

## CAMBRIDGESHIRE OPCC and CONSTABULARY STRATEGIC RISK REGISTER, January 2019

### Strategic Risks Summary - New Risk

SR1.1	There is a potential risk of failure to achieve benefits of the link between police and communities and Chief Constable fails to explain actions of Constabulary.
SR2.1	There is a risk that the Commissioner fails to set clear direction in Police and Crime and objectives and manifesto commitments are not delivered.
SR2.2	There is a risk that the Chief Constable fails to meet the operational expectation of Home Office with respect to Strategic Policing Requirement.
SR2.3	There is a risk that the Commissioner and Chief Constable are unable to influence national, regional or strategic alliance policies.
SR3.1	There is a risk that the Commissioner and Chief Constable fail to manage finances effectively.
SR3.2	There is a risk that the Commissioner and Chief Constable fail to enter into or achieve benefits of collaboration.
SR3.3	There is a risk that the Commissioner and Chief Constable fail to work effectively in partnership with community safety and CJ partners and objectives of Police and Crime Plan are not delivered.
SR3.4	There is a risk that the Commissioner fails to ensure effective arrangements for appointment, support and challenge for DPCC, CE and CFO, and fails to provide necessary resources to CE to carry out duties.
SR3.5	There is a risk that 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 if necessary.
SR4.1	There is a risk that the Commissioner and Chief Constable fail to apply and demonstrate good governance and fail to deliver statutory duties.
SR4.2	There is a risk that the Chief Constable fails to deploy staff to deliver policing objectives in Police & Crime Plan. The Commissioner fails to establish mechanisms to hold the Chief Constable to account.
SR4.3	There is a risk that the Commissioner fails to meet requirements of Police and Crime Plan and performance as scrutinised by Police and Crime Panel.
SR4.4	There is a risk that the Chief Constable fails to safeguard the welfare of all officers, staff and members of the public.
SR4.5	There is a risk that the Commissioner fails to establish mechanisms to hold the Chief Constable to account for exercise of their duty in safeguarding the welfare of officers, staff and Members of the Public.

Strategic Risk  
Current ratings

	1 Unlikely	2 Possible	3 Likely	4 More likely than not	5 Probable
5 Catastrophic					
4 Significant		SR3.4 SR4.4	SR1.1 SR3.1 SR3.2		
3 Moderate	SR3.5▼◀	SR3.3 SR4.2 SR4.3 SR4.5			
2 Minor		SR2.1 SR2.2 SR2.3 SR4.1			
1 Insignificant					

▲	Likelihood rating increased
▼	Likelihood rating decreased
△	Likelihood rating expected to increase
▽	Likelihood rating expected to decrease
▶	Impact rating increased
◀	Impact rating decreased
▷	Impact rating expected to increase
◁	Impact rating expected to decrease

Reference	SR1.1	Objective	Public Engagement			Status:	Update 18/01/2019					
<b>There is a potential risk that the Commissioner fails to achieve the benefits of the local link between the police and communities. The Chief Constable fails to explain to the public the actions of Cambridgeshire Constabulary.</b>												
<b>Causes</b>			<b>Effects</b>			<b>Inherent</b>			<b>Exec Lead</b>	<b>Senior Lead</b>		
						<b>L</b>	<b>I</b>	<b>R</b>				
<ul style="list-style-type: none"> <li>Capability and capacity to identify, co-ordinate and implement appropriate mechanisms.</li> <li>A lack of openness and transparency.</li> <li>Failure to clearly explain the benefits of changes following the Local Policing Review</li> <li>Collaboration could expose Cambridgeshire to reputational risk if one of the partners is portrayed negatively in the media.</li> <li>Changes are put in place by partners to balance their budget and impact on communities is unknown and unintended.</li> </ul>			<ul style="list-style-type: none"> <li>The desires and ambitions of the public in Cambridgeshire, in terms of policing and crime reduction, are not identified and turned into action.</li> <li>The public are not able to assess the performance of the Commissioner and the Chief Constable.</li> <li>The ability of the Commissioner to be accountable to voters is compromised.</li> <li>Public confidence and trust in how crime is being cut and policing delivered in Cambridgeshire is undermined.</li> <li>Currently unknown or unintended consequences on policing of Cambridgeshire materialise and increase demands on policing.</li> </ul>			4	4	21	OPCC	Chief Executive		
<b>Controls in place</b>		<b>Controls assurance</b>			<b>Current</b>			<b>Future Actions</b>		<b>Future</b>		
					<b>L</b>	<b>I</b>	<b>R</b>			<b>L</b>	<b>I</b>	<b>R</b>
<ul style="list-style-type: none"> <li>i. Post implementation review of the Local Policing Review.</li> <li>ii. Joint work between the OPCC and the Constabulary and Collaboration Team.</li> <li>iii. Reporting of compliance with transparency by the Constabulary and Commissioner Publication Schemes/Information Order compliance and other information on the Constabulary and Commissioner Websites.</li> <li>iv. Management of police complaints and Commissioner's monitoring Complaints</li> <li>v. Equality &amp; Diversity</li> <li>vi. Horizon scanning of partners</li> </ul>		<ul style="list-style-type: none"> <li>i. Business Co-ordination Board</li> <li>ii. <b>Head of Collaboration meeting with Commissioner</b> and Police and Crime Panel.</li> <li>iii. CoPACC<sup>1</sup> annual award.</li> <li>iv. Professional Standards Department (PSD) Governance Board.</li> <li>v. <b>BCH Equality, Diversity and Inclusion Board and Cambs tactical board.</b> Internal Audit of Equality &amp; Diversity.</li> <li>vi. Public Service Board to identify and discuss risks amongst partner agencies.</li> </ul>			3	4	18	<ul style="list-style-type: none"> <li>Work with partners to develop Community Resilience Approach (Ongoing )</li> <li>Post implementation review of LPR (Apr 19)</li> <li>Public Service Board to consider combined risks across public sector as they shrink together.</li> </ul>		1	2	3

