

ORIGINATOR: CHIEF EXECUTIVE

DECISION NUMBER: 24 - 2021

REASON FOR SUBMISSION: FOR DECISION

SUBMITTED TO: POLICE AND CRIME COMMISSIONER

SUBJECT: RISK MANAGEMENT

SUMMARY:

The Police and Crime Commissioner adopted a Risk Management Strategy by Decision No 17-2013.

In December 2016 the Chief Executive reviewed the Strategy. He took the view at that time that the Strategy did not require amendment.

The Strategy has been reviewed again by the Chief Executive and who now considers it should be modified to take a proportionate approach to risk management in the Office of the PCC. A new Risk Management Policy has been prepared to replace the Strategy.

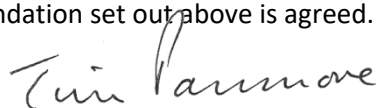
RECOMMENDATION:

It is recommended that the PCC adopts the Risk Management Policy at Appendix 3 in place of the Strategy at Appendix 1 with immediate effect.

APPROVAL BY: PCC

The recommendation set out above is agreed.

Signature



Date 02.07.21

DETAIL OF THE SUBMISSION

1. INTRODUCTION

- 1.1 The Police and Crime Commissioner adopted a Risk Management Strategy in 2013 (Appendix 1).
- 1.2 The Chief Executive reviewed the Strategy in December 2016. He considered at that time that the Strategy did not require amendment.
- 1.3 The Chief Executive has reviewed the Strategy and now proposes it be replaced with the Risk Management Policy at Appendix 3. The Policy essentially modifies the Strategy in order to ensure that risk management is progressed in a proportionate way in the Office of the Police and Crime Commissioner. The context is one where risk management has been in a steady state for a number of years, as evidenced by the Chief Executive's report to the Audit Committee in June 2021 (Appendix 2).

2. FINANCIAL IMPLICATIONS:

- 2.1 There are no financial implications.

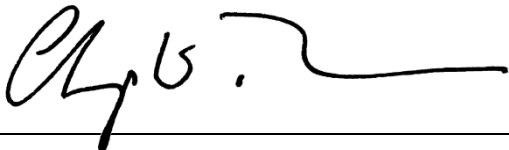
3. OTHER IMPLICATIONS AND RISKS:

- 3.1 There are no other implications of significance. Further there are no impacts on the PCC's Risk Registers.

| ORIGINATOR CHECKLIST (MUST BE COMPLETED) | PLEASE STATE 'YES' OR 'NO' |
|---|----------------------------|
| Has legal advice been sought on this submission? | Not necessary |
| Has the PCC's Chief Finance Officer been consulted? | Oral discussion |
| Have equality, diversity and human rights implications been considered including equality analysis, as appropriate? | Not applicable |
| Have human resource implications been considered? | Not applicable |
| Is the recommendation consistent with the objectives in the Police and Crime Plan? | Yes |
| Has consultation been undertaken with people or agencies likely to be affected by the recommendation? | Not felt necessary |
| Has communications advice been sought on areas of likely media interest and how they might be managed? | No |
| Have all relevant ethical factors been taken into consideration in developing this submission? | Yes |

In relation to the above, please ensure that all relevant issues have been highlighted in the 'other implications and risks' section of the submission.

APPROVAL TO SUBMIT TO THE DECISION-MAKER

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|---|
| <p>Chief Executive</p> <p>I am satisfied that relevant advice has been taken into account in the preparation of the report and that this is an appropriate request to be submitted to the PCC.</p> <p>Signature:  Date 02.07.21</p> |
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RISK MANAGEMENT STRATEGY

Incorporating STATEMENT OF RESPONSIBILITIES

POLICY STATEMENT

The Police and Crime Commissioner for Suffolk will seek to identify, analyse and prioritise the risks faced. Management and control of risks will be undertaken in order to maximise the quality and efficiency of service provision and maintenance of reputation.

1. POLICE AND CRIME COMMISSIONER (PCC)

- 1.1 Approving a statement of the PCC's Risk Management Strategy and subsequent revisions.
- 1.2 Receiving an annual report on risk management activity including copies of the PCC Risk Register, from the Chief Executive.
- 1.3 Ensuring that the Chief Constable adopts and maintains an appropriate risk management strategy policy for the Constabulary.
- 1.4 Receiving reports from the Chief Constable at the Accountability and Performance Panel upon a regular basis regarding the Constabulary Risk Register and the Chief Officer Risk Register.

