

PUBLIC

AGENDA ITEM x

**Police and Crime
Commissioner
North Yorkshire**



JOINT INDEPENDENT AUDIT COMMITTEE

21 MARCH 2017

REPORT OF THE JOINT CORPORATE RISK GROUP

PROGRESS ON ANNUAL STRATEGIC RISK SUMMARY 2016/17

1. PURPOSE OF THE REPORT

- 1.1 To present to the Joint Independent Audit Committee progress on the management of risks recorded in the Strategic Risk Summary 2016/17 of the Police and Crime Commissioner (Commissioner) and the Chief Constable (CC) of North Yorkshire Police (NYP).

2. KEY INFORMATION

- 2.1 Risk Management is a legal requirement. The Accounts and Audit (England) Regulations 2011 require that specified public sector organisations including police forces and local policing bodies shall have as part of their internal control framework, arrangements for the management of risk.
- 2.2 NYP defines risk as “an uncertain event or set of events that, should it occur, will have an effect on the achievement of the organisations objectives”. Risk is measured by the combination of probability of a perceived threat or opportunity occurring and the magnitude of its impact on the organisation’s objective.
- 2.3 NYP work to the International Standard of Risk Management ISO 31000:2009 and the BS 31100:2011 Risk Management Code of Practice. Risk Management ensures that the organisation makes cost effective use of a risk management process that includes a series of well defined steps. It improves internal control and supports better decision making through a good understanding of individual risks and the overall risk exposure at a particular point in time.
- 2.4 The Commissioner and Chief Constable aim to engage frankly with risk in order to develop a risk conscious culture that supports decision makers in the identification,

analysis and proportionate management and tolerance of risks and opportunities that present themselves in Commissioner and NYP activities.

- 2.5 NYP's process for risk management is to:
- **Identify** the risk, by considering uncertainties that would affect the achievement of NYP's objectives
 - **Assess** the risk so risk can be prioritised and understood by:
 - Estimating probability/likelihood of the risk occurring and
 - The severity of the consequences for the organisation with regard to:
 - Financial Cost
 - Reputation
 - Operational Policing Functions
 - Legal Compliance
 - A scoring scheme is used to allocate a score for likelihood and each impact listed.
 - **Control** the risk which involves planning responses to risks, assigning owners and
 - **Implementing, monitoring and controlling** these responses.
- 2.6 A Joint Risk Management Policy and Strategy is in place for the Commissioner and Chief Constable. The Risk Management Policy communicates why and how risk management is implemented throughout the organisation, the Risk Management Strategy outlines the framework by which the Commissioner for North Yorkshire and the CC of NYP will engage frankly with risk and uncertainty, in a structured, effective and efficient manner and defines how risk management is handled by the executive management team. Risk Management is embedded within the organisation and is an integral part of all the Commissioners and NYP's governance and decision making processes.

3. STRATEGIC RISK SUMMARY

3.1 Risk Rating

LOW
Low Risk - these risks are both unlikely to occur and not significant in their impact. They are managed using normal or generic planning arrangements and require minimal monitoring and control unless subsequent risk assessment shows a substantial change, prompting a move to another category.
MEDIUM
Medium Risk - these risks are less significant, but may cause upset and inconvenience in the short term. These risks are monitored to ensure that they are being appropriately managed.
HIGH
High Risk - these risks are classed as significant. They may have a high or low likelihood of occurrence, but their potential consequences are sufficiently serious to need consideration. Consideration is given to the development of ways to reduce or eliminate the risk where possible.

3.2 NYP's strategic risks are identified through a number of processes i.e. Horizon

Scanning, External and Internal Strengths, Weakness, Opportunities and Threats, Her Majesties Inspectorate of Constabulary (HMIC) and Internal Reviews.

4. MANAGEMENT OF STRATEGIC SUMMARY RISKS IN 2016/17

4.1 An overview of how those strategic summary risks recorded for 2016/17 have been managed follows.

4.2 Change in Political Direction - May 2015

The General Election and the Police & Crime Bill brought about some national proposals to changes in current legislation these included:

Bail Legislation

The national changes to bail will be implemented in 2017. The changes will have a significant impact upon the way the police work. NYP has set up a "Bail & Beyond" subsite which contains the information about how these changes will affect the police. Most recently NYP have published process maps on how it will work for Sergeants and investigating officers, Inspectors and Superintendents, as well as the courts notification process. Feedback has been sought about the draft process maps so that NYP can work together with officers to ensure the smoothest possible implementation of these significant and complex changes.

