JOINT INDEPENDENT AUDIT COMMITTEE
5 JUNE 2014

SUBJECT	**PCC RISK REGISTER AND ASSURANCE MAP**
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 the updated, joint Assurance Map.	
RECOMMENDATION	***That the Committee:*** ***1. review and monitor the PCC's Risk Register*** ***2. consider the latest PCC/Force Assurance Map***

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. They also link to the Office of the PCC's (OPCC) Operational Delivery Monitoring Plan.

1.2 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).

1.3 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.

1.4 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.

1.5 The PCC's risk register is attached at **Appendix 1**. Updates are provided in bold type.

1.6 The changes to note are:

- Removal of stage 2 risk

- Strategic partner – increase score (red 9 to red 12)
- Reputation management - direction of travel change to 'risk reducing'.

2. PCC's Assurance Map

2.1 Internal Audit carried out a review of the PCC and Chief Constable's risk management processes in December 2013. One of the recommendations related to the development of an Assurance Map.

2.2 The audit report stated that there was no formal assurance map/process in place to provide the OPCC/Force with appropriate evidence to validate that controls to manage/mitigate a risk were operating effectively. It was agreed that an Assurance Map would be developed in line with the HM Treasury publication 'Assurance Frameworks' (2012) and other good practice.

2.3 The HM Treasury publication states: 'It is essential that there is an effective and efficient framework in place to give sufficient, continuous and reliable assurance on organisational stewardship and the management of the major risks to organisational success and delivery of improved, cost effective, public services'. It also stresses the importance of the framework in relation to the Annual Governance statement (in terms of providing evidence to underpin the assessment to the risk and control environment).

2.4 The Joint Audit Committee considered the development of an assurance framework at their training session on 5 March 2014 and at their meeting on 28 March 2014. Following this, the assurance map has been further developed to include additional risks (high level Force risks and those suggested by the Committee). Any Force Risks that are not suitable for public disclosure will not be included within this document, although an oral briefing can be provided by the Deputy Chief Constable in the private section of the JIAC meeting. The latest version of the assurance map is attached at **Appendix 2**.

2.5 The map has been developed across both the OPCC and Force with input from the Chief Finance Officer, Force Chief Finance Officer, Research and Performance Officer, Force Risk Officer, Force Management Accountant, Force Programme/projects representative and the Research and Policy Intern.

2.6 It is anticipated that the assurance map will be discussed at the PCC/CC Quarterly Assurance meetings.

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 and assurance map 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.

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.