

JOINT INDEPENDENT AUDIT COMMITTEE
11th November 2021

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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 review the PCC's Risk Register.		
RECOMMENDATION	That the Committee reviews 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's Risk Register. The risks have been identified based on the PCC's objectives that are stated in his Community Safety, Policing and Criminal Justice Plan April 2017 – March 2021.
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 regular basis to discuss issues arising from both registers (and the joint Assurance Map).
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 Management Meeting. The current risk register (V7.58) records 17 risks in total, with 9 currently rated as critical, scoring RED 12 and above and 8 as non-critical, scoring AMBER 9 and below.
4. Since the previous review by the JIAC in April 2021 the PCC's risk register has had one risk removed – C049 relating to the preparations for the PCC elections held in May 2021. And three new risks have been added:
 - 4.1. New risk C054 – *Failure to maintain a strong working relationship with the Police and Crime Panel.*
 - 4.2. New risk C055 – *Failure to maintain appropriate OPCC access to vital business support functions following transition from the G4S Contract (Eg ICT, Estates, Contract management et al).*
 - 4.3. New risk C056 – *Failure to adequately respond to the Home office proposals regarding PCC's taking responsibility for Fire & Rescue Service governance.*

- 4.3.1. Existing and developing controls have been refreshed across the register to better reflect the current situation and the scores for 3 risks have been amended, these are all recorded in the change log from the 15th April entry onwards (Page 8 of 10). Notable updates amongst these include,
- 4.3.2. C053 – failure to ‘*Maintain a resilient and effective working relationship with the Chief Constable*’, reduced current score, from 3x4 = Red 12, down to 2x4 = Amber 8 and then to 1x4 Amber 4 which is the target score.
- 4.3.3. C045 – failure to ‘*Obtain satisfactory VfM from the disposal of West Parade (old Lincoln City Police station)*’ - Increased likelihood score from 2x3 Amber 6, up to 3x3 Amber 9.
- 4.3.4. C037 – ‘*Resilience & Instability in Force Chief officer team*’, reduced score from 3x4 Red 12, down to 2x4 Amber 8, which is the target score.
5. The PCC’s risk register V7.58 October 2021 is attached at **Appendix A.**

B. FINANCIAL CONSIDERATIONS

There are resource implications related to some of the risk control measures that arise from the implementation of these activities. These are managed by the appropriate Chief Officers in each organisation.

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 and Force’s risk registers.

E. REVIEW ARRANGEMENTS

The Risk Management Strategies for both the PCC and the Force will be reviewed by JIAC on an annual 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.