

JOINT INDEPENDENT AUDIT COMMITTEE
31 October 2017

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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. 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 Community Safety, Policing and Criminal Justice Plan April 2017 – March 2021.
 - 1.1 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 joint Assurance Map).
 - 1.2 The PCC's risk register is reviewed every other month (alternating with the Assurance Map) as part of the standing agenda for the OPCC Management Meeting (MM). The current register (V7.16) records 11 risks in total, with 8 rated as critical, scoring RED 12 and above and 3 non-critical, scoring AMBER 9 and below
 - 1.3 The majority of the risks on the register (9 of the 11) have a static direction of travel, with one (C037 – Resilience & instability of chief officer team) having a downward trajectory. One risk continues to have an upward direction of travel (C036 – Blue light programme). Overall the OPCC senior management team acknowledge that the Office is currently experiencing a significant amount of risk despite the existing and developing controls recorded. This situation will be carefully and frequently monitored with a view to developing further mitigation wherever practicable.
 - 1.4 The PCC's risk register V7.16 is attached at **Appendix 1**.

1.5 Key developments

There have been no new risks added to the register however key developments in the risk register since the Committee's July 2017 meeting are highlighted below:

1.5.1 Update Summary

- **Risk C038 – “Lack of effective service commissioning capacity”**
(*Limited OPCC capacity and capability to deliver the full service commissioning lifecycle*).

This risk is linked to another risk on the critical register - C06 “*lack of capacity and resilience in the OPCC*”.

- Recent practice in delivering a commissioning process has continued with the use of external subject matter experts to help in the delivery of key work streams.
- In addition the recruitment of a Partnerships and Delivery Manager for the OPCC has commenced with interviews scheduled for the 2nd of November 2017.

- **Risk C06 – “Lack of resilience in the Office of the Police and Crime commissioner”**. The scoring of this risk has been reviewed and remains at Red 12. Although mitigating activity continues;

- Two new Policing Interns started work during September 2017 (one of the existing Interns has left the OPCC ahead of their contact end date and the other has been appointed to a new permanent post in the OPCC).
- The secondment of a senior NHS strategic manager to help create a Mental Health Strategy and action plan for Lincolnshire has commenced.
- One of the 2016 Interns has been successful at interview and appointed to the new role of Partnerships and Delivery Support Officer (the role will support the Delivery Manager Position currently being recruited).

(This risk is linked to risk C038).

- **Risk C039 – “Ineffective relationships with local partners”**
(*including Lincs County Council, District councils, Health services, Fire & rescue, and Ambulance service.*)

- A road safety Summit is being arranged by the PCC and the Force in conjunction with the Lincolnshire Roads Safety Partnership.
- The PCC is now the deputy chair of the Community Safety Partnership.
- The OPCC is currently recruiting for a Partnership and Delivery Manager and a Partnerships and delivery support officer has already been recruited – awaiting a confirmed start date.
- The County Council have also recently advertised a partnership management position specifically to ensure joint priorities are better served.

- **Risk C041 – “Failure to maintain or develop beneficial regional collaborations”**. (Following significant changes in regional leadership landscape – PCCs and Chief Officers)

Due to widespread changes in leadership across the five east midlands OPCCs and regional forces, there is a risk that the appetite

to maintain existing collaborated services or develop new collaborations may diminish.

A key developing control regarding this risk is the creation of a Regional Secretariat for the 5 PCCs (which will be housed in the Lincolnshire OPCC). This secretariat will include the new posts of;

- Regional Collaborations Manager
- Regional Meetings Administrator
- Regional Performance Analyst (Collaborations)

These posts will help to advise and inform the regional PCCs on the performance of existing collaborations, the rigour of new collaborative business cases and the production of evidence based advice into best practice and the national / international environment relating to collaborations. Recruitment to these posts commenced in September 2017 with interviews scheduled during November 2017.

- 1.5.2 The template used for the Commissioners Risk Register has been slightly amended and transferred from Excel to a Word document to better support the manipulation and recording of its contents.

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 Independent Audit 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.