Agenda Item No

12

JOINT INDEPENDENT AUDIT COMMITTEE
19th November 2019

SUBJECT	**PCC RISK REGISTER**
REPORT BY	**CHIEF EXECUTIVE & CHIEF FINANCE OFFICER**
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SUMMARY AND PURPOSE OF REPORT To review the PCC's Risk Register.	
RECOMMENDATION	**That the Committee reviews the PCC's Risk Register.**

A. SUPPORTING INFORMATION

1. The top strategic risks that would prevent or distract the Commissioner from achieving his goals are recorded in the PCC Risk Register. The risks have been identified based on the PCC's objectives that are stated in his Community Safety, Policing and Criminal Justice Plan April 2017 – March 2021.

2. The PCC's Chief Finance Officer (CFO) and Research and Performance Officer (RPO) attend the Force's Confidential Risk Management Board and Force Risk Management Board respectively. This ensures that the Force's register and the PCC's register are aligned where appropriate. In addition the Force Risk Policy & Review Officer and the Research and Performance Officer meet on a monthly basis to discuss issues arising from both registers (and the joint Assurance Map).

3. The PCC's risk register is reviewed every other month (alternating with the Assurance Map) as part of the standing agenda for the OPCC Management Meeting. The current register (V7.30) records 18 risks in total, with 5 currently rated as critical, scoring RED 12 and above and 13 non-critical, scoring AMBER 9 and below.

4. Since the previous review by JIAC in July 2019 two new risks have been added to the register, *"failure to prepare for the changes to police complaints legislation and associated regulations" and "failure to prepare for the PCC elections in May 2020"*.

5. Four risks have had their scores reduced with one of these moving to a non-critical AMBER rating from a RED critical rating, *"Lack of Resilience & Instability in Force Chief Officer team":* Two risks have achieved their target score and will be considered for removal from the register. These are *"Failure to contain expenditure within available resources and "Failure to effectively comply with the New UK Data Protection Act". The remaining risk, "Failure to: Obtain satisfactory VfM from disposal of 'West Parade' Police Station (Lincoln City)" has reduced from amber 9 to amber 6.*

6. The PCC's risk register V7.30 October 2019 is attached at **Appendix A.**

7. .Key updates to the commissioners risk register since the July 2019 JIAC meeting are summarised below:

7.1. **Risk C046 – "Failure to contain expenditure within available resources"**

7.1.1. This risk has reached its target score of 4 (1x4) having been reduced from 8 (2x4).

7.1.2. A balanced budget has been approved for 2019/20, with precept maximised and £3.2m of savings included to bridge the gap.

7.1.3. MTFP has budget gaps identified; with high level plan to deliver savings.

7.1.4. Home Office award £1.8m special grant subject to HMICFRS inspection of claim - Areas for investment of special grant identified.

7.2. **Risk C038 – "Lack of effective service commissioning capacity at peak times in the commissioning lifecycle"**

7.2.1. This risk has been re-worded to better frame the current risk relating to periods of peak demand rather than overall commissioning capacity / demand.

7.2.2. A review of procurement timelines and the associated planning process is underway by the OPCC manager responsible for commissioning.

7.3. **<u>New risk</u> C048** – "**Failure to adequately prepare for the changes to police complaints legislation and associated regulations".**

7.3.1. Police regulations and legislation regarding the management of complaints are to be revised.

7.3.2. This includes the role of the OPCC in the appeals process and the need to select one of 3 available models for the level of involvement the OPCC has in dealing with complaints.

7.3.3. The revised legislation comes into effect on the 1st of February 2020.

7.3.4. The potential for collaboration with other regional forces in procuring a suitable service provider to support the proposed appeals process is being explored.

7.4. <u>New Risk</u> C049 – "Failure to adequately prepare for the PCC elections in May 2020".

7.4.1. Existing preparation process in place from previous elections - with anticipated refresh of national guidance relating to Purdah.

7.4.2. Local joint protocol and guidance in place with the force / OPCC.

7.5. Risk C042 – "Failure to comply with the New UK data protection act" (*Applies from May 25, 2018*).

7.5.1. This risk has reached its target score of 3 (1x3) and will be considered for removal from the register at the next management review meeting.

7.5.2. OPCC procedures and processes in place and internal IMU audits completed. Compliance should now be considered as 'business as usual'.

7.6. Risk C037 – "Lack of Resilience and instability in the force chief officer team"

7.6.1. This risk has reduced from a critical score red 12 (3x4) to a stable amber 8 (2x4).

7.6.2. The COG has a full complement of officers and staff following a recent re-organisation of roles.

7.6.3. Chief Officer portfolios of responsibility have been finalised / clarified.

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8. All updates to the PCC's risk register are recorded in its change log.

B. FINANCIAL CONSIDERATIONS

There are resource implications related to some of the risk control measures that arise from the implementation of these activities. These are managed by the appropriate Chief Officers in each organisation.

C. LEGAL AND HUMAN RIGHTS CONSIDERATIONS

Any relevant legal and human rights related risks are included in the PCC's risk register.

D. PERSONNEL, EQUAL OPPORTUNITIES AND DIVERSITY ISSUES (including any impact or issues relating to Children and Young People.)

Any relevant personnel, equal opportunities and diversity related risks are included in the PCC's and Force's risk registers.

E. REVIEW ARRANGEMENTS

The Risk Management Strategies for both the PCC and the Force will be reviewed by JIAC on an annual basis.

F. RISK MANAGEMENT

Risk governance is an integral part of the Joint Independent Audit Committee's remit. It is reflected on the Forward Plan accordingly.

G. PUBLIC ACCESS TO INFORMATION

Information in this report along with any supporting material is subject to the Freedom of Information Act 2000 and other legislation.