Agenda Item No

15

JOINT INDEPENDENT AUDIT COMMITTEE
6th March 2024

SUBJECT	**PCC RISK REGISTER**
REPORT BY	**CHIEF EXECUTIVE & CHIEF FINANCE OFFICER**
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SUMMARY AND PURPOSE OF REPORT To provide a copy of the PCC's Risk Register and a summary of key contents.	
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's 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 2021 – 2025.

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. In addition, both force and OPCC registers and the Chief Constable's assurance map appear at the quarterly Joint Assurance Review (JAR) meetings involving the CFO & CEX from the OPCC and the DoF&CS & DCC from the force. This helps ensure mutual awareness of the overall risk and control environment and that the Force and the OPCC registers are aligned where appropriate.

3. The PCC's risk register is reviewed each month as part of the standing agenda for the OPCC Management Meeting. **A copy of the PCC's risk register V7.81 February 2024 is attached to this report at Appendix A.**

4. **Risk Register – Summary**
   The executive summary pages (1-3) highlight key information including risk distribution across inherent, current and target scores. In addition, there is a risk 'heat map', which provides a simple overview of current risk and the most recent changes in scoring along with a brief explanatory narrative. The final section of the register contains the change log which details any significant updates made to the register in the previous 12 months.

   4.1. The risk register records 14 risks in total, with 4 currently rated as critical, scoring RED 12 and above and 10 as non-critical, scoring AMBER 9 and below. Since the last review of the register by the JIAC in August of 2023 there has been one risk retrieved from the archive. This was added in September 2023 and relates to the planned election for PCCs on the 2nd of May 2024.

4.2. **Critical Risks - Updates**

These risks are routinely reviewed at each full monthly management meeting to ensure any new or developing controls can be assessed against the current risk score.

4.2.1. **Risk 2 -** C01 – The Chief and PCC continue to lobby and work with the Home Office to obtain a sustained 'fairer share' of national funding. This risk remains outside of risk appetite.

4.2.2. **Risk 3 -** C02 – An additional developing control has been added to this risk. The Home Office have recently produced an independent report reviewing police productivity (November 2023). The CFO has committed to scrutinising the report for lessons learned that may be applicable in Lincolnshire.

4.2.3. **Risk 6 -** C041 – The regional collaborative environment is in a state of flux and risk scores remain high until a more settled status develops. A Target Operating Model for EMSOU is under construction and is planned for completion in July of 2024. In addition there have been a number of changes in regional leadership and unknown impact of impending PCC election results in May 2024.This risk remains outside of risk appetite

4.2.4. **Risk 12 -** C058 – There is a planned programme of work underway to scope and deliver a new ERP solution – the risk remains high due to the scale and potential impact of the work required and its nascent status. A reduced score is dependent on accurate and timely delivery of complex and wide-ranging plans effecting key organisational functions. This risk remains outside of risk appetite.

4.3. **Non-critical Risks** - Updates

Non-critical risks feature at the monthly OPCC management meetings to ensure their status is regularly discussed & reviewed and any new developing controls are considered and updated in the register. A particular focus is placed on those risks that have remained static for some time. A summary of key updates to this category of risks is provided below.

4.3.1. **Risk 1 -** C06 – There continue to be changes in OPCC team with a successful cycle of GSO recruitment with 2 new GSO's appointed in October 2023 and 2 further planned for September 2024. Some recent departures will lead to vacancies to be filled (Post PCC Elections). Work continues to enhance our approach to identifying training needs and provision across the team. Plus, the ongoing work with Lincoln University to improve the engagement with graduate candidates interested in working for the force and OPCC. Successful implementation and progress across these workstreams may see a reduction in the current risk score in the medium term.

4.3.2. **Risk 11**- C057 – **(Current risk score reduced)** This risk incorporates 'commissioned service providers' following national reporting of fears that some vital services may have to be reduced or face failing completely due to providers inability to cope with the implications of rising costs within existing contractual arrangements. In response to these concerns the MOJ have provided a non-recurrent 5% uplift to PCCs victims grants for 2023/24 to help mitigate this risk. The SDM continues to monitor service providers to identify any concerns. This risk score was reduced from an Amber 9 to Amber 6 (2x3) in September 2023.

4.3.3. **Risk 7** - C044 There are a range of developing controls that have been introduced to this risk including significant independent reviews commissioned by the PCC, for Rape case processes with a victims focus and a CoP review of the Forces' newly established neighbourhood policing model. These have continued the downward trajectory of the risk and will provide third party assurance that may lead to its score being reduced further. In addition, there are emerging signs that some key crime performance indicators (recorded crime) may be reducing. If these initial signs prove to be more of a sustained trend this will be a further factor to consider in the continuing downward direction of travel for this risk.

4.3.4. **Risk 13** - C059 Discussions have led to the creation of a detailed MOU between the force and OPCC that includes agreed governance / reporting & delivery tracking arrangements with the potential to provide improved assurance – Ratification of the MOU is pending the signature of the newly appointed Chief Constable (Dr P Gibson). However, there are currently some key gaps in visible force strategic planning which mean the direction of travel for this risk remains static.

4.3.5. **Risk 14** – C060 (**New Entry**) This risk was returned from the archive in September 2023 and has had content refreshed to represent the current situation. The election for PCC's is scheduled for 2nd May 2024 with a period of 'Purdah' commencing on 22nd of March 2024. The risk direction of travel continues downwards as the well-rehearsed mitigation plan is implemented leading up to the election.

5. Risk & Assurance Workshop 2023

5.1. A risk and Assurance workshop was successfully held on the 6thJune 2023 – Minutes and actions from this meeting were recorded and distributed to JIAC members. The subsequent actions taken in response are detailed in the **Summary action Log attached at Appendix B to this report**.

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.