A training package has been developed with Training Services and will be delivered during the next cycle of the investigative standards training to help officers and staff understand how these changes will affect them. In addition road shows and video briefings are accessible in and an e-learning package is also being developed by the College of Policing (CoP). NYP will use this product to complement internal training.

Mental Health Vulnerabilities

NYP was successful in bidding to the Police Knowledge Fund for a £1.1M collaboration with University of York on policing and mental health. The Connect Partnership has developed a comprehensive, full day training package for frontline staff, in partnership with College of Policing.

A five day workshop with Tees, Esk and Wear Valleys (TEWV) NHS Foundation Trust has led to agreement for the creation of an all age, all condition, 24/7/365 North Yorkshire Mental Health Crisis Service, which will:

- Operate a single crisis telephone and triage service for patients & professionals based within the Force Control Room (North Yorkshire Police) but with a separate telephone number
- Offer a high standard of expertise
- Work with and support partner agencies to achieve the best outcomes

- **Authorised Professional Practice on Mental Health**

On 10 October 2016 (World Mental Health Day), the College of Policing launched Authorised Professional Practice on mental health.

The guidance highlights the actions and behaviours that may help the police address the needs of mentally vulnerable individuals. The guidance applies whether the police are acting in a criminal justice or health care capacity or in both of these roles. When acting in a criminal justice capacity, the police become involved when a person is a victim of crime, a witness to crime or is suspected of or known to have committed a crime.

- **Warning Markers on Niche and PNC**

There is not an automated process for adding PNC or Niche Warning Markers for MENTAL DISORDER, SUICIDAL or SELF-HARM unless the subject has been arrested and brought into custody for *that* incident. This means that witnesses, victims and other contacts (like MFH, parties to RTCs etc.) usually don't get warning markers applied. A process has been developed to rectify this.

- **Suicidal people in contact with the police**

NYP make sure that when engaging with a potentially suicidal person, staff endeavour to gain consent to inform a nominated person of their location and the concerns for their mental wellbeing.

The expectation is that the police will:

- Take reasonable steps to ensure that a person does not come to physical harm while in police "custody"
- Take reasonable care only to release the person into a safe environment
- Provide relevant information to those into whose care a person was transferred

- **Suicide "Post-vention"**

There is considerable evidence that people who have been exposed to suicide through their geographical, social, psychological or professional links to the deceased are at significantly increased risk of developing mental health issues or going on to take their own life. NYP is championing the introduction of a suicide "post-vention" service delivered by volunteers to identify people exposed to the death and who may benefit from supportive contact and to make sure appropriate practical and emotional support is provided at the earliest juncture in an effort to reduce the risk of future harm.

- **High volume / high vulnerability contacts**

NYP has been working in partnership with the national charity *Together: for Mental Wellbeing*, City of York Council (CYC), Vale of York CCG, York Teaching Hospital, North Yorkshire Fire and Rescue Service (NYFRS) and TEWV on an innovative project in York to integrate the approach to people who place high levels of demand on services through mental distress. This award-winning collaboration has seen a 37% reduction in crisis presentations for participants during the first year of operations. Discussions are underway on how to extend its reach to other areas with NYP.

This risk has a number of elements recorded separately on Departmental Risk Registers. These will continue to be reviewed and managed at the appropriate level.

4.3 Child Sexual Exploitation (CSE) - National Interest

A strategic risk for 2016/17 was recorded following the high level of National public interest since 2014 in the Protecting Vulnerable People (PVP) area of business. A number of HMIC and Joint External Inspections took place during 2015/16 covering:

- Child Protection
- Multi Agency Child Protection Arrangements (MACP)
- 21st Century Child Sexual Exploitation (CSE) (including online CSE) and
- Missing and Absent Children
- HMIC Police Efficiency, Effectiveness and Legitimacy (PEEL) inspection in relation to the Effectiveness strand, which included a specific focus on vulnerability. Both CSE and Missing and Absent Children were a particular focus of this inspection.
- Peer review undertaken by the College of Policing (CoP).
- An NYP internal review of missing persons has been undertaken which looked at the NYP response to missing persons.

The Areas for Improvement (AFIs) were integrated into action plans governed and overseen by the Vulnerability Board. The force also prepared and implemented a communications plan for Vulnerability.

Child Sexual Exploitation (CSE)

A number of campaigns in relation to highlighting the risks from online CSE have been carried out including school visits and promotion of safer internet day. These are included as part of a rolling programme of communications.

