JOINT INDEPENDENT AUDIT COMMITTEE
29 NOVEMBER 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 It was suggested at the Chairman's Induction session on 14 October 2013 that the Joint Independent Committee Meeting review and monitor both the PCC's risk management arrangements and also the 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 Office of the PCC's (OPCC) Operational Delivery Plan.

1.3 The PCC's risk register currently records 11 critical risks (those scored at AMBER 6 and above) and 3 non critical risks (those scored 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**. The Risk Management Strategy was reviewed in March 2013 and is attached at **Appendix 2** for the Committee's information. The Committee will formally consider the Strategy at their meeting in March 2014.

1.7 The main points to highlight are as follows:

- New risk added in October 2013 – Stage 2 transfers. Current score is Red 16.
- Business continuity risk – move from a current score of Red 12 to an Amber 4.
- Police and Crime Panel – direction of travel change from 'increasing' to 'stable'.

Updates are provided in bold type.

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 3**.

2.5 The most recent changes to note are as follows:

- Forensics - new issue added in October 2013.
- Anti-social behaviour – move to Full assurance
- Protective Services – direction of travel moved to 'stable'
- Procurement – move to Satisfactory
- Business continuity – move to Satisfactory

Updates are provided in bold type.

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 Joint 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 Committee on a quarterly basis.

F. RISK MANAGEMENT

Risk governance is an integral part of the Joint Independent Audit Committee's remit. It is reflected on the Forward 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.