2. CHIEF EXECUTIVE

- 2.1 Overseeing the corporate PCC approach to risk management.
- 2.2 Maintaining the PCC Risk Register:
 - additions/deletions/amendments to risks, assessments, action plans and review dates;
 - actioning PCC requests to include new risks;
 - circulating revised copies of the PCC Risk Register as necessary.
- 2.3 Ensuring that all service deliverers (including volunteers, contractors and other partners) are made aware of their responsibility for risk management and the

mechanisms for feeding concerns into the PCC's formal management processes, through inclusion in contract documents, service level agreements etc.

- 2.4 Ensuring that staff are adequately trained on risk management.
- 2.5 On an annual basis and as judged necessary, reviewing compliance with the Risk Management Strategy across the PCC's office and Constabulary with a view to ensuring that all elements of the Strategy are complied with and reporting annually upon compliance to the Audit Committee. This review may be undertaken by arrangement with the internal auditors.
- 2.6 Ensuring that all submissions for Decision by the PCC include, where appropriate, an adequate assessment of risks and how they will be managed.
- 2.7 Reviewing the Risk Management Strategy from time to time and making recommendations for amendment as necessary.

3. PCC'S CHIEF FINANCE OFFICER

- 3.1 Reporting to the Audit Committee on risk management activity as appropriate.

4. CHIEF CONSTABLE

- 4.1 Ensuring that a risk management strategy for the Constabulary is adopted, maintained and reviewed from time to time.
- 4.2 Ensuring compliance with the PCC Risk Management Strategy.
- 4.3 Ensuring that all service deliverers (including volunteers, contractors and other partners) are made aware of their responsibility for risk management and the mechanisms for feeding concerns into the Constabulary's formal management processes through contract documents, service level agreements etc.
- 4.4 Ensuring that all key reports emanating from the Constabulary, policy decisions and operational changes include, where appropriate, an adequate assessment of risks and how they will be managed.
- 4.5 Reporting the key risks facing the Constabulary as required and described at paragraph 1.4 above to the Accountability and Performance Panel.
- 4.6 On an annual basis and as judged necessary, reviewing compliance with the risk management strategy at 4.1 above with a view to ensuring that all elements are complied with; and reporting annually upon compliance to the Audit Committee. This review may be undertaken by arrangement with the internal auditors.

5. AUDIT COMMITTEE

- 5.1 Considering the effectiveness of the risk management arrangements adopted by the PCC and the Chief Constable.
- 5.2 Receiving an annual assessment from the Chief Executive on compliance with the PCC's Risk Management Strategy.
- 5.3 Receiving an annual assessment from the Chief Constable on compliance with the Constabulary's risk management strategy.

- 5.4 Recommending changes to the Risk Management Strategy of the PCC to help improve the adequacy and effectiveness of risk assessment, risk management and internal control.

6. REPORT WRITERS

- 6.1 Decisions by the PCC need to be taken in the full knowledge of all relevant risks. Accordingly, all submissions for decision must include an assessment of the risks associated with the content of the submission and how they are to be managed or mitigated. If there are no risks then this should be clearly stated. In the production of the submission the originator should examine the PCC's Risk Register in order to establish whether there will be any impact upon the entries contained within the Register as a result of the report content. If any changes are foreseen the report should contain sufficient information to enable the register to be updated (i.e. to complete or amend the risk type, risk, likelihood, impact, risk classification, risk owner, action plan and review date fields). The proposed additions or changes to the Risk Register should be specified.

7. RISK OWNERS

- 7.1 Receiving updates of entries in the Risk Register from the Chief Executive, taking ownership of the risk and ensuring that the action plan is addressed.

8. INTERNAL AUDIT

- 8.1 Carry out a review as requested (on behalf of the Chief Executive – see 2.5, and on behalf of the Chief Constable – see 4.6) normally annually, that includes:
- reviewing the content and scope of the Risk Registers;
 - reviewing the adequacy of procedures to assess, review and respond to risks;
 - making recommendations as appropriate.

9. ALL STAFF

- 9.1 Maintaining an awareness of risk and feeding this into the formal management and reporting processes.
- 9.2 Supporting and participating in risk management activities.

