

Target Risk



Report Date	19 Feb 2020
Risk Status	Open
Risk Area	Office of the Police and Crime Commissioner
Control Status	Existing
Action Status	Outstanding

Target Risk



Office of the Police and Crime Commissioner							
Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
1470	<p>Diversity & Equality</p> <p>Risk Owner: Michael Porter</p> <p>Last Updated: 19 Feb 2020</p> <p>Latest Review Date: 19 Feb 2020</p> <p>Latest Review By: Michael Porter</p> <p>Last Review Comments: Minor amendments</p>	<p>Under the Equality Act 2010, as a public body we are required to meet the Public Sector General Equality Duty. This requires us in both of our internal and external practices and procedures to:</p> <ul style="list-style-type: none"> -Eliminate unlawful discrimination, harassment and victimisation and other conduct prohibited by the Act; -Advance equality of opportunity between people who share a protected characteristic and those who do not; -Foster good relations between people who share a protected characteristic and those who do not. <p>The Equality Duty concerns all staff alongside community members who share 'Protected Characteristics'.</p> <p>These protected characteristics are: Age, Religion & Belief, Race & Ethnicity, Sex, Sexual Orientation, Gender Re-Assignment, Disability, Pregnancy & Maternity and Marriage & Civil Partnerships.</p> <p>Non-compliance could result in reputational damage to the Commissioner and the OPCC, loss of confidence across our communities and possible financial penalties.</p>	I = 4 L = 4 Primary (16)	<ol style="list-style-type: none"> 1. General Equality Impact Assessments 2. Recruitment procedures compliant with equality legislation 3. Independent Advisory Groups available to support the Force/PCC 4. Equality, Diversity and Human Rights Strategy 5. Staff Equality Forum in place 6. Annual Equality and Diversity Report to Audit Committee. 7. Everyone Matters programme 8. Equality Action Plan 9. A programme of regular cultural and community awareness sessions with key external partners and community contacts. 	I = 4 L = 3 Primary (12)	<p>2. Continue to train staff, engage with a wide range of communities and ensure that awareness continues to be raised both with the OPCC and also the Force.</p> <p>Person Responsible: Michael Porter To be implemented by: 30 Sep 2020</p> <p>1. The PCC is committed to the Everyone Matters programme and a team is expected to be in place by the end of 2019/20 to deliver the Strategy. The team has been assembled will operate explicitly on a joint corporate basis (so that the programme is jointly owned) but with the PCC as host employer for assurance and ethical separation purposes; Clear accountability will be to a Governance Board to be chaired by the Chief Constable (with Ch Exec alongside as joint project sponsor)</p> <p>Person Responsible: Michael Porter To be implemented by: 30 Sep 2020</p>	8

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1472	<p>Organisational Governance</p> <p>Risk Owner: Michael Porter</p> <p>Last Updated: 19 Feb 2020</p> <p>Latest Review Date: 19 Feb 2020</p> <p>Latest Review By: Michael Porter</p> <p>Last Review Comments: A number of the actions are in progress but not yet complete</p>	<p>A lack of adherence to good governance procedures Acts/Orders/Regulations could lead to bad publicity, loss of reputation, financial loss and possible legal sanction resulting in critical review by HMICFRS, Police & Crime Panel and/or External Audit, poor decision making and adverse publicity and public attention.</p> <p>Poor governance processes leads to poor decision making and overall poor performance and value for money.</p>	I = 5 L = 5 Primary (25)	<p>1.Governance and decision making procedures in place regularly reviewed and updated.</p> <p>2.PCC signs up to a voluntary Code of Conduct including declarations of interests and notification of gifts and hospitality.</p> <p>3.PCC staff subject to Code of Conduct including declarations of interests and notification of gifts and hospitality.</p> <p>4.Annual Governance Statement process.</p> <p>5.Internal (& external) audit scrutiny and reporting</p> <p>6.Oversight by Audit Committee</p> <p>7.Monitoring Officer and Deputy Monitoring Officer.</p> <p>8.Ongoing environmental scanning for new regulatory requirements.</p> <p>9.Code of Corporate Governance in place and reviewed by the Audit Committee</p> <p>10. Robust Governance arrangements are in place for major Collaborations. Which are subject to regular Audit.</p>	I = 5 L = 4 Primary (20)	<p>1. The OPCC needs to completely revisit the Governance, Assurance and Scrutiny arrangements, that it has in place, to provide independent assurance to the PCC on the performance of the Force.</p> <p>2. The OPCC needs to develop processes/procedures to provide independent assurance to the PCC that the Force is delivering against HMICFRS Areas for Improvements.</p> <p>3. The OPCC needs to ensure that the Force put in place a robust and stable Chief Officer Team.</p> <p>4. The OPCC needs to review and redesign the scrutiny processes that enable the PCC to hold the Force to account to provide a greater level of assurance that the Force are and have delivered.</p> <p>Person Responsible: Michael Porter</p> <p>To be implemented by: 31 Mar 2020</p>	10