<sup>1</sup> Comparing Police and Crime Commissioners



Reference	SR2.1	Objective	Setting Direction	Status:	Update 18/01/2019							
<p><b>There is a theoretical risk that the Commissioner, despite consultation with the Chief Constable and due regard to the Strategic Policing Requirement and other statutory functions, 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 and these objectives are not delivered.</b></p>												
Causes		Effects			Inherent		Exec Lead	Senior Lead				
					L	I	R					
<ul style="list-style-type: none"> <li>Lack of clear direction from the Commissioner or poor planning, public engagement, engagement with the Constabulary, partnership working, lack of understanding of evidence of need and cost effectiveness.</li> <li>Lack of preparation for the third term of PCC transition.</li> <li>Lack of public awareness of the Plan</li> <li>Changes are put in place by partners to balance their budget.</li> </ul>		<ul style="list-style-type: none"> <li>A clear direction is not set allowing the long-term effectiveness and efficiency of policing, the Criminal Justice System and community safety in Cambridgeshire is not improved.</li> <li>Public confidence and trust in how crime is being cut and policing delivered in Cambridgeshire is undermined.</li> <li>Lack of effective financial planning</li> <li>Impact on ability to set and deliver appropriate Police and Crime Plan objectives.</li> </ul>			2	4	14	PCC	Head of Strategic Partnerships and Commissioning			
Controls in place		Controls assurance			Current			Future Actions		Future		
					L	I	R			L	I	R
<ul style="list-style-type: none"> <li>Arrangements for keeping the Plan and Strategic Policing Requirement and resources needed to deliver the Police and Crime Plan under review.</li> <li>Linkage with financial and other key strategies via BCB FSG and Performance Group.</li> <li>Engagement with stakeholders including the Chief Constable.</li> <li>Wide consultation and joint engagement strategy Police and Crime Plan</li> </ul>		<ul style="list-style-type: none"> <li>Engagement with stakeholders including the Chief Constable. Cambridgeshire Countywide Strategic Community Safety Board ensures strategic engagement with community safety PCC Chairs Criminal Justice Board engaging with CJS partners.</li> <li>On-going Police and Crime Panel scrutiny of precept and Police and Crime Plan changes and delivery plan.</li> <li>Valuing Police Engagement with HMICFRS inspection regime.</li> <li>Internal audit of delivery plan.</li> <li>Review and sign off by the BCB of Grants variations to the Police and Crime Plan.</li> </ul>			2	2	5	<ul style="list-style-type: none"> <li>New objective setting process for Chief Constable to lead, contribute and influence the achievement of the delivery of the objectives of the Police and Crime Plan..</li> <li>Ongoing dialogue with partners through existing established governance mechanisms to understand the future budget risks.</li> </ul>		2	2	5

Reference	SR2.2	Objective	Setting Direction	Status:	Update 18/01/2019							
<b>There is a theoretical risk that the Chief Constable fails to meet the operational expectation of the Home Office with respect to the Strategic Policing Requirement.</b>												
<b>Causes</b>		<b>Effects</b>			<b>Inherent</b>		<b>Exec Lead</b>	<b>Senior Lead</b>				
					<b>L</b>	<b>I</b>	<b>R</b>					
<ul style="list-style-type: none"> <li>Lack of understanding of statutory duties, resources and poor horizon scanning, planning and collaboration nationally, regionally and through Strategic alliance.</li> <li>National increase in firearms capability to meet terrorism threat.</li> </ul>		<ul style="list-style-type: none"> <li>Operational delivery only addresses local service delivery.</li> <li>National or international policing issues may not be properly prioritised, compromising the collective abilities of police forces to protect the public from serious harm and maintain national security.</li> </ul>			2	4	14	Constabulary	Chief Constable			
<b>Controls in place</b>		<b>Controls assurance</b>			<b>Current</b>			<b>Future Actions</b>		<b>Future</b>		
					<b>L</b>	<b>I</b>	<b>R</b>			<b>L</b>	<b>I</b>	<b>R</b>
<ul style="list-style-type: none"> <li>The needs of the Strategic Policing Requirement are integrated into the Strategic Assessment</li> <li><del>Performance Boards (monthly) and Force Executive Board meetings.</del></li> <li>Implementation of recommendations from HMICFRS inspections.</li> <li>Broaden collaboration with existing partners to enhance resilience of protective services.</li> <li>Force Management Statement (FMS)</li> </ul>		<ul style="list-style-type: none"> <li>Collaborative governance arrangements ensure proper prioritisation of regional and national policing issues.</li> <li><del>Boards report to BCB.</del></li> <li>HMICFRS inspection regime. National Police Chiefs Council (NPCC) has set national uplift in firearms capability.</li> <li>Regional engagement with Specialist Capabilities Delivery Board.</li> <li>Planning and business processes</li> </ul>			2	2	5	•				

Reference	SR2.3	Objective	Setting Direction	Status:	Update 18/01/2019							
<b>The risk that the Commissioner and Chief Constable are unable to influence national, regional, or Strategic Alliance policies.</b>												
Causes		Effects			Inherent		Exec Lead	Senior Lead				
					L	I	R					
<ul style="list-style-type: none"> <li>Insufficient horizon scanning, engagement with and influence of national, regional and strategic alliance issues and policies due to poor prioritisation or inadequate resources.</li> <li>Inability to influence the Police Transformation Fund</li> <li>Inability to influence Brexit developments which then could have implications for Cambridgeshire if current policing tools are not available.</li> </ul>		<ul style="list-style-type: none"> <li>National, regional or strategic alliance policies are not informed by the experience within Cambridgeshire and do not meet its requirements, or help address impact.</li> <li>Cambs has to divert local resources to national projects that are of little value to Cambridgeshire.</li> <li>Unknown or unintended consequences on policing of Cambridgeshire.</li> </ul>			3	4	18	PCC	Commissioner and Chief Constable			
Controls in place		Controls assurance			Current			Future Actions		Future		
					L	I	R			L	I	R
<p>i. The PCC links effectively with the APCC, is Chair of the National Commercial Board and a member of the Local Government Association. Controls effective linkage with National Groups such as the Chief Executive is Deputy Chair of Association of Police &amp; Crime Chief Executives (APACE); Member of Policing Transformation Board. <del>Chief Constable is on Operations Co-ordinations Committee for NPCC;</del> Constabulary Director of Finance &amp; Resources is National Finance Lead on the HMIC Reference Group and a member of HMIC working groups on finance and efficiency. <del>Director of ICT is on Police ICT Company Board.</del></p> <p>ii. Proactive engagement with the BCH and Seven Force governance arrangement.</p> <p>iii. BCB ensures proper strategic</p>		<p>i. <del>Constabulary and OPCC horizon scanning processes in place. Chief Constable, Commissioner and Chief Executive and members of OPCC engage proactively with relevant national bodies.</del></p> <p>ii. PCC chairs 7F oversight group</p> <p>iii. PCC chairs BCH Strategic Alliance</p> <p>iv. Police and Crime Panel hold PCC to account.</p> <p>iv. Joint Audit Committee provides independent assurance on the adequacy of the risk management framework and the associated control environment, independent scrutiny of the Commissioner's and Chief Constable's financial and non-financial performance to the extent that it affects exposure to risk and weakens the control</p>			2	2	5					