10. SERVING IN PARTNERSHIPS

- 10.1 All those involved in partnership activity should maintain an awareness of risk in relation to the partnership as it impacts on the PCC.
- 10.2 Reporting any material risk in relation to the partnership and where it may impact upon the PCC to the Chief Executive for consideration of action.

Christopher Jackson
Chief Executive
Office of the Police and Crime Commissioner for Suffolk

1 March 2013



ORIGINATOR: CHIEF EXECUTIVE

PAPER NO: AC21/18

SUBMITTED TO: AUDIT COMMITTEE 25 JUNE 2021

SUBJECT: RISK MANAGEMENT

SUMMARY:

1. This report sets out the Chief Executive’s assessment upon compliance with the Police and Crime Commissioner’s Risk Management Strategy for the year 2020/21.

RECOMMENDATION:

The Committee is asked to consider the report.

1. KEY ISSUES FOR CONSIDERATION

- 1.1 The Police and Crime Commissioner (PCC) has adopted a Risk Management Strategy dated 1 March 2013. Within the Strategy the Chief Executive is required to report to the PCC annually on risk management activity, as well as delivery of an annual assessment to the Audit Committee on compliance with the Strategy. This report responds to these two requirements. It is further provided within the Strategy that the review of compliance within the Strategy may be undertaken by arrangement with the internal auditors.

2. INTERNAL AUDIT

- 2.1 The internal auditors last carried out an assurance review of the risk management arrangements for the Office of the PCC in the period 2016/17. The review appraised how the Office of the PCC engaged with risk management and how well it was embedded. The overall assurance assessment was "Substantial Assurance". This means that based on the internal auditors findings there was a robust series of suitably designed internal controls in place upon which the organisation relies to manage the risk of failure of the continuous and effective achievement of the objectives of the process, which at the time of the review were being consistently applied. There were no required action points.
- 2.2 The outcome of the assurance review by the internal auditors was reported to the Audit Committee on 24 March 2017.

3. ASSESSMENT OF COMPLIANCE

- 3.1 The Chief Executive is responsible under the Risk Management Strategy for assessing the corporate PCC approach to risk management. Amongst his responsibilities he maintains the Risk Register. During 2020/21 the Risk Register has been regularly reviewed with changes made to the risks, assessments, action plans and review dates. During 2016 the Chief Executive introduced a 'Confidential Risk Register' to accompany the open Risk Register. The purpose of the Confidential Risk Register was to record those risks where it would be inappropriate to publicise the nature of the risks, e.g. on grounds of commercial sensitivity. All versions of the open Risk Register during 2020/21 were available for viewing on the PCC website, making it accessible to all those who need to have reference to it. Each Risk Register (be that open or confidential) continues to be personally signed off by the PCC himself.
- 3.2 Staff within the PCC's office have been advised of the Risk Management arrangements.
- 3.3 The Office of the PCC's templates for decisions and reports contain paragraphs on risk that are required to be completed. There is general compliance with this requirement, with the completion of the templates as evidenced by Decision Papers and Reports which appear on the PCC website.
- 3.4 An awareness of risk in relation to partnership activity is maintained and any concerns are raised for consideration through the OPCC's weekly Senior Management Team meetings where risk is a standing weekly agenda item.
- 3.5 The Strategy requires that, amongst other things, contractors are made aware of their responsibility for risk management and the mechanism for forwarding concerns into the PCC's formal management processes. This is provided for in the standard contract documentation with contractors.

- 3.6 Where appropriate, steps are also taken through their training for advising volunteers such as custody visitors, about risk and how to deal with the risks they observe.
- 3.7 In December 2016 the Chief Executive reviewed the Risk Management Strategy. He did not consider as a consequence of that review that the Strategy required amendment.
- 3.8 It is the view of the Chief Executive that a proportionate and appropriate approach is taken to compliance with the Risk Management Strategy.

4. FINANCIAL IMPLICATIONS

- 4.1 There are no financial implications.