Target Risk



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1474	Fraud Risk Owner: Michael Porter Last Updated: 18 Feb 2019 Latest Review Date: 19 Feb 2020 Latest Review By: Michael Porter Last Review Comments: work will always continue in this area	Failure to manage processes, controls and procedures leads to increased risk and occurrence of fraud resulting in bad publicity, financial loss, possible legal sanctions and critical review by external agencies.	I = 4 L = 5 Primary (20)	1.Whistle-blowing Strategy. 2.Counter Fraud and Corruption Strategy. 3.Confidential e-mail system. 4.Internal Audit Services. 5.Internal disciplinary policies. 6.Systems of management including Delegation Scheme. 7.Financial Regulations (including Contract Standing Orders). 8.Budgetary control system with monthly analysis and review. 9.Audit Committee 10.Zero tolerance' policy	I = 4 L = 2 Contingency (8)	1. Continued and Annual review of all policies and processes relied upon as existing controls to ensure that it is clear how they apply to the Office of the PCC. Person Responsible: Michael Porter To be implemented by: 31 Mar 2019	8

Target Risk



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Risk Reference	Risk Title	Cause & Effect	Inherent Risk Priority (I x L)	Risk Control	Residual Risk Priority (I x L)	Action Required	Target Risk Priority
1478	<p>Financial Planning</p> <p>Risk Owner: Michael Porter</p> <p>Last Updated: 19 Feb 2020</p> <p>Latest Review Date: 19 Feb 2020</p> <p>Latest Review By: Michael Porter</p> <p>Last Review Comments: One action has been complete</p>	<p>Failure to ensure effective financial control and financial planning processes for the 'PCC Group', (i.e. the Office of the PCC, the Chief Constable, and Grants provided to, or services commissioned by, Partner organisations.) leads to poor decisions and wasting public money resulting in reduced services, poor value for money and adverse commentary and scrutiny for external bodies.</p>	<p>I = 4 L = 4 Primary (16)</p>	<p>Key Mitigations:</p> <ol style="list-style-type: none"> 1. PCC CFO in place 2. Force CFO in place 3. Work of internal audit 4. Work of external audit 5. Quarterly Scrutiny Meetings where Finances and Resource are discussed. 6. Regular Meetings of the PCC and Force Leadership teams to discuss plans and finances 7. Regular reporting and scrutiny of current year financial performance and longer terms plans 8. Regular meetings and communications with partners who currently receive grants from the PCC 9. Regular meetings of the PCC and Force CFO's 10. Balanced financial plan in place for next 4 years based on current assumptions. 11. Earmarked Reserves created for higher pay awards and a legal/insurance reserve. 	<p>I = 4 L = 2 Contingency (8)</p>	<p>1. Reassurance is needed from the Force to the PCC that future recruitment plans will meet both the organisational needs and service demands and they can be delivered within the finances available to the Force.</p> <p>2. The PCC requires assurance from the Force that scarce resources are delivering against the organisational priorities and in turn delivering efficient services.</p> <p>Person Responsible: Michael Porter</p> <p>To be implemented by: 30 Jun 2020</p>	4

