INTERIM INDEPENDENT AUDIT COMMITTEE
27 JUNE 2013

SUBJECT	**PCC RISK REGISTER AND ASSURANCE FRAMEWORK**
REPORT BY	**CHIEF EXECUTIVE & CHIEF FINANCE OFFICER**
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SUMMARY AND PURPOSE OF REPORT To consider the Police and Crime Commissioner's latest Risk Register and Assurance Framework.	
RECOMMENDATION	***That the Committee review and monitor the PCC's Risk Register and Assurance Framework.***

A. SUPPORTING INFORMATION

1. PCC's Risk Register

1.1 As agreed at the Interim Independent Committee Meeting on 28 March 2013, the risk register will be presented at the June and September 2013 meetings. Thereafter, the substantive Independent Audit Committee will consider the form and frequency of scrutiny of the Risk Register and Assurance Framework.

1.2 The top strategic risks that would prevent or distract the Commissioner from achieving his goals are recorded in the PCC Risk Register. The risks have been identified based on the PCC's objectives that are stated in the Police and Crime Plan 2013 – 17. They also link to the OPCC's Operational Delivery Plan.

1.3 The PCC's risk register currently records 11 critical risks (those scored at AMBER 6 and above) and 2 non critical risks (those score AMBER 4 and below).

1.4 The PCC's Chief Finance Officer and Research and Performance Officer attend the Force's Confidential Risk Management Board and Force Risk Management Board respectively. This ensures that the Force's register and the PCC's register are aligned where appropriate.

1.5 The Force Risk Management Board takes place on a quarterly basis and is attended by business area 'single points of contact' from the Force and G4S as appropriate, including the Force Chief Finance Officer. The Confidential Risk Management Board is chaired by the Deputy Chief Constable and is attended by personnel as required.

1.6 The PCC's risk register is attached at **Appendix 1**.

2. PCC's Assurance Framework

2.1 The Assurance Framework provides a structure and a process that enables the Commissioner and Force to focus on the live key issues that require ongoing monitoring and attention. As a management tool, it enables both organisations to focus on the obstacles to achieving the most important objectives and priorities set out in the Police and Crime Plan and associated delivery plans.

2.2 The main benefit of using the Assurance Framework is that it encourages senior leaders and those charged with governance to think about and plan for the achievement of their objectives in a proactive manner.

2.3 The Assurance Framework enables the Commissioner to assess the extent to which the Force is:

- effectively delivering services to the public
- achieving the organisation's objectives
- managing risk effectively.

2.4 The Commissioner's Assurance Framework is attached at **Appendix 2**.

B. FINANCIAL CONSIDERATIONS

There are resource implications related to some of the mitigating controls. These are managed by the Chief Executive and the Chief Finance Officer.

C. LEGAL AND HUMAN RIGHTS CONSIDERATIONS

Any relevant legal and human rights related risks are included in the PCC's risk register.

D. PERSONNEL, EQUAL OPPORTUNITIES AND DIVERSITY ISSUES (including any impact or issues relating to Children and Young People.)

Any relevant personnel, equal opportunities and diversity related risks are included in the PCC's risk register.

E. REVIEW ARRANGEMENTS

The Risk Register will be reviewed by the Interim Committee on a quarterly basis. The Risk Management Strategy will be reviewed on an annual basis and provide linkages to the Annual Governance Statement. The Assurance Framework will be reviewed by the Interim Committee on a quarterly basis.

F. RISK MANAGEMENT

Risk governance is an integral part of the Interim Independent Audit Committee's remit. It is reflected on the Work Plan accordingly.

G. PUBLIC ACCESS TO INFORMATION

Information in this report along with any supporting material is subject to the Freedom of Information Act 2000 and other legislation.