5. OTHER IMPLICATIONS AND RISKS

- 5.1 There are no other/risk implications.

| ORIGINATOR CHECKLIST (MUST BE COMPLETED) | PLEASE STATE 'YES' OR 'NO' |
|---|---|
| Has legal advice been sought on this submission? | Yes – the author is a Solicitor and the Monitoring Officer. |
| Has the PCC's Chief Finance Officer been consulted? | Yes. |
| Have equality, diversity and human rights implications been considered including equality analysis, as appropriate? | Not applicable. |
| Have human resource implications been considered? | Not applicable. |
| Is the recommendation consistent with the objectives in the Police and Crime Plan? | Not applicable. |
| Has consultation been undertaken with people or agencies likely to be affected by the recommendation? | Not applicable. |
| Has communications advice been sought on areas of likely media interest and how they might be managed? | Not applicable. |
| Have all relevant ethical factors been taken into consideration in developing this submission? | Yes. |

In relation to the above, please ensure that all relevant issues have been highlighted in the 'other implications and risks' section of the submission.



RISK MANAGEMENT POLICY

Incorporating STATEMENT OF RESPONSIBILITIES

POLICY STATEMENT

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1 POLICE AND CRIME COMMISSIONER (PCC)

- 1.1 Approving a statement of the PCC's Risk Management Policy and subsequent revisions.
- 1.2 Ensuring that the Chief Constable adopts and maintains an appropriate risk management policy for the Constabulary.
- 1.3 Receiving reports from the Chief Constable at the Accountability and Performance Panel on a regular basis regarding the Constabulary Risk Register.

2 CHIEF EXECUTIVE

- 2.1 Overseeing the corporate PCC approach to risk management.
- 2.2 Maintaining the PCC Risk Registers (open and confidential):
 - additions/deletions/amendments to risks, assessments, action plans and review dates;
 - actioning PCC requests to include new risks;
 - circulating revised copies of the PCC Risk Register as necessary.

- 2.3 Ensuring that all service deliverers (including volunteers, contractors and other partners) are made aware of their responsibility for risk management and the mechanisms for feeding concerns into the PCC's formal management processes, through inclusion in contract documents, service level agreements etc.
- 2.4 Ensuring that staff are adequately trained on risk management.
- 2.5 Periodically reviewing compliance with the Risk Management Policy as considered necessary and reporting thereon to the PCC.
- 2.6 Ensuring that all submissions for Decision by the PCC include, where appropriate, an adequate assessment of risks and how they will be managed.
- 2.7 Reviewing the Risk Management Policy from time to time and making recommendations for amendment as necessary to the PCC.
- 2.8 Ensuring that risk is a regular agenda item for consideration at the PCC's Senior Management Team meetings.

3 PCC'S CHIEF FINANCE OFFICER

- 3.1 Reporting to the Audit Committee on risk management activity as appropriate.

4 CHIEF CONSTABLE

- 4.1 Ensuring that an appropriate risk management policy for the Constabulary is adopted, maintained and reviewed from time to time.
- 4.2 Reporting the key risks facing the Constabulary as required and described at paragraph 1.3 above to the Accountability and Performance Panel.

5 AUDIT COMMITTEE

- 5.1 Considering the effectiveness of the risk management arrangements adopted by the PCC and Chief Constable.

6 REPORT WRITERS

- 6.1 Decisions by the PCC need to be taken in the full knowledge of all relevant risks. Accordingly, all submissions for decision must include an assessment of the risks associated with the content of the submission and how they are to be managed or mitigated. If there are no risks then this should be

clearly stated. In the production of the submission the originator should examine the PCC's Risk Registers as appropriate in order to establish whether there will be any impact upon the entries contained within the Registers as a result of the report content. If any changes are foreseen the report should contain sufficient information to enable the registers to be updated (ie to complete or amend the risk type, risk, likelihood, impact, risk classification, risk owner, action plan and review date fields). The proposed additions or changes to the Risk Registers should be specified.

7 RISK OWNERS

- 7.1 Receiving updates of entries in the Risk Registers from the Chief Executive, taking ownership of the risk and ensuring that the action plan is addressed.

8 INTERNAL AUDIT

- 8.1 Carry out any reviews as requested by the Chief Executive upon compliance with the Risk Management Policy.

9 ALL STAFF

- 9.1 Maintaining an awareness of risk and feeding this into the formal management and reporting processes.
- 9.2 Supporting and participating in risk management activities.

10 SERVING IN PARTNERSHIPS

- 10.1 All those involved in partnership activity should maintain an awareness of risk in relation to the partnership as it impacts on the PCC.
- 10.2 Reporting any material risk in relation to the partnership and where it may impact upon the PCC to the Chief Executive for consideration of action.

Christopher Jackson
Chief Executive
Office of the Police and Crime Commissioner for Suffolk

1 July 2021