

**Agenda Item 6**

**POLICE AND CRIME COMMISSIONER - NORTHUMBRIA POLICE**

**JOINT INDEPENDENT AUDIT COMMITTEE**

**15 September 2014**

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**CORPORATE RISK MANAGEMENT**

**NORTHUMBRIA POLICE CORPORATE DEVELOPMENT**

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**1. Purpose of the Report**

- 1.1 The purpose of the report is to update the Joint Independent Audit Committee on the management of strategic risk, as contained within the Police and Crime Commissioner and Chief Constable's Joint Strategic Risk Register.

**2. Background**

- 2.1 The Office of Police and Crime Commissioner (OPCC) and Northumbria Police share a Joint Strategic Risk Register (Appendix A) which has been designed to ensure the effective management of strategic risk, whilst reducing the bureaucracy associated with historic practices.
- 2.2 All strategic risks are assigned Chief Officer and OPCC owners, who have responsibility for the management of risk controls and the implementation of new controls, where necessary.

**3. Current Position**

- 3.1 Since the register was last reported in May 2014, Chief Officers and OPCC have reviewed the strategic risks for which they have ownership, and provided updates. Some of the key changes include:

**New Strategic Risk**

A new strategic risk has been identified under the Financial Risk Area.

Risk – Failure to successfully transfer banking providers by the 1st April 2015, resulting in limited or no financial services.

- Existing controls - Northumbria Police is a named party to a new banking contract which is being led by Gateshead Metropolitan Council.

**Additional Controls**

Additional controls have been identified for the following risks and will help reduce the likelihood or impact of the risk on Northumbria Police and OPCC if it were to occur.

**Legal Compliance**

Risk - The Force/OPCC fails to follow relevant laws, regulations, business rules and ethical codes.

- Additional control - The embedding of the Police Code of Ethics.

### **Risk Area - Business Continuity**

Risk - Major ICT/ Telecommunications systems failure.

- Additional control - The modernisation of the NPICCS system as part of Street to Strategic, and the delivery of a new information management platform.

### **Risk Area - People**

Risk - Ineffective complaints processes.

- Additional control - Further improvements are being made to the complaints processes. Ongoing improvements include the ability to make a complaint over the phone, changes to the workflow system to ensure complaints are dealt with in a timely fashion and the circulation of IPCC lessons learned to staff, to help improve investigation quality and complaint/appeal outcomes.

### **Risk Area - Partnerships**

Risk - Failure to maximise the potential impact of LCJB.

- Terms of Reference have been circulated to members for comment and adoption at the next meeting.
- A revised/updated agenda has been proposed which is intended to ensure meaningful debate and contribution.
- A formal performance management framework is being developed and the agenda includes a specific element of 'Performance'.

### **Risk Area - Information Management and Security**

Risk - The loss or inappropriate disclosure of sensitive data.

- Additional control - A review of Force practices for the management, transfer and disposal of paper based records in light of future estates moves and building closures is to be carried out.

### **Closed Risks**

#### **Risk Area - Estates**

Risk - Failure to deliver Forth Banks on time and in budget.

- The handover of Forth Banks is complete, remedial work is ongoing as per the contract. This risk is now considered closed.

## **4. Conclusion & Overall Opinion**

4.1 Current Force and OPCC risk management processes and procedures help to ensure the effective management of those risks which have the potential to adversely affect the delivery of Force and Police and Crime Commissioner (PCC) strategic aims and objectives.

## **5. Equal opportunities implications**

5.1 There are no equal opportunities implications arising from the report.

**6. Human rights implications**

6.1 There are no human rights implications arising from the report.

**7. Risk Management implications**

7.1 There are no additional risk management implications arising directly from this report.

**8. Financial implications**

8.1 There are no financial implications directly arising from the report.

**9. Recommendation**

9.1 The Committee is requested to note the contents of this report.