The Vulnerable, Exploited, Missing & Trafficked (VEMT) team identifies children at risk and those already on plans managed by CYC remain with them as lead agency. The force has liaised with child victims of CSE regarding their observations of police interaction, which helps inform NYP procedures and action plan.

The allocation of online CSE is currently managed by the Serious Crime Team (SCT), however following the establishment of the online cyber-crime team in the New Year the majority of these will be re-assigned to the dedicated team led by a Detective Inspector.

Missing/Absent & Groomed Children

The North Yorkshire County Council has a project running called “no wrong door” where two NYP staff (police officer and police staff) are embedded working with missing persons (MISPERS) from children’s homes. NYP are looking at problem profiling in relation to MISPERS and whether to have a central team or dedicated MISPER co-ordinators on area (PCSOs PCs). NYP are also looking at how NYP record actions in relation to MISPERS and the return interview process ref timeliness and who conducts this (at the moment these are conducted by the Local Authority).

Stalking & Harassment

NYP has developed a front line training package for Stalking and Harassment, which has been rolled out to Inspectors for them in turn to brief their teams. A Stalking and Harassment toolkit is being developed and the NCALT learning package has been made mandatory.

Risks that could impact on the policing of CSE are recorded on Departmental Risk Registers for ongoing review and management.

4.4 High number of National Government and National Criminal Justice Projects for implementation

There are a high number of Government and National Criminal Justice Projects for implementation over the next few years. Each project comes with a financial cost and resource implications and leads to changes in NYP’s operational policing function. An impact assessment has been completed for the National Criminal Justice projects and additional resource is being secured to progress these initiatives.

Improvements to Case File Quality

NYP has conducted an internal marketing and communication campaign on case file quality issues and associated topics. Since October 2016, the Crown Prosecution Service (CPS) has been reviewing NYP cases, highlighting, and feeding back on file quality issues. The communications campaign on case file quality and feedback from CPS will be included in the final training package.

A five module training plan has been developed and the second round of training has commenced and is due to be completed by March 2017. This training is delivered to both supervisors and staff. A training day has also been arranged, which will be delivered by the CPS, regarding the new Rape and Serious Sexual Offences (RASSO) processes and structure. Those attending will then cascade this information to relevant colleagues.

The Criminal Justice departmental risk register is used to record and manage the risks arising from the national Criminal Justice project requirements.

4.5 Adverse / Extreme Weather

Extreme weather causes disruption to travel networks, disruption to operational performance and damage or access issues to property and assets.

Each Department within NYP has a dedicated Business Continuity Plan (BCP). Within the BCP's each department have identified the critical activities that will be maintained in the event of a disruption such as extreme weather. The departments identify and document strategic responses to a disruption that can have an effect on the premises, people, assets and resources (ICT and other).

The force has invested in agile working initiatives that will, over the coming years, enable officers and staff to perform their duties away from a central/police premises. The initiatives will allow officers and staff the tools to maintain activities and productivity even if affected by adverse and extreme weather. There is a caveat that the impact adverse weather can have on personal contingencies and partners agencies may still restrict the ability to maintain activities and productivity. (e.g. schools closed). The agile working initiatives are to be piloted with the move of Police Headquarters and business continuity considerations will be developed with business area leads.

4.6 Pandemic and Epidemic Diseases

NYP are a member on the North Yorkshire Local Resilience Forum (NYLRF) Risk Group who actively monitor the NYLRF community risk register (including Pandemic and Epidemic risk). The risk group reports into the co-ordination group (which is a multi-agency forum) that is chaired by Supt Operations (NYP) any highlighted issues are picked up and dealt with by the co-ordination group.

The arrangements in place will continue in order to manage this risk.

4.7 Industrial Action by NYP Staff and other Public Sector Organisations

The Business Continuity and Risk Manager who is part of the Risk and Assurance Unit (RAU) is maintaining Horizon scanning as to risks of industrial action both internal affecting the number of police staff and externally involving partners and other organisations or NYP responding to levels of protest and picketing. Currently there are no discussions taking place on either aspect. The RAU are continuing to monitor the risk of industrial action to both our own organisation and partner organisations. The sources of information are internal communications, regional and national Business Continuity (BC) updates and media reports.

4.8 National Changes in the Policing Funding Formula

The title of the risk was amended during 2016/17 to "Changes to the Core Grant Distribution 2017/18 - Public Sector Funding Cuts impacts on the Ability to Maintain the existing range of Policing Services if savings are not realized".

