



Agenda Item: 8

Meeting	Joint Independent Audit Committee
Date	23 September 2021
Report Title	PCC Risk Register
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1.0 Purpose of Report

- 1.1 To update the Joint Independent Audit Committee on the PCC Risk Register.

2.0 Introduction and Background Information

- 2.1 The risk register is aligned to the lifespan of the Police and Crime Plan (2017-2021) and the most recent review took place on 12 August 2021. The format for the PCC risk register was updated in anticipation of the PCC elections in May, including identification of a number of new risks.
- 2.2 The OPCC Risk register and policy will now be reviewed alongside the development of a new Police and Crime Plan 2022-2025 following the election of a new Commissioner.
- 2.3 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 remove the risk from the register.
- 2.4 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.
- 2.5 The register is reviewed on a monthly basis with a summary report on all major and moderate risks reported to meetings of CMB. A full report is submitted to CMB and the OPCC ELT prior to meetings of the Joint Independent Audit Committee and the Police and Crime Panel. The full risk register is considered at monthly meetings of the OPCC ELT. The Commissioning and Policy Officer has responsibility for the day-to-day management of the register.
- 2.6 Owners for each risk are identified and they are responsible for providing updates on mitigation and score.
- 2.7 The risk appetite remains at 30.

- 2.8 The PCC Risk Register is attached at Appendix A.
- 2.9 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.
- 3.0 Summary of Risks**
- 3.1 Table 1 below shows where each risk sits on the scoring matrix and which risks are considered to be a major risk (red) or a moderate risk (amber).
- 3.2 Table 2 provides further information on the risk, listing the risk event for that risk.
- 3.3 Table 1 and Table 2 are reported to CMB on a monthly basis.
- 3.4 Paragraph 4 looks at those risks considered major or moderate in more detail.

		IMPACT				
		25	50	75	100	125
		20	40	60	80	100
		16	32	48	64	80
		15	30	45	60	75
		12	24	36	48	60
		10	20	30	40	50
		9	18	27	36	45
		8	16	24	32	40
		6	12	18	24	30
		5	10	15	20	25
		4	8	12	16	20
		3	6	9	12	15
		2	4	6	8	10
		1	2	3	4	5
LIKELIHOOD AND CONTROL						

Table 1: Risk Number and Scoring Matrix

Risk No	Description	Score
T4	T4 Impact of Covid19 on health and welling of OPCC and Force workforce means P&C Plan is not delivered	36
I8	PCC estate does not meet operational policing requirements	36
T3	Impact of Covid-19 on criminal justice capacity, opportunities for transformation and improving performance	32
T6	Support services do not have the capacity or are not meeting the organisational needs	27
T5	Impact on MTFS and capital strategy of not disposing of estate identified for disposal or not achieving anticipated capital	24
I2	Unable to produce a balanced MTFS that enables the PCC to deliver his P&C Plan priorities	24
T1	Review of funding formula does not provide additional resources or reduces resources to Wiltshire	24
T2	Cost implication of delayed implementation of new communication system as a result of national change-over from Airwave Tetra to new 4G based ESN	24
T7	Acting PCC unable to provide new strategic direction	18
I10	Police collaborative arrangements do not deliver anticipated benefits due to ineffective governance and accountability and / or the impacts outweigh business benefits	18

Table 2: Summary of red and amber risks

4.0 Key Risks to Consider and notable changes

4.1 *Risk T4: Impact of Covid19 on health and welling of OPCC and Force workforce means P&C Plan is not delivered*

This risk was first recorded on the risk register in November 2020 during the second lockdown (overall score of 12). The overall score increased in January (to 18) and again in February (to 27) to recognise the impact of the third lockdown and the pressures of home-schooling. Although the score was reduced in April following the easing of lockdown, following review it has been increased to 36 to reflect reduced operational capacity due to the 'pingdemic'.

4.2 *Risk I8: PCC estate does not meet operational policing requirements*

Work has been commissioned to advise on the next Estates Strategy and operational advice from the Chief Constable will be sought. The recruitment and training of additional new recruits and the backlog in delivery of mandatory training will have a significant impact on the estate requirement. As a result of this, the score has increased from 27 to 36.

4.3 *Risk T3: Impact of Covid-19 on criminal justice capacity, opportunities for transformation and improving performance*

The Criminal Justice Board, which is chaired by the OPCC, leads on the coordination of the criminal justice system. A Wessex CJS Recovery Group meets biweekly and all CJS partners at senior levels are represented. The magistrate backlog has been cleared however timeliness in the system across the CJS is a challenge. This impacts all organisations where demand is retained for longer, impacts on victim and witness retention and impact on defendants. Significant work at national, regional and local level is underway to continue CJS transformation and improve outcomes of the CJS.

