Agenda Item No

12

JOINT INDEPENDENT AUDIT COMMITTEE
27th January 2020

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 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 monthly 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 (V7.41) records 16 risks in total, with 5 currently rated as critical, scoring RED 12 and above and 11 non-critical, scoring AMBER 9 and below.

4. Since the previous review by JIAC in November 2019 two risks have been removed from the register having reached their target score and remained stable. These are: *"Failure to contain expenditure within available resources and "Failure to effectively comply with the New UK Data Protection Act".*

5. One risk has had its score reduced from a non-critical AMBER 9 (3x3) to AMBER 6 (2x3), "Ineffective relationships with Local Partners *(Inc LCC, district councils, health services, fire / ambulance)".*

6. The PCC's risk register V7.41 January 2020 is attached at **Appendix A.**

7. Key updates to the commissioners risk register since the November 2019 JIAC meeting are summarised below:

7.1. Risk C037 – *"Lack of Resilience and instability in the force chief officer team"*

7.1.1. The ACO has been given a permanent contract following on from the previous 2 year temporary contract.

7.1.2. The COG has a full complement of officers and staff.

7.1.3. Chief Officer portfolios of responsibility have been finalised / clarified.

7.1.4. This risk has achieved its target score (2x4 - AMBER 8).

7.2. Risk C044 – *"Failure of the force to deliver operational effectiveness*"

7.2.1. The PCC has formally requested a recovery plan from the Chief Constable (November 2019) regarding contra indicators across key performance areas.

7.2.2. Force has established a violence Gold Group – with OPCC representative to attend from Jan 2020.

7.2.3. Initial force performance improvement plan created (updated on 8th Jan 2020)

7.2.3.1. PCC and CC to meet monthly to review progress.

7.2.4. National government programme for Officer uplift (Force to recruit 50 officers) – clarification of uplift details and plans for implementation underway.

7.3.* Risk C039 – *"Ineffective relationships with local partners"

7.3.1. Newly established Protection, Prevention & Partnerships Board (November 2019).

7.3.2. Shared setting of priorities agreed for LCC Assistant Director Safer Communities (seconded police officer role).

7.4.* Risk C041 – *" Failure to maintain or develop beneficial regional collaborations"

7.4.1. Discussions are ongoing regarding regional budgets.

7.4.2. Regional DCC-led review of collaboration arrangements Concluded (Nov 2019).

7.4.3. Regional review recommendations agreed in part by PCC and CC at regional board (November 2019).

7.4.4. Proposal for further independent review of regional collaborations under discussion at regional board.

7.4.5. Developing national context may overtake regional discussions – watching brief (December 2019)

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8. All recent updates to the PCC's risk register are recorded in its change log (pages 15-16).

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.