



Joint Audit Committee

31 October 2023

Responsible Officer:	Impact on Business:		Risk Register Reference & RAG
James Haylett Chief Executive OPCC	High		
	Medium		
	Low	X	
Lead Manager:	Report Type:		
Jack Hudson Director of Governance & Compliance, OPCC	Governance	X	
	Strategic		
	Operational		
Previous papers to Committee:			
28 April 2023: Six-monthly update to Joint Audit Committee.			

Report summary	<p>1. Purpose of this report:</p> <p>1.1 The purpose of this report is to provide the Joint Audit Committee (JAC) with an update on risk management following the publication of the internal audit report 3.23/24, on 12 October 2023.</p> <p>2. Background and findings</p> <p>2.1 The Joint Strategic Risk Register (JSRR) includes joint risks relevant to the Office of the Police and Crime Commissioner (OPCC) and the Constabulary. It is owned and managed by the OPCC. The strategic risks span both organisations. The current identified risks focus on the</p>
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working relationships, the statutory responsibilities of the Commissioner and the delivery of the Police and Crime Plan. The approach to risk identification and assessment was revised in March 2023, and the result of this was presented to the JAC in April 2023. The JAC continues to provide constructive feedback on how the OPCC can continuously improve the approach.

2.2 Following on from JAC, the OPCC identified further opportunities for the development of the JSRR. Included in this was an agreement that an internal audit would benefit any development. This was conducted in August 2023 and the report published on 12 October 2023.

2.3 The report concluded that generally, controls are well designed and complied with. The OPCC have an up-to-date Risk Management Strategy, which was subject to formal approval at the date of audit.

2.4 Specific to the OPCC the report identified inconsistencies with the recording of control assurance within the JSRR, noting that the control measures did not clearly link to specific controls, whilst also noting that initial risk scores were not documented within the register.

2.5 The internal report identified two management actions in relation to the JSRR. As the owner of the JSRR the following action and update is provided for consideration by the JAC.

3. Management Action

3.1 Although the internal audit gave reasonable assurance that the controls upon which the OPCC relies upon to manage risk are suitably designed, consistently applied

and effective, two management actions for the OPCC were identified.

Internal audit MA 1 - The JSRR will be updated to include initial risk ratings for all risks.

Additionally, assurances noted on the JSSR will be updated to ensure that they are clearly linked to documented controls, and that they comprehensively detail the source of assurance.

As part of this, management will review risk SRR4.4 with a view to splitting the risk up to help document controls and control assurances more effectively.

Update: Following the initial debrief, OPCC's Extended Management Team (EMT) met to consider the initial feedback provided and the current approach to risk management, having due regard to The Orange Book, Section D. Risk management is iterative. EMT discussed the purpose and value of a JSRR, recognising that the Constabulary's approach is separate. It was agreed that the feedback when published provided opportunities to improve the approach to risk management. A tasking and finishing group has been established. The agreed output will include proposals for a refined approach to the management of risk.

In the meantime, EMT continues to identify and assess risks maintaining the events and conditions log referenced in the internal audit report. This ensures that the risk governance structures including the controls are sustained whilst developments are progressed.

	<p>Internal audit MA 3.</p> <p>The OPCC will complete a review of the ToRs of the Business Coordination Board, to ensure these fully document the forum’s remit in relation to risk management, as per the Risk Strategy.</p> <p>Update: There is a link to action one above. The ToR for BCB is scheduled to be reviewed on 24 November 2023. The feedback provided will be included within the revised ToR for sign off by the board.</p>			
<p>Related Police and Crime Plan objective</p>				
<p>Action (tick one box only)</p>	<p>Information <input type="checkbox"/></p>	<p>Assurance <input checked="" type="checkbox"/></p>	<p>Approval <input type="checkbox"/></p>	<p>Decision <input type="checkbox"/></p>
<p>Recommendation</p>	<p>It is recommended that the JAC consider this update following the recent publication and agree that a further report on the Joint Strategic Risk Register is included as an agenda item for the next JAC meeting, to be presented by the OPCC.</p>			