Agenda Item No

17

JOINT INDEPENDENT AUDIT COMMITTEE
10th June 2020

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 risk register (V7.46) records 16 risks in total, with 6 currently rated as critical, scoring RED 12 and above and 10 as non-critical, scoring AMBER 9 and below.

4. Since the previous review by JIAC in January 2020 three new risks have been added to the register these are:

   4.1. "Failure to: adequately prepare for the end of the 'Transition period' following Britain's exit from the European union."

   4.2. "Failure to adequately prepare for the PCC elections in 2021".

   4.3. "Failure of the force to prepare appropriate strategic & operational delivery plans for all key organisational functions including: ICT, Fleet & Estates".

   And three risks have been removed, these are:

4.4 Risk - *"Failure to: Adequately prepare for the changes to police complaints legislation and associated regulations*."– the legislation was enacted on 1st February 2020 and new processes are now in operation.

4.5 Risk - *"Failure to: "adequately prepare for Britain's exit from the European Union".* Britain left the EU on 31st January 2020.

4.6 Risk - *"Failure to adequately prepare for the PCC elections 2020*". As a result of Covid-19 the date set for the next scheduled election of PCCs has been moved to May 2021. This has extended the period in office for current PCCs by a year. Emergency legislation has been introduced which effectively reduces the term to be served by PCCs following the next election to a three year period in office – To maintain the cycle of future elections.

4.7 In addition one risk: *"Failure to: Adequately prepare for the impact of Coronavirus on the functions of the OPCC / PCC"* was added on the 27th February and then removed within a relatively short period of time on the 22nd April, as events rapidly developed and the risk changed into a live issue being managed by the OPCC and Force with business continuity plans being implemented.

5.0 Some changes to the scores of existing risks have also taken place:

5.1 *"Ineffective relationships with Local Partners (Inc LCC, district councils, health services, fire / ambulance)",* has reduced from a non-critical AMBER 9 (3x3) to AMBER 6 (2x3).

5.2 "Lack of effective service commissioning capacity at peak times of demand in the commissioning cycle", has reduced from an AMBER 6 (2x3) down to a GREEN 3, achieving its target score.

6.0 Key notes on the Commissioners risk register since the January 2020 JIAC meeting are summarised below.

6.1 **New Risk C051–*"Failure of the force to prepare appropriate strategic & operational delivery plans for all key organisational functions including ICT, Fleet & Estates."***

6.1.1 The force have developed and partially implemented a new corporate planning process / cycle.

6.1.2 The timescale for the annual production of the FMS has been extended (From May to October 2020).

6.1.3 Discussions relating to key governance structures and processes are ongoing.

6.1.4 Refreshed strategic objectives are in development.

6.1.5 A refreshed suite of strategic and operational delivery plans are yet to be produced by the force.

6.2 **New Risk C050 *"Failure to adequately prepare for the end of the Transition period following Britain's exit from the European Union".*** *(Transition period ends January 1st 2021)*.

6.2.1 There is a need to investigate and prepare for any potential impact of legislative changes on key functions and processes eg procurement & finance.

6.3 **New Risk C049 – *"Failure to prepare for the PCC elections in May 2021."***

6.3.1 Emergency legislation has been drafted by the Home Office to cover the requirement to move elections back one year as a result of the impact of Covid-19.

6.3.2 There is a requirement to refresh and extend the existing Police and Crime Plan for 1 year.

6.3.3 There will be a reduced term of office for those PCCs elected in May 2021.

6.3.4 Existing preparations made for the planned 2020 elections will need to be refreshed / revisited in advance of 2021. The monitoring of developing circumstances is in place via OPCC election SPOC.

7.0 The PCC's risk register V7.46 May 2020 is attached at **Appendix A. -** All recent 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.