<p>planning, consideration of the national budgetary landscape, ensuring Medium Term Financial Plan is in line with the Police and Crime Plan and drives efficiency and oversees financial monitoring arrangements are effective.</p> <p>iv. IA/EA updates provide alerts to emerging issues and initiatives which are reviewed by CFOs.</p> <p>v. <b>Force and Commissioner link into national contingency planning relating to Brexit. Local contingency planning mechanisms in place.</b></p>	<p>environment, and to oversee the financial reporting process.</p>							
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Reference	SR3.1	Objective	Resourcing and Enabling Delivery			Status:	Update 18/01/2019					
<b>There is a risk that the Commissioner and Chief Constable fail to manage the finances effectively.</b>												
Causes		Effects				Inherent			Exec Lead	Senior Lead		
						L	I	R				
<ul style="list-style-type: none"> <li>• Arrangements not in place for strategic financial planning, receiving funding, financial management, accounting and auditing, monitoring, value for money, setting precept, allocating funding and issuing grants and planning for major police operations.</li> <li>• Failure to realise the benefits of collaboration.</li> <li>• Increasing complexity of collaboration (both tri-force and regional) and devolution plans leads to poor strategic, financial planning, budgetary and contractual control mechanisms.</li> <li>• Financial unsustainability of partnership body poses risk to PCC/CC due to increased pressure on services.</li> <li>• Continued uncertain economic and funding environment</li> <li>• <b>Potential</b> cost pressure of Emergency Service Network.</li> <li>• Failure to realise the opportunities of the Policing and Crime Act.</li> <li>• <del>Athens, changing landscape/business pressures on Collaboration benefits.</del></li> <li>• <b>Failure to identify the impact of partners' budgetary changes.</b></li> <li>• <b>Government changes to Pension calculations</b></li> </ul>		<ul style="list-style-type: none"> <li>• Statutory duties are not met and the accounts are qualified.</li> <li>• Impact on service quality and performance.</li> <li>• Reputational damage and the Commissioner is not able to implement their objectives for reducing crime and the long-term effectiveness and efficiency of policing, the Criminal Justice System and community safety in Cambridgeshire as set out in their Police and Crime Plan.</li> <li>• Ability to fund Government initiatives i.e. <b>ESN Digital Programmes</b></li> <li>• Unknown and unintentional consequences placed on policing.</li> <li>• <b>Pressures on budgets for future years.</b></li> </ul>				3	4	18	OPCC	Chief Finance Officers		
Controls in place		Controls assurance			Current			Future Actions		Future		
					L	I	R			L	I	R
<ul style="list-style-type: none"> <li>i. Scheme of Governance, Financial regulations and contract standing orders clearly set out duties of the two corporations sole.</li> <li>ii. Regular joint working between the Commissioner, Commissioner's CFO and</li> </ul>		<ul style="list-style-type: none"> <li>i. PCC has oversight of Chief Constable's budgetary framework and this is included in the Police and Crime Plan allowing public scrutiny.</li> <li>ii. External Audit statements published and VFM conclusion <b>and provided to JAC.</b></li> <li>iii. HMIC Efficiency Reports.</li> </ul>			3	4	18	<ul style="list-style-type: none"> <li>• Strategic use of grants to support reductions in demand</li> <li>• Ongoing review of financial health of other partners with escalation if necessary, to understand the impact of the actions to balance their budgets on policing. (December 2018)</li> <li>• Continue to monitor progress of multiple</li> </ul>		1	2	3

