

AGENDA ITEM NO:

PCC RISK REGISTER

1. Purpose of Report

- 1.1 To update the Police and Crime Panel (the Panel) on the PCC Risk Register.

2. Background and Main Considerations for the Committee

- 2.1 The risk register is aligned to the lifespan of the Police and Crime Plan (2017-2021) and has been reviewed and updated as at 14th September 2018.
- 2.2 All risks are split into two categories – they are either inherent risks and will remain on the register regardless of score, or topical risks which will be removed when they have a score of 10 or under. This will assist in ensuring focus remains on current risks and what additional mitigations or plans are needed to reduce the score and thus be removed from the register.
- 2.3 The register is a dynamic document and is intended to capture live management of risk and mitigation rather than being a record of all possible risks.
- 2.4 The register is reviewed monthly on an informal basis by the Deputy Chief Executive and formally by CMB on a quarterly basis, usually prior to meetings of the Joint Independent Audit Committee and the Police and Crime Panel. The Commissioning and Policy Officer has responsibility for the day-to-day management of the register.
- 2.5 Owners for each risk are identified and they are responsible for providing updates on mitigation and score.
- 2.6 The risk appetite remains at 30.
- 2.7 The PCC Risk Register is attached at Appendix A.
- 2.8 Attached at Appendix B is a glossary setting out the meaning of the acronyms used and the scoring brackets for identifying risks as high, moderate, acceptable, or minor.

3. Key Risks to Consider – Inherent

- 3.1 The register identifies eleven inherent risks, six are considered as either minor or acceptable, four are considered moderate, and one is considered major. Details on these risks are provided in Paragraphs 3.3, 3.4 and 5.1 below.
- 3.2 One new inherent risk has been identified and is considered a moderate risk. Further detail is provided in Paragraph 5.1.

3.3 Details on the one risk identified as major is:

- *Risk 18: ICT services are not resilient and transformational to support effective and efficient policing*
Members will be aware of the strategic partnership between the OPCC, Wiltshire Police, and the Council to deliver ICT services. This collaboration has been successful however the demands for ICT projects in both organisations continue to increase. In the police sector there is an increase in mandating of infrastructure which is causing a degree of divergence. On the Council side ICT projects are required to deliver efficiency projects to assist in improving services and meeting budget shortfalls. These activities lead to a requirement for additional ICT resource. The ability to attract the correct resources is currently being focused on and where possible new resource is being identified, there however remains a shortfall which leads to the identified risk.

3.4 Details on the three risks considered moderate are:

- *Risk 11: Failure to deliver the priorities set out in the Police and Crime Plan due to lack of resources or emerging threats*
Members will be aware of the impact Op Fairline and Op Fortis has had on the Force. As a result of this the Force are reviewing delivery against the priorities set out in the Police and Crime Plan. It is expected that timescales will be delayed as opposed to the Force not being able to carry out planned work. A joint OPCC/Force awayday will be held in October where the implications of these two operations in relation to the Police and Crime Plan will be further discussed. The Commissioner's draft Annual Report for 2017-18, which reports on progress against the Plan, is due to be considered at the September meeting of the Police and Crime Panel.
- *Risk 16: Partners make decisions that impact upon the PCC and Police without discussion or involvement in decision making process*
Although early in the financial planning cycle for the 2019-20 budget, the Chief Finance Officer has been made aware that local authorities savings target will increase for the next financial year. It is quite likely, therefore, that decisions will be made by partners impacting upon the work of the PCC and the Force. As a result of this, the likelihood for this risk has increased from 2 to 3 (overall score now 24 from 16).
- *Risk 19: Police collaborative arrangements do not deliver anticipated benefits due to weak governance and accountability and / or the impacts outweigh business benefits*
This risk has now been fully updated following a strategic seminar that was recently held. As a result of tri-force and regional reviews taking place this risk is still considered a 'moderate risk' although the scoring has reduced from 27 to 18 (control score reduced to 2 from 3).

4. Key Risks to Consider – Topical

- 4.1 The register identifies eight topical risks, three are considered moderate. Details on these risks are provided in Paragraph 4.3 below.
- 4.2 One new topical risk has been identified and further detail is provided at Paragraph 5.2.

