

JOINT INDEPENDENT AUDIT COMMITTEE
19 April 2018

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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 (V7.19) records 14 risks in total, with 7 rated as critical, scoring RED 12 and above and 7 non-critical, scoring AMBER 9 and below.
 - 1.3 Of the 14 risks on the register 5 have a reducing risk score / direction of travel, 7 are static with 2 having an increasing risk score / direction of travel. This represents a reduction in the overall level of risk the OPCC is exposed to with one risk reducing to a Green Rating which will shortly be archived.
 - 1.4 The PCC's risk register V7.19 March 2018 is attached at **Appendix 1**.

1.5 Update Summary

Key updates to the commissioners risk register are summarised below:

- There have been no new risks added to the register since the January 2018 JIAC report.
- **Risk C042 – “Failure to prepare for and effectively implement the new UK Data Protection Act”.** *Incorporating EU Directives – General Data Protection Regulations (GDPR) and the Law Enforcement Directive (LED).*
 - Discussions are underway with the Force IMU to determine how the OPCC can best address the requirement for a Data Protection Officer in order to comply with the new legislation.
- **Risk C043 – “Failure to secure insurance on appropriate terms - with effect from 1 April 2018.”** *(Public liability & engineering insurance plus fidelity guarantee).*
 - Insurance cover has been secured with a new contract being confirmed in March 2018.
 - This risk has been reduced to a GREEN rating and will be archived - it has achieved its target score.
- **Risk C044 – “failure of the force to deliver operational effectiveness”**
 - This risk has an increasing / upward direction of travel.
 - There is a Lack of current operational delivery plans against which to assess progress in meeting objectives of strategic plans.
 - Lack of assurance (evidence) available in both operational monitoring of progress and corporate reporting of progress against strategic plans.
 - No timeline has been identified by the force for the creation and completion of operational delivery plans, linked to corporate strategy.
 - Decline in some key performance indicators for the force.
- **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 - C06 below “*lack of capacity and resilience in the OPCC*”.

 - This risk has a reducing risk profile / score, due to the recruitment of a ‘partnerships and delivery’ manager and a ‘partnerships and delivery’ support officer who are now in post.
- **Risk C06 – “Lack of resilience in the Office of the Police and Crime commissioner”.** *(This risk is linked to - C038 above)*.
 - This risk has a reducing risk profile / score.
 - The 5 regional PCCs have established a 3 person secretariat based in Lincolnshire OPCC all of which are now in post. (The Lincolnshire OPCC has previously carried out administration and development work for a range of regional portfolios).

- **Risk C041 – “Failure to maintain or develop beneficial regional collaborations”.** (*Following significant changes in the regional leadership landscape including PCCs and Chief Officers*)
 - This risk has an increasing risk score / direction of travel due to a change in the configuration of a significant regional collaboration.

- **Risk C037 – “Resilience & instability in the Chief Officer team.”** (*Recent significant changes in chief officer team*).
 - This risk has a reducing risk score/ direction of travel.
 - Permanent DCC now in post and temporary positions / recruitment planning in place.
 - Existing chief officer team now established in roles

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.