<p>iii. Chief Constable's CFO. Iterative financial planning process throughout year.</p> <p>iv. Revenue outturn reports, budget monitoring reports/dashboard cover all aspects of OPCC budget.</p> <p>v. <del>Quality of service provision report, Internal VFM investigations.</del></p> <p>vi. Capital programme monitoring.</p> <p>vii. Prudential Indicators, Treasury Management and Minimum Revenue Provision.</p> <p>viii. Financial Reserves.</p> <p>ix. Annual <b>Monthly</b> reviews of Revenue and Capital estimates, Fees and Charges review.</p> <p>x. <b>External Audit</b> VFM statement/strategy.</p> <p>xi. Regular meetings of OPCC CFO and Constabulary CFO and Chief Executive with opposite numbers from other county public sector bodies for horizon scanning and identification of emerging risks.</p> <p>xii. <del>Devolution controls and savings plans enabling enhanced service provision on reduced budget.</del></p> <p>xiii. <del>Huntingdon Accommodation Review Board enabling police, fire and ambulance service estates to be used effectively.</del></p> <p>xiv. <del>Police and Fire Strategic Governance Board managing the production of a business</del></p>	<p>iv. IA/EA of all financial systems ensure accounting and finances are effectively managed.</p> <p>v. BCB ensures adequate service quality and performance and that finances are managed effectively.</p> <p>vi. Police and Crime Panel review Police and Crime Plan including MTFP, budget and precept and plans for closer working between police and fire.</p> <p>vii. <del>Specific governance arrangements are established for collaboration and large contractual agreements.</del></p> <p>viii. <del>Monthly Finance Sub Group (FSG) meetings and minutes go to Business Co-ordination Board. Plans for FSG to become the overarching body responsible for driving forward the realisation of the benefits of transformation.</del></p> <p>ix. <del>Reserves are available to fund initial additional costs of ESN.</del></p> <p>viii Compliant with Home Office requirements to publish Reserves strategy.</p> <p>x. <del>Regular review of costs of ESN and progress by OPCC CFO and Director of F&amp;R and reported to BCB.</del></p> <p>xi. <b>Force Management Statement is used to better forecast future demand, with alignment to budgetary cycle.</b></p>				<p>National and BCH ICT projects and risks and issues arising from it.</p> <ul style="list-style-type: none"> <li>● <del>Review MTFP (December 2018)</del></li> <li>● <b>Introduction of regular away days between Constabulary and OPCC.</b></li> <li>● <b>Finance Sub Group (FSG) to cease and the business aspects to be dealt with at BCB from April 2019.</b></li> </ul>			
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<p><del>case to review the best governance model for closer working between police and fire.</del></p> <p>xv. Continued horizon-scanning for new and emerging cost pressures.</p> <p>xvi. Analysis of allocation of savings and costs in collaborated functions.</p>							
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Reference	SR3.2	Objective	Resourcing and Enabling Delivery	Status:	Update 18/01/2019							
<b>There is a risk that the Commissioner (and Chief Constable if this relates to the functions of the constabulary) 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.</b>												
Causes		Effects			Inherent		Exec Lead	Senior Lead				
					L	I	R					
<ul style="list-style-type: none"> <li>Ineffective governance and working arrangements with other Police and Crime Commissioners and Forces.</li> <li>Failure to deliver the requirements in the Police and Crime Plan to keep under consideration whether entering into a collaboration agreement with one or more other relevant emergency services in England could be in the interests of the efficiency or effectiveness of that service and those other services.</li> <li>A shortfall in capacity or capability.</li> <li>Financial unsustainability of another police force poses risk to other collaboration partners.</li> <li>Teething problems in implementation embedding of Athena.</li> <li>Failure to deliver or achieve the benefits of Information Technology.</li> <li>Changes are put in place by collaborated police forces to balance their budget and impact on Cambridgeshire is unknown and unintended.</li> </ul>		<ul style="list-style-type: none"> <li>Potential savings cannot be achieved or costs materialise due to a failure in a partner organisation.</li> <li>Resilience of police services cannot be maintained.</li> <li>The effectiveness of both specialist and local policing in Cambridgeshire and elsewhere is compromised.</li> <li>Strategic requirements are unable to be met due to service disruption in delivery of Athena.</li> <li>Resilience of blue light services</li> <li>External inspections raise concerns</li> <li>Currently unknown or unintended consequences on policing of Cambridgeshire materialise and increase demands on policing.</li> </ul>			3	4	18	OPCC Chief Executive	Commissioner & Chief Constable			
Controls in place		Controls assurance			Current			Future Actions		Future		
					L	I	R			L	I	R
<ul style="list-style-type: none"> <li>i. Implementation of arrangements and S22s at BCH and Eastern Region</li> <li>ii. Eastern Region Governance process continuing to develop additional controls assurance at that level.</li> <li>iii. Regional budgets and Regional Finance Scrutiny Group updates.</li> <li>iv. Single scheme of delegation for BCH</li> <li>v. Regular close scrutiny by Chief</li> </ul>		<ul style="list-style-type: none"> <li>i. BCH Strategic Alliance Summit</li> <li>ii. Eastern Region Alliance Summit.</li> <li>iii. Medium term finance plan meetings between CFOs and change team to evaluate and model savings programmes.</li> <li>iv. Collaboration – Internal Audits.</li> <li>v. Strategic Athena Management Board provides regular reports and has attendance from key senior managers.</li> </ul>			3	4	18	<ul style="list-style-type: none"> <li>Continue to explore the merits of creating a ‘user pays’ methodology for transactional collaborated services. (18/19-19/20)</li> <li>Mitigate the risks associated with a complex IT change programme. (18/19-19/20)</li> <li>Through 7 Force programme work ongoing to align the Police 2025 vision to work locally.</li> <li>Benefits realisation to be undertaken for current and proposed collaborations to understand the contribution to service delivery for Cambridgeshire and the cost of that delivery to ensure efficiencies and</li> </ul>				

<p>Constable's, PCC's and Chief Executives of all Forces involved in Athena.</p> <p>vi. Operational Support, Organisational Support and JPS Governance Boards formally review on a monthly basis including finances.</p> <p>vii. Direct PCCs involvement in lead force/OPCC governance arrangements <b>now supported by Head of Finance</b></p> <p><del>viii. Quarterly Eastern Region Alliance Summits</del></p> <p>ix. Fire, Police, Ambulance Interoperability Board</p>					<p>productivity.</p>			
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Reference	SR3.3	Objective	Resourcing and Enabling Delivery	Status:	Update 18/01/2019								
<b>There is a theoretical risk that the Commissioner and Chief Constable fail to work effectively in partnership with local leaders in community safety and criminal justice, including devolution to support delivery of the Police and Crime Plan.</b>													
Causes		Effects			Inherent		Exec Lead	Senior Lead					
<ul style="list-style-type: none"> <li>Complex partnership landscape and/or ineffective partnership arrangements against demands of public sector financial landscape.</li> <li>Lack of shared strategic vision,</li> <li>Lack of a shared understanding of the desires and ambitions of the public in Cambridgeshire in terms of policing and crime reduction.</li> <li>National Serious Violence Strategy has identified that there are changing trends in serious crime with homicide, knife crime and gun crime increasing accompanied by a shift in younger victims and perpetrators.</li> <li>On-going changes in the criminal justice landscape, probation and prisons, increase complexity.</li> </ul>		<ul style="list-style-type: none"> <li>It is not possible to engage in or initiate work to improve the ways that services work together in future.</li> <li>The Commissioner's ability to develop their role in reducing crime and increasing the long-term effectiveness and efficiency of policing, the Criminal Justice System and community safety in Cambridgeshire is compromised.</li> </ul>			L	I	R	OPCC Chief Executive	Commissioner & Chief Constable				
					4	4	21						
Controls in place		Controls assurance			Current			Future Actions			Future		
<ul style="list-style-type: none"> <li>i. Refreshed ToR-and subgroup structure linked to PCC Chairmanship. Countywide Community Safety Board subgroups.</li> <li>ii. CJB has, an offender group and delivery group. OPCC are linking with the Local Authorities workstreams of Housing, Skills and Transport. Partnership signatory to the Countywide includes Peterborough Community Safety Agreement</li> <li>iii. Clear processes in place to monitor progress of Police and Crime Plan.</li> </ul>		<ul style="list-style-type: none"> <li>i. Countywide Community Safety Board chaired by PCC. PCC observer member of the Combined Authority.</li> <li>ii. Countywide Cambridgeshire Criminal Justice Board chaired by PCC Safeguarding Boards attended by Constabulary and Chief Executive Police and Crime Panel review of Police and Crime Plan and Annual Report ensures feedback from partners on the work of the Commissioner. Eastern Region Commissioners meeting provides a mechanism to influence ongoing changes in the Criminal Justice landscape.</li> </ul>			L	I	R	<ul style="list-style-type: none"> <li>Qualitative monitoring of progress in delivering Police and Crime Plan objectives</li> <li><del>Review of Criminal Justice to explore if there are benefits to working at regional level</del></li> <li>Explore the impact of blue light collaboration on local community safety work (18/19)</li> <li>Careful allocation of Crime and Disorder Reduction Grants by PCCs to tackle demand and manage risk. (18/19 19/20)</li> <li>Continued development of the Countywide Community Safety arrangements.</li> <li>Development of Countywide Strategic Assessments to ensure good shared understanding of risks in Cambs (Dec 2018)</li> </ul>			L	I	R
					2	3	9				2	3	9

