police and Crime secretariat including proactive management of future agendas. This sets out the scrutiny plan for the year ahead.</p>			

After mitigating controls are in place	Likelihood	Impact	Total
	2	3	6
R4.4 – The Chief Constable fails to safeguard the welfare (including health and safety as well as equality and diversity) of all officers and staff within their direction and control, and ensure that members of the public, offenders and employees of other service contractors are not exposed to risks as far as reasonably practicable (including safeguarding children, the promotion of child welfare and safer detention and handling).			
Before mitigating controls are in place	Likelihood	Impact	Total
	3	3	9
The constabulary reports on health and safety, equality and diversity, safeguarding children, the promotion of child welfare and detention and handling to People Board as determined by risk. An annual Equality and Diversity report is presented to Business Co-ordination Board. Adhoc workforce surveys and reports are conducted. Reports to Estates Sub Group provide Commissioner with reassurance that regular checks are conducted.			
After mitigating controls are in place	Likelihood	Impact	Total
	2	3	6
R4.5 – The Commissioner fails to establish effective mechanisms for holding the Chief Constable to account for the exercise of their duties to safeguard the welfare (including health and safety as well as equality and diversity) of all officers and staff within their direction and control, and ensure that members of the public, offenders and employees of other service contractors, volunteers or animals are not exposed to risks as far as reasonably practicable (including safeguarding children, the promotion of child welfare and safer detention and handling). The Commissioner fails to fulfil their own duties in this area (including data protection and equality and diversity).			
Before mitigating controls are in place	Likelihood	Impact	Total
	3	3	9
A joint Police and Crime Plan objectives is published and there is a performance framework for reporting. The Commissioner runs an Independent Custody Visitor (ICV) scheme which reports regularly to Business Co-ordination Board. There is a dog welfare scheme also in place which reports to the OPCC. The Commissioner requests reports from the Constabulary in order to provide reassurance and hold them to account.			
After mitigating controls are in place	Likelihood	Impact	Total
	2	3	6