- 4.4 *Risk T6: Support services do not have the capacity or are not meeting the organisational needs*
Across the OPCC and Force shared services are in operation following the first year of operating under SLAs. Review of this and understanding of resource allocation needs to be undertaken to ensure services are meeting the organisations needs or not suitable for operating as shared services. This is inline with the joint planning cycle.
- 4.5 *Risk T5: Impact on MTFs and capital strategy of not disposing of estate identified for disposal or not achieving anticipated capital*
The delay in the PCC elections has impacted on the review and decision making regarding planned disposals. Underlying objectives for the Estate are being discussed with the new Commissioner so that a new Estates Strategy may be produced.
- 4.6 *Risk I2: Unable to produce a balanced MTFs that enables the PCC to deliver his P&C Plan priorities*
A joint planning session between the OPCC and the Force is scheduled for the autumn and this will provide clarity on future funding requirements. Uncertainty will remain, however, until central funding is announced along with any capping restrictions on precept level. This may not be known though until December 2021.
- 4.7 *Risk T1: Review of funding formula does not provide additional resources or reduces resources to Wiltshire*
The government have announced that a review of the funding formula will commence Autumn 2021.
- 4.8 *Risk T2: Cost implication of delayed implementation of new communication system as a result of national change-over from Airwave Tetra to new 4G based ESN*
Approval has been given to move to the next level of preparing assurance cases.
- 4.9 *Risk T7: Acting PCC unable to provide new strategic direction.*
This risk has now been removed following the PCC elections which took place on 19 August 2021.
- 4.10 *Risk I10: Police collaborative arrangements do not deliver anticipated benefits due to ineffective governance and accountability and / or the impacts outweigh business*
The election of a new Commissioner will allow a fundamental re-evaluation of collaboration. A regional PCC planning session with regional Chief Constables is planned for October 2021.

5.0 Future Reviews of Risk Register

- 5.1 Any amendments required following this meeting will be made at the monthly informal review with the Deputy Chief Executive.

6.0 Staffing Implications

- 6.1 Any staffing implications are set out in the associated risk(s).

7.0 Financial Implications

- 7.1 Any financial implications are set out in the associated risk(s).

8.0 Legal Implications

8.1 Any legal implications are set out in the associated risk(s).

9.0 Sustainability

9.1 Any sustainability issues are set out in the associated risk(s).

10.0 Diversity Issues

10.1 Equality and diversity issues are reflected in the respective elements of the risk register.

11.0 Contribution to the Police and Crime Plan 2017-2021

11.1 The risk register is aligned to the Police and Crime Plan and identifies risks associated with not delivering the Plan and the priorities set out within it.

12.0 Recommendations

12.1 The Joint Independent Audit Committee is invited to note the content of the report and the risk register.

Appendices:

Appendix A – PCC Risk Register

Appendix B – Glossary

ACRONYM	MEANING
APAC ² E	Association of Police and Crime Commissioners Chief Executives
APCC	Association of Police and Crime Commissioners
BAU	Business As Usual
CC	Chief Constable
CFO	Chief Finance Officer
CJ	Criminal Justice
CJS	Criminal Justice System
CMB	Commissioner's Monitoring Board
CPS	Crown Prosecution Service
CPT	Community Policing Team
CSR	Comprehensive Spending Review
DPCC	Deputy Police and Crime Commissioner
ESN	Emergency Services Network
GDPR	General Data Protection Regulations
HMCTS	Her Majesty's Courts and Tribunals Service
HMICFRS	Her Majesty's Inspectorate of Constabulary and Fire & Rescue Service
HO	Home Office
HQ	Headquarters
ICT	Information Communication Technology
LA / LAs	Local Authority / Local Authority's
LRF	Local Resilience Forum
MPs	Members of Parliament
MTFS	Medium Term Financial Strategy
NEP	National Enabling Programme
NPCC	National Police Chiefs Council
NPS	National Probation Service
OHU	Occupational Health Unit
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
RASSO	Rape and Serious Sexual Offences
SSOs	Strategic Support Officers
WC	Wiltshire Council
WCJB	Wiltshire Criminal Justice Board
YOTs	Youth Offending Teams

RISK KEY

risk score 30+ (Major)
risk score 18-29 (Moderate)
risk score 8-17 (Acceptable)
risk score 1-7 Minor