<p>iv. The PCC links effectively with ongoing changes in the Criminal Justice landscape with the APCC, Chief Executive is Deputy Chair of the Association of Police &amp; Crime Chief Executives (APACE).</p>	<p>Internal Audit Partnership Working – Community Safety</p>				<ul style="list-style-type: none"> <li>• <del>Ensure positive relationship with partners whilst supporting the smooth transition between outgoing and incoming Chief Constable.</del></li> <li>• 2019/20 Police and Crime Plan objective setting identifies areas which influence partner's delivery towards the achievement of the delivery of the objectives of the Police and Crime Plan.</li> <li>• Input to Eastern Region Commissioners meeting on Criminal Justice landscape developments.</li> </ul>			
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Reference	SR3.4	Objective	Resourcing and Enabling Delivery			Status:	Update 18/01/2019					
<b>There is a theoretical risk that 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.</b>												
Causes			Effects			Inherent			Exec Lead	Senior Lead		
						L	I	R				
<ul style="list-style-type: none"> <li>Poor planning, relationships and ineffective processes.</li> <li>A shortfall in capacity or capability.</li> <li>Unplanned retirement, resignation or illness</li> <li>Organisational Change</li> </ul>			<ul style="list-style-type: none"> <li>The statutory duty to appoint (and if necessary dismiss) is not met.</li> <li>The Commissioner's ability to fulfil their roles and responsibilities and deliver their vision, strategy and identified priorities is compromised.</li> <li>Reputational impact.</li> <li>A shortfall in capacity or capability impacts on ability to deliver good governance</li> </ul>			2	4	14	OPCC	Commissioner		
Controls in place		Controls assurance		Current			Future Actions			Future		
				L	I	R				L	I	R
<ul style="list-style-type: none"> <li>i. Appointment/recruitment processes.</li> <li>ii. PDR process.</li> <li>iii. Regular Commissioner/Deputy Commissioner/Chief Constable and Deputy Chief Constable/Chief Executive (monitoring officer) meetings.</li> <li>iv. Succession planning</li> </ul>		<ul style="list-style-type: none"> <li>i. Police and Crime Panel scrutiny of the appointment of the Deputy Commissioner, Chief Executive and Chief Finance Officer/ s151 Officer</li> <li>i. Public scrutiny by the Police and Crime Panel.</li> </ul>		2	4	14	<ul style="list-style-type: none"> <li>Recruitment underway for Head of Finance</li> </ul>			2	3	9



Reference	SR3.5	Objective	Resourcing and Enabling Delivery			Status:	Update 18/01/2019					
<b>There is a theoretical risk that 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 if necessary.</b>												
<b>Causes</b>			<b>Effects</b>			<b>Inherent</b>			<b>Exec Lead</b>	<b>Senior Lead</b>		
						<b>L</b>	<b>I</b>	<b>R</b>				
<ul style="list-style-type: none"> <li>Poor planning, relationships and ineffective processes.</li> <li>A shortfall in capacity or capability.</li> <li>Poor relationship between Chief Constable and Commissioner leads to failure to work effectively</li> </ul>			<ul style="list-style-type: none"> <li>The statutory duty to appoint (and if necessary dismiss) is not met.</li> <li>The Commissioner's ability to fulfil their roles and responsibilities and deliver their vision, strategy and identified priorities is compromised.</li> <li>Leadership of the Constabulary is compromised.</li> <li>Reputational impact.</li> <li>A shortfall in capacity or capability.</li> </ul>			2	4	14	OPCC	Commissioner		
<b>Controls in place</b>		<b>Controls assurance</b>			<b>Current</b>			<b>Future Actions</b>		<b>Future</b>		
					<b>L</b>	<b>I</b>	<b>R</b>			<b>L</b>	<b>I</b>	<b>R</b>
i. Commissioner/Chief Constable meetings ii. Commissioner/Chief Constable induction meetings iii. Capacity and experience to run successful appointment/recruitment processes iv. Performance Monitoring Framework in place		iii. Police and Crime Panel scrutiny of the appointment of the Chief Constable iii. Public scrutiny by the Police and Crime Panel. iv. <b>Business Co-ordination Board.</b>			4 2 1	2 4 2	3 14 3	<ul style="list-style-type: none"> <li><del>Supporting the smooth transition between outgoing and incoming Chief Constable</del></li> <li>Objective setting for 19/20 underway</li> </ul>		1	2	3

