



Report of the PCC CFO to the Chair and Members of the Joint Audit Committee
30th September 2021

Presenting Officer: Mr Michael Porter, Chief Finance Officer

Status: For information

Strategic Risk Register

1. Purpose

- 1.1 To provide Members with an update on the progress of the PCC's risk register.

2. Recommendations

- 2.1 That Members note the content of the report.

3. Background

- 3.1 The PCC is taking an integrated approach to embedding its risk register within the OPCC. The strategic register is managed on the Insight4GRC system and also continues to be reviewed in line with the OPCC's own Risk Management Policy.
- 3.2 The Risk Register is being reviewed and reported on a half yearly rolling basis. The objective of the review is to update risk controls, scoring, and check progress against outstanding actions and to explore new or emerging risks.

4 Progress and Changes since the last update

- 4.1 All Risk entries have been reviewed up to this report and updates are provided in all of the Actions columns on the attached Risk Register.
- 4.2 Following feedback from the internal auditors, each risk area now includes additional narrative on assurance records and demonstrable evidence of these assurances taking place.
- 4.3 All of the Actions Required in relation to Risk 1485 are subject to the finalisation of the new Police and Crime Plan scheduled to be published in October. This risk will then be further reviewed to determine how this risk can be mitigated further.
- 4.4 Once the Police and Crime Plan is published all other OPCC Risk Areas will be subject to review to ensure they remain relevant within their current format and that the existing controls continue to provide the same level of risk mitigation.
- 4.5 A new Risk has been created, Risk 1716, to capture the requirements for the PCC to appoint a new Chief Constable following the current Chief Constable securing employment elsewhere:

The appointment of a Chief Constable is one of the key roles of any PCC as it is the Chief Constable that a PCC holds to account for running the force. The risk also captures the current and foreseeable gaps within the wider Chief Officer Team to which reassurance will be sought.

- 4.6 A Heatmap overview of all current 'open' risks on the PCC's Risk Register, based on Inherent Risk is shown in the table below:

Inherent Risk Priority (I x L)

5 - Catastrophic	Contingency (5)	Contingency (10)	Primary (15)	Primary (20)	Primary (25) 2
4 - Significant	Contingency (4)	Contingency (8)	Primary (12)	Primary (16) 4	Primary (20) 2
3 - Moderate	Low (3)	Contingency (6)	Contingency (9) 1	Primary (12)	Primary (15)
2 - Minor	Low (2)	Low (4)	House Keeping (6)	House Keeping (8)	House Keeping (10)
1 - Insignificant	Low (1)	Low (2)	House Keeping (3)	House Keeping (4)	House Keeping (5)
	1 - Negligible	2 - Rare	3 - Unlikely	4 - Possible	5 - Probable

4.7 With the following table showing the Residual Risks:

5 Catastrophic	-	Contingency (5)	Contingency (10)	Primary (15) 2	Primary (20)	Primary (25)
4 - Significant		Contingency (4)	Contingency (8) 4	Primary (12) 2	Primary (16)	Primary (20)
3 - Moderate		Low (3)	Contingency (6)	Contingency (9)	Primary (12)	Primary (15)
2 - Minor		Low (2)	Low (4) 1	House Keeping (6)	House Keeping (8)	House Keeping (10)
1 Insignificant	-	Low (1)	Low (2)	House Keeping (3)	House Keeping (4)	House Keeping (5)
		1 - Negligible	2 - Rare	3 - Unlikely	4 - Possible	5 - Probable

4.8 Following the election of the new PCC in May, existing risks of the OPCC have been subject to review by the OPCC SMT ensuring they remain relevant and are in line with the objectives of the new police and crime plan currently in development.

5. Risk Register

5.1 The Insight4GRC methodology and Risk Management Policy is in place and work is continuing to embed it into the day to day work of the OPCC.

5.2 All of the risks have and will continue to be allocated to individual Officers with regular updates required.

5.3 A copy of the Strategic Risk Register is included at today's meeting.

6. Implications

6.1 Finance

There are no known financial implications at the present time. However, as the process progresses the financial implications will be continually reviewed.

6.2 Diversity and Equal Opportunities

There are no diversity or equal opportunities implications arising from the content of this report.

6.3 Human Rights Act

There are no Human Rights Act implications arising from the content of this report.

6.4 Sustainability

Risk Management is a vital element in ensuring the sustainable delivery of services and delivering the PCC's priorities.

6.5 Risk

Risk Management is crucial in ensuring the sustainable delivery of services and delivery of the PCC's priorities through the effective identification and management of the principal risks to the delivery of corporate objectives.

7. Conclusion

- 7.1 The risk register and the work to embed risk management within the work of the OPCC is on-going and work will continue to ensure progress is maintained and risks are appropriately captured and managed.