

JOINT INDEPENDENT AUDIT COMMITTEE	19 February 2018
<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 39 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.

Existing risks

**Risk 12 – Severe delays in digital forensic examinations.**

3.3 Since the last reporting period severe delays for digital forensics have been eliminated. The improvements made in the Digital Forensics Unit (DFU) have brought

waiting times down significantly and the current turn around for devices is between 10-12 weeks. It is still anticipated this will reduce to 8 weeks by spring 2018.

- 3.4 Likelihood remains as low (2) and impact as high (4).

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

- 3.5 The Digital Forensic Unit (DFU) infrastructure is in place. Work continues towards the first stage of ISO 17025 accreditation for digital forensics and the United Kingdom Accreditation Service (UKAS) is due to carry out an inspection in March 2018. The Force is liaising with the National Police Chiefs' Council (NPCC) lead and making satisfactory progress/mitigating risk.

- 3.6 Likelihood remains as medium (3) and impact as medium (3).

### New Risk

### **Risk 37 - Failure to comply with the requirements of the General Data Protection Regulation**

- 3.7 An additional risk has been added in relation to failure to comply with the requirements of the General Data Protection Regulation. This could result in regulatory action being taken by the Information Commissioner's Office (ICO), which could result in a substantial monetary penalty.
- 3.8 Controls include the establishment of a working group to ensure compliance with the regulations. A project plan is also in place emulating the guidance provided by the ICO '12 Steps to Readiness'.
- 3.9 Likelihood has been assessed as medium (3), and impact as high (4).

### Risk Removal

### **Inadequate arrangements to meet all Treasury Management transfer requirements**

- 3.10 Treasury management arrangements have successfully transferred to Northumbria Police Finance Department.

### **Failure of Glazed Units at Middle Engine Lane and Forth Banks**

- 3.11 The defective unit has been replaced and the scaffolding removed at Middle Engine Lane. Legal advice is being sought concerning recovery of replacement costs.
- 3.12 The expert witness report states that if further breakages do occur then the glazing units will remain safe.
- 3.13 This risk will continue to be monitored locally.

## **4. REVIEW OF RISK REGISTER**

- 4.1 A Chief Officer Team and OPCC strategic planning event has been organised for 15 March to review the strategic risk register and the management of risks within the Force's new governance structure.

- 4.2 As part of the 2017/18 Audit Plan, approved by the Joint Independent Audit Committee, the audit of Risk Management and Business Continuity is currently being undertaken.

**5. FINANCIAL CONSIDERATIONS**

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

**6. LEGAL CONSIDERATIONS**

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

**7. EQUALITY CONSIDERATIONS**

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

**8. RISK MANAGEMENT**

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

**9. CONCLUSION**

- 9.1 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.

**10. RECOMMENDATIONS**

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