Reference	SR4.1	Objective	Being Accountable	Status:	Update 18/01/2019							
<b>There is a theoretical risk that the Commissioner and Chief Constable fail to apply and demonstrate good governance, in accordance with best practice, including the Nolan principles and fail to deliver statutory duties.</b>												
Causes		Effects			Inherent		Exec Lead	Senior Lead				
					L	I	R					
<ul style="list-style-type: none"> <li>Effective processes are not in place to promote good decision making.</li> <li>Clear Governance principles not established.</li> </ul>		<ul style="list-style-type: none"> <li>Adverse comments from the Police and Crime Panel.</li> <li>Inability to ensure the Chief Constable answers for their decisions and actions.</li> <li>The ability of the Commissioner to discharge his functions is compromised.</li> </ul>			2	4	14	OPCC	Chief Executive			
Controls in place		Controls assurance			Current			Future Actions		Future		
					L	I	R			L	I	R
<ul style="list-style-type: none"> <li>i. Signing of the Oath by the Commissioner and Police conduct regulations and standards</li> <li>ii. Scheme of Governance and Decision making policy.</li> <li>iii. Appointment of a Monitoring Officer with capacity to undertake their role.</li> <li>iv. Effective risk management strategy and risk register proactively managed.</li> <li>v. External Audit Plan</li> <li>vi. Annual Governance Statement.</li> <li>vii. Consolidated (financial and non-financial) External Audit/Inspection/Internal Audit Plan.</li> <li>viii. Cambs Constabulary have an Equalities and Inclusion Board with members from Cambs Independent Advisory Network (CIAN). Developing an Ethics Committee to report to this board.</li> <li>vii. BCH Representative Workforce Board created.</li> </ul>		<ul style="list-style-type: none"> <li>i. Joint Audit Committee takes an overview of regulatory framework and integrity issues and ensures good governance in line with the Nolan principles.</li> <li>ii. Annual Integrity Controls Assurance report to BCB and JAC regarding PCC's and Constabulary's controls processes, evidence of their effectiveness, and complaints handling IA progress report reviews good governance practices are being adhered to and implemented and appropriate decision making processes are in use.</li> <li>vi. Head of IA Annual Report considers whether good governance practices are being adhered to and implemented and appropriate decision making processes are in use.</li> <li>v. PSD Governance Board holds PSD function to account.</li> </ul>			2	2	5	<ul style="list-style-type: none"> <li>Continue to develop and review governance processes and documentation (ongoing)</li> <li>Continued <b>support and</b> scrutiny by Police and Crime Panel (ongoing)</li> <li><del>Internal Audit of Governance (18/19)</del></li> <li>Internal Audit link to governance with paper to BCB for visibility</li> <li><b>Future delivery of PCC business through revised governance structure of BCB.</b></li> </ul>				

Reference	SR4.2	Objective	Being Accountable			Status:	Update 18/01/2019						
<b>There is a theoretical risk that 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.</b>													
Causes			Effects			Inherent			Exec Lead	Senior Lead			
						L	I	R					
<ul style="list-style-type: none"> <li>Poor planning, performance management, monitoring processes and/or ineffective working arrangements.</li> <li>Lack of engagement between OPCC and CC and understanding of operational independence.</li> <li>Failure to implement Emergency Service Network means Chief Constable is unable to deploy resources.</li> </ul>			<ul style="list-style-type: none"> <li>Constabulary delivery, performance and improvement are not scrutinised visibly on behalf of the public against delivery of the Police and Crime Plan and other Chief Constable duties.</li> <li>The long-term effectiveness of policing is compromised and public confidence that the Police can deliver their aspirations is undermined.</li> </ul>			3	4	18	Chief Executive	Commissioner & Chief Constable			
Controls in place		Controls assurance			Current			Future Actions			Future		
					L	I	R				L	I	R
<ul style="list-style-type: none"> <li>i. Chief Executive charged with maintaining sufficient capacity within OPCC.</li> <li>ii. Increased understanding of nature of current and likely future demand has informed local policing review to ensure a sustainable policing model.</li> <li>iii. Force Corporate Development Department undertake regular performance monitoring and analysis. Force Monthly Performance meeting chaired by Assistant Chief Constable.</li> <li>iv. Regular monitoring by OPCC and reporting from Force inform <del>Commissioner's Performance Working Group</del> <b>Business Co-ordination Board</b>.</li> <li>v. Police and Crime Plan Performance Framework.</li> <li>vi. Strategic Tasking and Co-ordination process reviews Threat, Risk and</li> </ul>		<ul style="list-style-type: none"> <li>i. Business Co-ordination Board to scrutinise performance reports to ensure performance against Police and Crime Plan and quality of service provision.</li> <li>ii. HMICFRS Inspection reports reviewed by Commissioner when received and response published.</li> <li>iii. Force Executive Board and Force Performance Board chaired by Chief Constable</li> <li>iv. Business Co-ordination Board</li> <li>v. Audit reports reviewed by JAC.</li> <li>vi. Commissioner's Annual Report reviewed by Police and Crime Panel.</li> <li>vii. Effective engagement with the IOPC for referral of complaints.</li> </ul>			2	3	9	<ul style="list-style-type: none"> <li>Consultation with partners and stakeholders ongoing embedding new performance framework.</li> <li>Review of OPCC structure completed and Head of Business Development has been appointed to develop and strengthen Programme Management approaches.</li> <li>Post implementation review of LPR (April 2019)</li> <li>Create mechanisms for annual Review OPCC capacity and capability (April 2019).</li> </ul>			1	3	6

