

**JOINT INDEPENDENT AUDIT COMMITTEE**  
**27 NOVEMBER 2014**

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 latest Risk Register.		
RECOMMENDATION	That the Committee:  1. Note 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. They also link to the Office of the PCC's (OPCC) Operational Delivery Monitoring Plan.
- 1.2 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.
- 1.3 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.
- 1.4 The PCC's risk register currently records 6 critical risks (those with a current score of RED 12 and above) and 8 non critical risks (those with a current score of AMBER 9 and below).
- 1.5 The key changes to the register since the Committee's September meeting are as follows:
  - Additional information provided about Risk C31 Succession Planning
  - Change to current score for Risk C11 Police and Crime Plan (change from 3x4= Red 12 to 2x4= Amber 8)
  - Change to current risk score for Risk C04 Financial governance (change from 2x3= Amber 6 to 3x4=Red 12)
  - Updates to controls (both existing and developing) for risks are provided in bold type.

- Business continuity risk has been archived.
- 1.6 The risk management strategy has been updated to include a statement on the archiving process.
- 1.7 The risk register 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 is 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.