4.3 Details on the three existing risks considered moderate are:

- *Risk T4: Wiltshire Police fail to have operational and organisational policies that meet the duties and aims under the Equality Act 2010*
The planned internal audit has now taken place which resulted in a 'partial' assurance. This mainly related to a number of HR policies being out of date and requiring review. This work is taking place as a matter of urgency and expected to be completed by the end of the month. The OPCC is meeting regularly with HR to discuss progress.
- *Risk T7: Ongoing Op Fairline / Op Fortis impacting upon community confidence and police resources*
Op Fairline and Op Fortis are still ongoing. To date £6.6million additional funding has been provided by government to help with these costs although operational costs for the Force are projected to exceed £10million. It should be noted that in a letter to the Police and Crime Commissioner, the Policing Minister Nick Hurd MP, acknowledged the 'excellent work undertaken by officers and staff in response to these incidents' and recognised that the incidents had 'placed an unprecedented pressure on Wiltshire Police'. Positive feedback has also been received from the community and around the County.
- *Risk T8: Failure to comply with General Data Protection Regulations (GDPR)*
Work is ongoing to ensure compliance with GDPR. The Joint Independent Audit Committee is due to receive an update at their next meeting in November. This risk will be fully reviewed following that meeting.

5. New Risks

5.1 Two new risks have been identified (one inherent and one topical). The new inherent risk is considered moderate. Further information is provided below:

- *Risk I11: OPCC does not have enough resource to discharge its responsibilities to the standard set by the PCC and external bodies*
The Deputy Chief Executive is leading on a piece of work to ensure the OPCC has adequate resources to support the Commissioner to meet responsibilities, fulfilling the office's role as system coordinator and service commissioner and in preparation for further devolution of police complaints, criminal justice and probation services. At this stage the work is being scoped and information obtained with comparisons to take place with other OPCCs in due course

5.2 The other new risk (topical) is considered acceptable but is nonetheless important:

- *Risk T9: Failure to commission service for victims of crime*
The Commissioner has a statutory responsibility to provide a victims service for victims of crime. All Police and Crime Commissioners have had this responsibility since April 2015. The OPCC is currently in the process of recommissioning this service which is to be in place as from 1st April 2019. As can be seen from the risk register a number of mitigation and controls have already been taken and are in place. Due to the tight timescales for implementation, this project is being closely monitored as is this risk.

6. Corporate Risk Management Internal Audit

6.1 The PCC risk register and the Force risk register have recently been subjected to an internal audit. The report gave a 'reasonable' assurance and made two recommendations. Both recommendations related to the Force risk register.

- 6.2 A sample of five risks was selected from the PCC risk register and traced through papers presented to the Joint Independent Audit Committee from June 2017 to June 2018. It found that updates were invariably received and scoring adjusted frequently in correlation with the narration.
- 6.3 One of the risks selected superseded a related but more specific risk and the report states that *'this confirms the risk register is being managed proactively to avoid duplication or 'drifting'*.
- 6.4 Following discussion with the JIAC Chairman, the audit also considered comparisons with other OPCC and Force risk registers in a separate benchmarking exercise. No clearly relevant risks were found to have been omitted from either the PCC or the Force risk register.
- 7. Future Reviews of Risk Register**
- 7.1 The attached version of the risk register will be considered at the next Joint Independent Audit Committee (15th November). Any amendments required following this meeting will be made at the monthly informal review by the Deputy Chief Executive.

Naji Darwish
OPCC Deputy Chief Executive

ACRONYM	MEANING
ACCs	Assistant Chief Constables
APAC ² E	Association of Police and Crime Commissioners Chief Executives
APCC	Association of Police and Crime Commissioners
BAU	Business As Usual
BUSS	Best Use of Stop and Search
CC	Chief Constable
CFO	Chief Finance Officer
CJB	Criminal Justice Board
CJS	Criminal Justice System
CMB	Commissioner's Monitoring Board
CPS	Crown Prosecution Service
CPT	Community Policing Team
CSPs	Community Safety Partnerships
CX	Chief Executive
D&C	Devon and Cornwall
DA	Domestic Abuse
ESN	Emergency Services Network
GCHQ	Government Communications Headquarters
HMICFRS	Her Majesty's Inspectorate of Constabulary and Fire & Rescue Service
HO	Home Office
HR	Human Resources
ICT	Information Communication Technology
JAC	Joint Independent Audit Committee
LA / LAs	Local Authority / Local Authority's
MPs	Members of Parliament
MTFS	Medium Term Financial Strategy
Op Fairline	Salisbury incident
OPCC	Office of Police and Crime Commissioner
P&C Plan	Police and Crime Plan
PACCTS	Police and Crime Commissioners Treasurer Society
Panel	Police and Crime Panel
PCC	Police and Crime Commissioner
PCP	Police and Crime Panel
PCSOs	Police Community Support Officers
PEEL	Police Effectiveness, Efficiency and Legitimacy Programme
PPA	Performance, Planning and Assurance
RJ	Restorative Justice
S&S	Stop and Search
SA	Sexual Abuse
SBC	Swindon Borough Council
SCT	Senior Command Team
SW	South West
T/CC	Temporary Chief Constable
WC	Wiltshire Council
WCJB	Wiltshire Criminal Justice Board

RISK KEY

risk score 30+

risk score 18-29

risk score 8-17

risk score 1-7