<p>vii. Harm and demand patterns which inform policing element of Police and Crime Plan. Complaints made against Chief Constable dealt with in line with statutory requirements.</p>								
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Reference	SR4.3	Objective	Being Accountable	Status:	Update 18/01/2019							
<b>There is a theoretical risk that 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.</b>												
<b>Causes</b>		<b>Effects</b>			<b>Inherent</b>		<b>Exec Lead</b>	<b>Senior Lead</b>				
					<b>L</b>	<b>I</b>	<b>R</b>					
<ul style="list-style-type: none"> <li>Lack of understanding of respective roles and responsibilities or insufficient planning and resources.</li> <li>Police and Crime Panel fails to articulate their needs.</li> <li>Lack of organisational support for Police and Crime Plan through secretariat.</li> <li>Changes in Chairmanship leads to changes in approaches and expectations.</li> </ul>		<ul style="list-style-type: none"> <li>The Panel is not able to fulfil its duties in relation to the precept, annual report, Police and Crime Plan, and appointments.</li> <li>The Commissioner's performance is not appropriately scrutinised, undermining public confidence.</li> <li>Ad-hoc demands from the Panel impact on the ability of the OPCC to respond effectively.</li> </ul>			2	4	14	OPCC	Head of Policy for Police and Fire			
<b>Controls in place</b>		<b>Controls assurance</b>			<b>Current</b>			<b>Future Actions</b>		<b>Future</b>		
					<b>L</b>	<b>I</b>	<b>R</b>			<b>L</b>	<b>I</b>	<b>R</b>
<ul style="list-style-type: none"> <li>i. Commissioner's and Panel induction processes.</li> <li>ii. Proactive management of future OPCC agenda planning informed by the Panel's work programme which sets out scrutiny plan for the year.</li> <li>iii. Engagement between OPCC and Police and Crime Panel secretariat.</li> <li>iv. Panel terms of reference and rules of procedure set out ways of working. Policing Protocol defines relationship.</li> </ul>		<ul style="list-style-type: none"> <li>i. The Police and Crime Panel meets in public which ensures that progress in this area is visible to the media and the local community.</li> <li>ii-iv Panel controls established &amp; working.</li> <li>ii-iv Annual report including performance report scrutinised.</li> <li>ii-iv Commissioner's internal governance arrangements are in place.</li> </ul>			2	3	9	<ul style="list-style-type: none"> <li>Continue to develop and review governance processes and documentation (ongoing)</li> <li>Continued support and scrutiny by the Police and Crime Panel.</li> <li>Work with Panel to enhance the challenge and support provided by the Panel. Ongoing programme of Panel briefing sessions.</li> <li>Continue to work with Panel, Panel secretariat and monitoring officer to ensure understanding of respective roles and responsibilities and to ensure effective ongoing programme of work</li> <li>Regular updates to Police and Crime Panel on Fire governance which would impact on Panel's remit.</li> </ul>		1	3	6

Reference	SR4.4	Objective	Being Accountable	Status:	Update 18/01/2019								
<p><b>There is a theoretical risk that the Chief Constable fails to safeguard the welfare (including health &amp; safety as well as equality &amp; 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).</b></p>													
Causes		Effects			Inherent	Exec Lead	Senior Lead						
					L	I	R						
<ul style="list-style-type: none"> <li>Lack of awareness, training investment, poor planning or ineffective processes.</li> <li>Inadequate training of responsible staff.</li> <li>Custody provision for Cambridge is required to meet future custody requirements.</li> <li>Capacity within BCH HR function is under pressure.</li> </ul>		<ul style="list-style-type: none"> <li>The relevant legal duties are not met.</li> <li>Death of an individual or multiple fatalities.</li> <li>Public confidence is undermined.</li> <li>Significant investment in Parkside has ensured it meets current standards for custody provision.</li> </ul>			3	4	18						
						Chief Executive	Chief Constable						
Controls in place		Controls assurance			Current			Future Actions			Future		
					L	I	R				L	I	R
<ul style="list-style-type: none"> <li>i. Reports on Health &amp; Safety, equality and diversity, safeguarding children, the promotion of child welfare and detention and handling are scrutinised by <del>People</del> <b>Equality, Diversity and Inclusion</b> Board on a risk based frequency.</li> <li>ii. Review of Human Rights Issues – Custody, Taser, Covert Surveillance.</li> <li>iii. Equality duty – review/monitored.</li> <li>iv. Workforce surveys and reports.</li> <li>v. Health &amp; Safety Constabulary improvement report.</li> <li>vi. Reports to Estates Sub Group</li> <li>vii. Health &amp; Safety statement signed by Chief Constable and PCC. Joint H&amp;S Policy in operation.</li> <li>iii. Officers have received Management Action from ACC for driving defective force vehicles</li> <li>x. Countywide Community Safety Agreement.</li> </ul>		<ul style="list-style-type: none"> <li>i. The <del>People</del> <b>Strategic BCH Equality, Diversity and Inclusion</b> Board ensures the need for relevant action is identified and action plans are progressed. BCH Engagement &amp; Wellbeing Board created</li> <li>ii. Internal Audit ensures independent validation of risk controls.</li> <li>iii. Internal Audit of Equality and Diversity.</li> <li>iv-v Police and Crime Commissioner holds the chief Constable to account in these key areas with reports to BCB in the public domain</li> <li>vi. Launch of <del>Parkside Custody Board</del> <b>Southern Cambridgeshire Police Station Board (CSPS)</b> to manage the search for land and subsequent construction of a Police Investigation Centre (PIC) as the replacement for Parkside <del>Custody</del>.</li> </ul>			2	4	14	<ul style="list-style-type: none"> <li>Development of BCH Annual People Plan and People Strategy. (ongoing)</li> <li>Review of Target Operating Model (TOM) for BCH Collaborated HR function delivery. (18/19)</li> <li>Embedding the partnership structures linking to both safeguarding board and countywide community safety board.</li> </ul>			1	4	10

