

JOINT INDEPENDENT AUDIT COMMITTEE	4 December 2017
<b>Joint Strategic Risk Register</b>	
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**1. PURPOSE**

1.1 To present the current Strategic Risk Register.

**2. BACKGROUND**

2.1 The Office of Police and Crime Commissioner (OPCC) and Northumbria Police share a joint Strategic Risk Register. Each strategic risk is assigned a Chief Officer/ Director and OPCC owner, who has responsibility for the management of controls and the implementation of new controls, where necessary.

2.2 Currently there are 40 risks.

2.3 The register (Appendix A) identifies each risk and the consequences if it were to happen. The register also provides a summary of existing controls. All risks are regularly reviewed by their respective owners and additional controls identified or changed, where necessary. All risks are rated on the likelihood of the risk occurring and the impact it would have.

2.4 Area Commanders, Department Heads and OPCC are responsible for the identification of emerging risks which cannot be controlled locally, and have the potential to prevent the Force and PCC from achieving objectives. These risks are escalated to the PCC and Chief Officers, and recorded on the Joint Strategic Risk Register.

2.5 The register is presented to the Joint Business Meeting between PCC and Chief Constable on a quarterly basis. The Joint Independent Audit Committee (JIAC) and the Joint PCC/ Chief Constable Governance Group provide additional scrutiny and governance on a quarterly basis.

2.6 Current risk management processes and procedures continue to help to ensure the effective management of those risks which have the potential to adversely affect the delivery of Force and PCC strategic aims and objectives.

**3. CHANGES TO REGISTER**

3.1 The key changes to the risk register since the last quarter are outlined below.

3.2 Appendix B provides an overview of the RAG status of the risks and summary of changes since August 2017.

New Risks

**Risk 20** - Inadequate arrangements to meet all Treasury Management transfer requirements

- 3.3 Likelihood has been assessed as very low (1) and impact as high (4).
- 3.4 The consequence would be non-achievement of the Treasury Management Strategy and investment policy deliverables.
- 3.5 Controls include an implementation plan; the retention of treasury management external advisers; and utilisation of treasury management skills within the Northumbria Police Finance Department.

**Risk 21 - Reduced Treasury Management performance**

- 3.6 Likelihood has been assessed as very low (1) and impact as medium (3).
- 3.7 The consequence would be non-achievement of the Treasury Management Strategy; investment policy deliverables; and 2018/19 treasury management budget targets.
- 3.8 Controls include the establishment of robust monthly monitoring reports and quarterly meetings with treasury management external advisers.

Existing risks

**Risk 11** – Failure to have sufficient appropriate adults to support those detainees in custody. This is not a statutory function of local authorities.

- 3.9 An interim evaluation of the use of appropriate adults supporting detainees in custody was completed in October 2017 and was presented at Scrutiny Meeting 30 November. Initial findings are positive overall. A full report will follow in July 2018.

**Risk 12 - Severe delays in digital forensic examinations**

- 3.10 The Digital Forensic Unit (DFU) has been restructured, with additional Digital Forensic Investigators and a Quality Manager. IT hardware has been replaced with appropriate specifications and software; this will also underpin ISO 17025 application(s). The Force has invested in digital evidence suites to reduce demand in the DFU. A new case management system is now in place to improve the management of demand within the DFU. As a result of this work and investment, there are no overdue items. Routine waiting times are now 12 weeks for priority cases although, urgent submissions are dealt with immediately.
- 3.11 The risk has been re-assessed: Likelihood low (2) from very high (5); Impact remains high (4).

**Risk 13** – Failure to achieve ISO/IEC 17025 accreditation for digital device examination.

- 3.12 The DFU infrastructure is in place which means once the Force has evidence of process to present to United Kingdom Accreditation Service (UKAS) the Force will be requesting a pre-assessment visit. Limited UKAS capacity is affecting all forces and we are fully connected to the National Police Chief's Council (NPCC) lead in respect of the implications of timescales / non-accreditation. An ISO oversight group is in place chaired by the Head of Crime.
- 3.13 The risk has been re-assessed: Likelihood medium (3) from high (4); Impact remains medium (3).

**Risk 31** - Employment of corrupt Officers/Staff.

- 3.14 An annual Integrity Health Check linked to the Professional Development System (PDS) has been introduced. All supervisors will explain the issues and requirements in relation to Force policies and procedures which are intended to prevent corruption, these include: Maintain Professional Boundaries; Notifiable and Inappropriate Association; Business Interests; Gifts and Hospitality; Unmanageable Debt; Substance Misuse; Social Media; and Confidentiality Awareness. Reinforcement of these policies will assist in preventing breaches of integrity and minimise the risk of officers and staff becoming vulnerable to corruption.

**Risk 40** - Estate risks around electrical and gas safety, water hygiene, asbestos containing materials and fire safety.

- 3.15 The OPCC commissioned an in-depth independent survey of fire risk issues and the results and proposed action plan were reported to the Joint Business Meeting held 16 November.
- 3.16 The risk rating for all properties has been assessed as either 'trivial' or 'tolerable'.
- 3.17 Implementation of the Action Plan recommendations will ensure that the Chief Constable continues to meet his obligations in respect of the Regulatory Reform Fire Safety Order 2005.

**4. FINANCIAL CONSIDERATIONS**

- 4.1 There are no additional financial considerations arising from this report.

**5. LEGAL CONSIDERATIONS**

- 5.1 There are no legal considerations arising from the content of this report.

**6. EQUALITY CONSIDERATIONS**

- 6.1 There are no equality implications arising from the content of this report.

**7. RISK MANAGEMENT**

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

**8. CONCLUSION**

- 8.1 Current risk management processes and procedures continue to help to ensure the effective management of those risks which have the potential to adversely affect the delivery of Force and PCC strategic aims and objectives.

**9. RECOMMENDATIONS**

- 9.1 Members are asked to note the content of the report.