Target Risk



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1485	Objectives of the Office of the PCC Risk Owner: Michael Porter Last Updated: 18 Feb 2019 Latest Review Date: 18 Feb 2019 Latest Review By: Michael Porter Last Review Comments: updated	Failure to focus on the delivery of the key organisational objectives of the Office of the Police and Crime Commissioner leads to time wasted on non key areas and absorbing resources into peripheral areas resulting in a poor service to the people of Cleveland in the areas most needed.	I = 4 L = 4 Primary (16)	1. Action Plans for all objectives are in place 2. Regular meetings take place to review progress both internally and with Partners as required. 3. The Force's Towards 2025 Strategy aligns with and underpins the Police and Crime Plan. 4. The PCC has issued a clear Strategic Direction to the Force setting out what is required. 5. Reporting to the Police and Crime Panel is well embedded. 6. Police and Crime Plan has been refreshed and reflects feedback from Partners, Public and Force. 7. OPCC is will engaged with HMICFRS.	I = 4 L = 2 Contingency (8)	Further development and embedding on the new scrutiny programme is required including drawing in more independent information to challenge the Force and provide alternatives sources of assurance/information. Person Responsible: Michael Porter To be implemented by: 30 Sep 2020 Police and Crime Plan needs to be promoted within the Force as the key strategic document and therefore how the Toward 2020 Programme is the mechanism for delivering this. Person Responsible: Michael Porter To be implemented by: 31 Mar 2021	8

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1486	<p>Holding the Chief Constable and the Force to account</p> <p>Risk Owner: Michael Porter</p> <p>Last Updated: 10 Jul 2019</p> <p>Latest Review Date: 10 Jul 2019</p> <p>Latest Review By: Michael Porter</p> <p>Last Review Comments: Risk reviewed, with new assessments of the risk level undertaken, a number of risk controls removed and further actions required added.</p>	<p>Failure to put in place adequate processes to effectively hold the Chief Constable and the Force to account for performance and use of resources as per statutory requirements leads to a reduction in the ability to shape the strategic direction of the Force resulting in key objectives not being met, adverse publicity, poor services to the people of Cleveland and adverse comments from external agencies.</p>	I = 5 L = 5 Primary (25)	<p>1. Attendance/involvement at key force performance meetings.</p> <p>2. Regular one to one meetings between the PCC and CC.</p> <p>3. Clear Governance framework in place</p> <p>A joint Executive Board has now been implemented with agreed terms of reference.</p>	I = 5 L = 4 Primary (20)	<p>1. The OPCC in part way through completely revisiting the Governance, Assurance and Scrutiny arrangements, that it has in place, to provide independent assurance to the PCC on the performance of the Force.</p> <p>2. The scrutiny programme is to be developed in line with Strategic Direction given to the Force to ensure key areas of concern are reviewed. To ensure there is a clear understanding about the current health of the Force and how it will improve its efficiency, effectiveness and standards in the years to come.</p> <p>This will include an increase in the use of independent scrutiny approaches and a clear expectation for the Chief Constable to confirm what will change and by when.</p> <p>3. An important aspect of the Strategic Direction from the PCC was an expectation that police personnel at all levels are transparent and candid with the PCC – and with the Chief Constable – about their work.</p> <p>Person Responsible: Michael Porter</p> <p>To be implemented by: 30 Sep 2020</p>	15

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1487	Commissioning of services and work with partners Risk Owner: Michael Porter Last Updated: 19 Feb 2020 Latest Review Date: 19 Feb 2020 Latest Review By: Michael Porter Last Review Comments: Actions continue to be developed and monitored	Failure to effectively commission services and work with partners generally to deliver the Commissioner's key objectives and priorities leads to a lack of joined up working, poorly specified service needs resulting in poor decisions around which services should be commissioned and/or the wrong services being delivered.	I = 4 L = 4 Primary (16)	1. Grant agreement template in place. 2. Clear guidelines on PCC website of how the PCC will commission services and how funding can be applied for. 3. Good partnership links and networks. 4. Service commissioned for Victims Referral Services. 5. Commissioning Strategy has been developed. 6. Actions from Internal Audit Reviews have been completed. 7. Reviews and Audits of services provided with Grants are being undertaken in-house to ensure delivery against Grant terms and inform future decisions. 8. Services now commissioned for Restorative Justice and Independent Sexual Advisor Services and Sexual Assault Referral Services	I = 4 L = 3 Primary (12)	1. Continue to improve our understanding of the needs of both Victims and Witnesses within Cleveland to ensure that services are provided that meet their needs. 2. Organisation needs to continue to move away from Grants and towards Commissioning/Contracting for the delivery of services. Target Risk - Impact 4, Likelihood 2 Person Responsible: Michael Porter To be implemented by: 30 Sep 2020	8