Reference	SR4.5	Objective	Being Accountable			Status:	Update 18/01/2019					
<p><b>There is a theoretical risk that 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 &amp; safety as well as equality &amp; 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). The Commissioner fails to fulfil their own duties in this area (including data protection and equality and diversity).</b></p>												
Causes			Effects			Inherent			Exec Lead	Senior Lead		
						L	I	R				
<ul style="list-style-type: none"> <li>Lack of awareness, investment, poor planning or ineffective processes and performance monitoring.</li> <li>Failure to provide oversight over the Constabulary's responsibility to ensure access to healthcare for detainees.</li> </ul>			<ul style="list-style-type: none"> <li>The relevant legal duties are not met.</li> <li>Death of an individual or multiple fatalities.</li> <li>Public confidence is undermined.</li> </ul>			3	4	18	OPCC	Commissioner		
Controls in place		Controls assurance			Current			Future Actions		Future		
					L	I	R			L	I	R
<ul style="list-style-type: none"> <li>i. Police and Crime Plan performance framework documented approach to performance monitoring.</li> <li>ii. Ensuring reports on H&amp;S, equality &amp; diversity, safeguarding children, the promotion of child welfare and detention and handling are considered through commissioning processes.</li> <li>iii. Monitoring of the ICV Scheme</li> <li>iv. ICV Scheme Management update</li> <li>v. Monitoring of dog welfare</li> <li>vi. H&amp;S statement of intent signed by Chief Constable and PCC. Joint H&amp;S policy in operation.</li> <li>vii. Sufficient investment to allow activity of training and supervision.</li> <li>viii. Follow up to ensure actions are in place in response to ICV concerns regarding individual detainees.</li> <li>ix. Regular records of children in</li> </ul>		<ul style="list-style-type: none"> <li>i. JAC review of performance framework. Ability of Police and Crime Panel to scrutinise areas of concern. Ethics, Equality &amp; Inclusion Group with independent input.</li> <li>ii. Effective use of internal audit</li> <li>iii. <b>Quarterly updates to ICVA, quarterly ICV panel meetings.</b> OPCC oversight of children in custody. Actions from Internal Audit are reviewed at BCB.</li> <li>iv. <b>Strategic BCH Equality, Diversity and Inclusion Board and Cambs tactical board.</b></li> <li>x. Enhanced information sharing of children in custody with Youth Offending Service. Peterborough Childrens Services Inspection in July 2018 rated as 'good and have improved significantly'.</li> </ul>			2	3	9	<ul style="list-style-type: none"> <li>• <del>Paper to BCB on Equality &amp; Diversity providing assurance on Internal Audit progress against recommendations (Q3 17/18)</del></li> <li>• Internal Safeguarding mechanisms to ensure staff are effectively trained in safeguarding and are following procedures for Internal Audit in 2020/21.</li> <li>• Appropriate attendance at Cambridgeshire Safeguarding Board.</li> </ul>		1	3	6





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Appendix A:

Strategic Risk overall ratings

	1 Unlikely	2 Possible	3 Likely	4 More likely than not	5 Probable
5 Catastrophic	15	19	22	24	25
4 Significant	10	14	18	21	23
3 Moderate	6	9	<i>Tolerance Level</i> 13	17	20
2 Minor	3	5	8	12	16
1 Insignificant	1	2	4	7	11

Risk ratings key:

Dark red	Critical risks
Red	High risks
Amber	Medium-high risks
Yellow	Medium risks
Green	Low risks

Risk scores are calculated by determining the Likelihood and the highest Impact score from the PESTELO categories. An overall risk score is determined by using the matrix at Appendix A.

The **risk tolerance** is set at risk rating of 13 (**yellow**)

- All risks above the risk tolerance (that is critical, high and medium-high) are reported to the relevant Executive Board.
- Controls, assurances and actions aim to bring risks within the risk tolerance.
- External issues may raise inherent risk likelihood or impact.
- Some risks may be accepted above the risk tolerance level where it is considered unrealistic or unaffordable to bring the risks within tolerance.
  
- **Critical** and **High** risks are key issues requiring immediate and on-going management attention to embed and maintain controls, assurances and actions that will reduce likelihood and/or impact.
- **Medium-high** risks are significant issues requiring attention to reduce likelihood and/or impact.
- **Medium** risks are less significant but need to be monitored to capture any increase in the inherent risk position.
- **Low** risks require no special action.

## PESTELO

### Political - local/gov policy

1. Insignificant – Little impact on stakeholder groups
2. Minor - Minor impact on stakeholder groups
3. Moderate - Loss of support from local stakeholders
4. Significant - Capability of organisation questioned
5. Catastrophic - Viability of organisation under threat

### Social - Public Confidence

1. Insignificant - Little impact on stakeholder groups
2. Minor - Minor impact on stakeholder groups
3. Moderate - Loss of support from local stakeholders
4. Significant - Capability of organisation questioned

### Economic - Internal budget pressures

1. Insignificant – Overspend of up to 2% of agreed/notional budget or shortfall of up to 3% of approved target saving
2. Minor – Overspend of 2% to 5% of agreed/notional budget or shortfall of 3-5%
3. Moderate – Overspend of 5-10% of agreed / notional budget or shortfall of 5-10%
4. Significant – Overspend of 10-15% of agreed / notional budget or shortfall of 10-15%
5. Catastrophic – Overspend of more than 15% or shortfall of more than 15%

### Technological - Consequences of failure, pay/scale of change

1. Insignificant – Insignificant shortfalls in mandatory reqs and/or other requirements
2. Minor - Minor shortfalls in mandatory reqs and/or other requirements
3. Moderate – Moderate shortfalls in one or more key reqs
4. Significant - Significant shortfalls in mandatory reqs and/or other reqs having direct impact on service delivery

5. Catastrophic - Variability of organisation under threat

### **Environmental - Consequences on environment**

1. Insignificant - Little disruption
2. Minor - Some disruption
3. Moderate - Considerable disruption to environment
4. Significant - Serious impact on environment, signalling mid-term damage
5. Catastrophic - Critical impact on environment, signalling long-term damage

### **Organisation - Issues that may affect our organisation and staff**

1. Insignificant – Insignificant adjustment required
2. Minor – Minor adjustments required
3. Moderate – Moderate adjustments required
4. Significant – Significant adjustments required
5. Catastrophic – Extensive long term to permanent adjustments required

5. Catastrophic - Complete system failure which has a direct impact on service delivery

### **Legislative - National or European Law**

1. Insignificant - No effect - Compliance with legislation
2. Minor - Little affect - Exposure to Local Sanctions e.g. Breach of Local Bye Laws
3. Moderate - Considerable Effect - Exposure to fines/penalties e.g. failure to meet contractual obligations
4. Significant - Serious effect - exposure to prosecution, resulting in serious damage to reputation
5. Catastrophic - Critical - exposure to prosecution, which prevents organisation from continuing to discharge its duties