



**To:** Joint Audit Committee

**From:** Chief Constable

**Date:** 23 June 2014

## **RISK MANAGEMENT PROCESS AND OPERATIONAL RISK REGISTER**

### **1. Purpose**

1.1 There are three main purposes for this report:

- (a) To present the Corporate Risk Register to Members
- (b) To respond to the request from JAC members over the risk management process specifically in respect of risk 284 (the risk that recording of crime is not sufficiently consistent or accurate).
- (c) To respond to a request at the previous meeting for the Members to be provided with a flow chart demonstrating the relationships between the Joint Strategic Risk Register, the Corporate Risk Register and the Collaborated Risk Register.

### **2. Recommendation**

2.1 JAC members are asked to note the contents of this report.

### **3. Background**

3.1 Risk management within the Constabulary is overseen by the Risk Review Board (RRB). This board meets monthly and is jointly chaired by DCC Wood and Director of Resources Niki Howard.

3.2 Department registers exist to enable risks that impact on specific areas of the Constabulary (only) to be managed locally; escalation of risks to the corporate register allows corporate level intervention when necessary.

3.3 Corporate risks (and those that have been escalated) are reviewed on a monthly basis.

#### **4. New Presentation Style of Corporate Risk Register**

4.1 Since the Risk Register was last presented to Joint Audit Committee, the Board have approved the new style format for the Corporate Risk Register. Corporate risks are now presented in a new format to identify new risks, closed risks and principle (existing) risks. The previous operational risk register has been completely overhauled and all risks reviewed, with the title of the register being changed to reflect that it includes corporate risks that may not be operational in nature. In subsequent iterations of the register it will be possible to identify risks that have changed in likelihood or impact to make reviewing by Members easier.

#### **5. Risk that crime recording is not sufficiently consistent or accurate (Ref284)**

5.1 This risk was highlighted based on routine internal audit work in January 2014. While based on a sample of crime records only, this audit work found that officers understanding / working practices were likely to be contributing to inconsistent recording of crime.

5.2 The effect of this is a potential under recording of crime with the implication that findings from crime pattern analysis would be incomplete (potentially resulting in inaccurate resourcing decisions) and a loss of public confidence in the Constabulary.

5.3 This risk was scored initially scored as Major impact, Possible likelihood, and a number of controls and actions were documented. In total, eleven controls (including the creation of the Crime Data Integrity group) were identified. This group report monthly to the Force Performance Board (FPB).

5.4 This CDI group are responsible for creation of a plan to improve data integrity and have a number of actions held on a central plan. The work of the group covers Leadership & Governance, Systems & Processes, People & Skills and Communications.

5.5 Each month, an audit report is presented to the board and regular reports documenting progress against the action plan are presented to the board. Through this mechanism the chair of FPB has provided strategic guidance / oversight.

5.6 As a result of the severity score (Impact x Likelihood), this risk is one of the top 10 risks the force holds. As the RRB review the top 10 risks every month, this risk has been subject of monthly monitoring by the RRB (since creation of the board).

5.7 While the actions / controls have driven organisational change and improved data quality in a number of areas the severity score has remained. Until regular audit work (or the forthcoming HMIC inspection) identify otherwise, the severity score will remain.

#### **6. Linkages between risk registers**

6.1 At the last JAC, Members requested a diagram demonstrating the linkages between the risk registers, a diagram of the structure of risk registers together with a description is attached at appendix A.

**7. Recommendation**

7.1 JAC members are asked to note the contents of this report.

## Appendix A – Risk Register Overview



- Risk Review Board oversees the Risk Management arrangements for the Constabulary. Risks are identified and scored throughout the Constabulary; and are managed through either the department or corporate registers. Escalation of High risk matters is to FEB and then BCB.
- **Strategic Register;** Long term risks, Impact on entire Organisation (OPCC and Constabulary)
- **Corporate Register;** Medium term, risks relating to the business operations of the Organisation, impact across entire organisation, risks may have originated from department registers (escalation)
- **Collaboration Register;** Medium / Short term, risks relating to a collaborate unit, or to a function of policing that is delivered by a collaborated unit
- **Department Register;** Short / Medium term, risks don't relate to whole organisation