For Information	
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Report to:	Joint Audit and Scrutiny Panel
Date of Meeting:	28 September 2017
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Strategic Risk Management Report for Force and NOPCC, Quarter 2, 2017/18

1.   Purpose of the Report

1.1   To provide the Joint Audit and Scrutiny Panel (JASP) with an up to date picture of strategic risk management across the Force and Nottinghamshire Office of the Police and Crime Commissioner (NOPCC).

1.2   To present proposals for revised reporting arrangements for strategic risk management.

2.   Recommendations

2.1   JASP considers the assurance that this report provides as to the effectiveness of those arrangements within the Force.

2.2   JASP acknowledges the removal of Management of Sexual Offenders and Violent Offenders (MOSOVO), the three risks relating to the Bridewell Custody Suite, the excessive fuel spillage risk, and the risk relating to the telephony infrastructure. These risks are all now being managed at a departmental level.

2.3   JASP note the addition of five new risks namely, Multi Agency Risk Assessment Conference (MARAC), Automatic Number Plate Recognition (ANPR), Upload of Police National database (PND) Information, East Midlands Special Operations Unit (EMSOU) Penetration Test and the risk of presenting a balanced budget.

2.4   JASP review proposals and confirm future reporting of strategic risk management.

3.   Reasons for Recommendations

3.1   A Strategic Risk Report is provided to the JASP bi-annually in order to keep the Panel informed as to the level of strategic risk within the Force and provide assurance as to the effectiveness of risk management arrangements.

3.2   Panel members requested that the current risk management reporting arrangements be reviewed. It was felt that currently there was too much information which didn't allow for effective scrutiny or allow for members to get the appropriate assurance they required.

4. Summary of Key Points

Risk management policy and process

4.1   A joint policy and procedure for the management of risk, in line with the Cabinet Office approved Management of Risk (M_o_R) approach is in place.

Future reporting arrangements

4.2   Panel members took part in an away day that was organised by the chair of the JASP. The purpose of the away day was to review effectiveness of the Panel and agree any areas for improvement. One of the areas discussed was around how more effective and targeted scrutiny could take pace around risk management processes. It was agreed that the current reporting arrangements would be reviewed and that a more consistent but targeted approach could be adopted.

4.3   The current SRR and supporting processes are currently being reviewed and the updated version will be presented at the next JASP. The key updates will include:
   • New style Strategic Risk Register (SRR) that will enable for effective targeted scrutiny. The new register will show direction of travel which will assist members to understand movement in risk which will help direct where assurance may be required.
   • Creation of a Potential New Risk Form that will formalise the process for risks being considered for the (SRR). This will include areas such as description of risk, current controls, proposed additional controls and an initial assessment of the potential risk.
   • The formalisation of quarterly risk reviews by appointed risk owners.
   • Members will review the SRR at each panel meeting and will identify areas where they require more detailed updates to provide assurance. The requested updates will then form part of the reports at the next meeting.

Interim Reporting arrangements

4.4   Whilst the new reporting arrangements are fully developed it was agreed to look at how the current report could be amended in the interim. This report is more concise in content provides an overview of all risks currently identified and the status of these risks.

4.5   The Chair of the JASP reviewed the current risks prior to the meeting and agreed that the MARAC risk required more detail to be provided as part of the report. The main reason for this was that Her Majesty's Inspectorate of Constabulary (HMIC) was due to inspect the force on Effectiveness in September, and this was a risk which would be looked at during this process. The JASP wished to be assured this risk was being adequately controlled and processes were in place to address any outstanding issues.

4.6 Future areas for further scrutiny will be agreed at each JASP meeting and updates will be provided at the next meeting.

Assurance Mapping

4.7 It been agreed that that assurance mapping will be used to help inform a programme of scrutiny and review for the Panel.

4.8 Assurance Mapping currently takes place each year to support the development of the Internal Audit Plan. The ongoing review of the SRR will include a refresh of the current risks and their status. Once this review is completed the new updated SRR will be used to create new Assurance Map.

4.9 The updated Assurance Map will be presented for discussion at the next Panel meeting so that areas of review and scrutiny to be agreed.

4.10 Where it is identified that assurance is required the Force's Ongoing Priority Plan Change Programme will be reviewed to identify any ongoing reviews that may require scrutiny to provide any future assurance.

5	Financial Implications and Budget Provision

5.1 There are no direct financial implications as a result of this report. Financial implications as a result of each risk will be assessed and managed on an individual basis.

6	Human Resources Implications

6.1 Providing professional advice on risk management is the responsibility of the Corporate Governance and Business Planning team.

6.2 General responsibility for managing risk forms an integral part of the job descriptions of individuals throughout the Force.

7	Equality Implications

7.1 There are no known equality implications associated with the implementation of the Risk Management Policy.

7.2 Where a particular risk is identified that could have an impact on the Force's equality objectives that risk will be assessed and managed in line with the Risk Management Policy.

8   Risk Management

8.1   One of the main aims of the Risk Management Policy is to achieve consistent application of risk management principles and techniques across all areas of the Force and NOPCC.

8.2   If the Force and NOPCC do not practice effective risk management within their decision making there is a risk of non-compliance with the principles set out in the Joint Code of Corporate Governance.

9   Policy Implications and links to the Police and Crime Plan Priorities

9.1   An understanding and appreciation of strategic risk is important in determining the priorities in the Police and Crime Plan, and subsequently informing the development of effective strategies, policies and plans to address those priorities. It is expected that the implementation of the Risk Management Policy will lead to improved understanding of strategic risk and therefore impact positively on the achievement of Police and Crime Plan objectives.

10   Changes in Legislation or other Legal Considerations

10.1   Where potential changes in legislation or other legal considerations represent a significant threat or opportunity for the Force or the NOPCC these are evaluated and managed in line with the Risk Management Policy.

11   Details of outcome of consultation

11.1   Each Strategic Risk has been assessed with the relevant risk owner and the DCC/NOPCC.

12. Appendices

Appendix 1 – Force Strategic Risk Register, 2017/18 Quarter 2
Appendix 2 – NOPCC Strategic Risk Register, 2017/18 Quarter 2