

JOINT INDEPENDENT AUDIT COMMITTEE
1 FEBRUARY 2017

SUBJECT PCC RISK REGISTER	
REPORT BY	CHIEF EXECUTIVE & CHIEF FINANCE OFFICER
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SUMMARY AND PURPOSE OF REPORT To consider the Police and Crime Commissioner's Risk Register.	
RECOMMENDATION	That the Committee notes the PCC's Risk Register.

A. SUPPORTING INFORMATION

1. PCC's Risk Register

- 1.1 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.
- 1.2 The PCC's Chief Finance Officer (CFO) and Research and Performance Officer (RPO) 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. In addition the Force Risk Policy & Review Officer and the Research and Performance Officer meet on a monthly basis to discuss issues arising from both registers (and the Assurance Map).
- 1.3 The PCC's risk register is reviewed every other month (alternating with the Assurance Map) as part of the standing agenda for the OPCC Internal Management Meeting (IMM). The current register (V7.12) records 6 risks in total, with 5 rated as critical, scoring Red 12 and above and 1 non-critical, scoring AMBER 9 and below.
- 1.4 The key changes to the register since the Committee's October 2016 meeting are as follows:

PCC Risk Ref C06 - Lack of resilience in the Office of the Police and Crime commissioner. Although the scoring of this risk has remained at Red 12 much activity has taken place, with 'developing controls' migrating to 'existing controls' as planned changes have been implemented. However, these changes are recent and the anticipated mitigation of risk is yet to be fully realised. Examples include:

- The awarding of a contract for the external communications and media services support for the PCC – December 2016.
- The appointment of 2 x Research and Policy Interns who joined the OPCC on 3 January 2017.
- The appointment of a clerical apprentice – Awaiting confirmation of a starting date in January 2017.

A temporary lack of resilience for the OPCC will come to an end in early January 2017, as the Deputy Chief Financial Officer (OPCC) will have completed a 3 month period acting as Chief Financial Officer for the Force. It is therefore anticipated that overall this risk score will be reduced at the next scheduled review meeting in March 2017.

In addition, there are a number of further controls still in development including:

- Exploring the creation of a specific 'digital engagement' role (part time) within the OPCC.
- Exploring the potential for oversight of current commissioning, by the Commercial Partnership Team (CPT).

PCC Risk Ref C036 – *Failure to deliver the objectives of the Tri-service “Blue Light” programme.* This risk score continues to rise, from Red 12 to Red 16. This increased score reflects the ongoing concerns the OPCC has around effective project governance including:

- Ongoing management & monitoring of project costs.
- Project expenditure in accordance with the requirements of the grant funding criteria / arrangements.

In mitigation of these concerns the OPCC is currently exploring:

- The provision of additional specialist project management resources and,
- a revised governance structure / process to provide increased assurance to the PCC.

1.5 The PCC's risk register V7.12 is attached at **Appendix 1**.

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 map will be reviewed by the Committee as required.

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.