The impact of the better than expected funding settlement for 2016/17, lower than expected pay and non-pay inflation costs, combined with continued strong growth of the local tax base and the significant savings plans of the organisation has created the opportunity and capacity for targeted investment, to deliver improved services and deliver against the Police and Crime Plan objectives.

It is however important to keep in mind that the projections of a balanced plan for the next four years and the targeted investments assume that North Yorkshire will not lose any funding as a result of any revised changes to the core grant.

The significant risk in relation to the loss of funding through a change to the core grant distribution will be kept under review going forward and plans will need to put in place to mitigate any further reductions in Government grants. NYP's Chief Constable is a member of the national steering group, to enable information to be fed back to the organisation.

Due to the current climate, there is unlikely to be any further information to review this risk until the Autumn Statement.

4.9 Estates Strategy & Estates Change Programme 2016-19

The title of the risk was amended during 2016/17 to "Delivery of ICT Change Programme". Technology to help us to work smarter has been NYP's ambition for some time, and remains a cornerstone of our strategic direction.

The Police ICT Company was recently commissioned to help review the organisation's ICT position, and provide advice on the best way to progress. As a result of this work:

- there has been a recruitment exercise to engage a Head of ICT to lead on the strategic delivery of the ICT programme.
- An ICT strategy will be developed to meet the longer-term needs of the organisation. As this is such a significant piece of work, timing will be delayed slightly, to allow the permanent Head of ICT to take up post and contribute to the shaping of the strategy.
- A project prioritization exercise has been completed and signed off by the Chief Constable and the Police and Crime Commissioner. The projects that have been designated "top priority" are those which will have the greatest strategic impact on the organisation.
- The ICT Steering Group will be replaced with a results-focused project delivery panel. The ICT and Estates Board will remain in its current form for now to ensure NYP have an oversight of the interdependencies between estates and technology. However, this may be reviewed in the future, as part of ongoing development of the governance structure.
- Any business developments that will involve support from the ICT Team will need to be submitted to the Head of ICT for assessment and prioritization. A clear process

will be developed for this, to ensure that both new requests and outstanding projects are kept under review and that prioritization is a swift and dynamic process.

- NYP will appoint a Service Delivery Manager, as part of the commitment to ensuring that day-to-day business is resourced and supported.

NYP now have a much more detailed picture of the scale of demand on ICT resources.

4.10 Evolve – Collaboration North Yorkshire, Cleveland and Durham Collaboration

The title of the risk was amended during 2016/17 to “Collaboration North Yorkshire” to reflect the broadening scope of the collaborative environment.

The No 2 region (consisting of seven forces) South Yorkshire, Humberside, West Yorkshire, Northumbria, Durham and Cleveland looking at closer collaboration.

In addition closer working with North Yorkshire Fire and Rescue Service and the Yorkshire Ambulance Service is being explored. The Policing and Crime Bill has passed through Parliament. That in turn puts a proactive duty on the three emergency services to collaborate.

There are already agreements in place to share accommodation with both services in a number of locations. Based on this success, the potential benefits of more significant collaborations are being actively considered.

In particular, NYP is looking to build on the 2013 Statement of Intent between North Yorkshire Police and North Yorkshire Fire and Rescue Service (NYF&RS). Over the coming months, both services will be working together on a business case to present to the Home Office. This will set out clear proposals and the benefits of working more closely.

The Police and Crime Commissioner is leading on the development of the business case for collaboration, and the NYP DCC will represent North Yorkshire Police in discussions. The legislation will require significant consultation.

4.11 PCC Elections May 2016

North Yorkshire PCC Julia Mulligan was re-elected and so the uncertainty that arose due to the election has subsided.

4.12 Devolution (North Yorkshire Landscape Changes)

There has been no further development on this agenda however it will continue to be monitored within departmental risk registers.

5. STRATEGIC RISK SUMMARY 2017/18

- 5.1 The principle risks to the delivery of the refreshed police and crime plan objectives will be identified and reported to the JIAC in due course.

6. RECORDING, MONITORING AND REPORTING

- 6.1 Risk registers are recorded/maintained in the Active Risk Manager (ARM) software suite. Strategic and Corporate risks are monitored by the Risk and Assurance Unit and reported to the relevant forum as required.

7. RECOMMENDATIONS

- 7.1 This report is provided to members of the Joint Independent Audit Committee for information on the Strategic Risk Summary of the Police and Crime Commissioner and the Chief Constable of North Yorkshire Police (NYP).

CEO Sampson DCC Winward

Joint Chair

Joint Corporate Risk Group