

GWENT POLICE AUTHORITY
Audit and Resources Committee

Date: 24th October 2008

Item No: 8

Heading: Joint Strategic Risk Register

Report Author: Chief Constable and the Chief Executive

SUMMARY

This report provides an overview of the progress of the Strategic Risk Management process in the six months following the April Report to this Committee. It provides a brief history of the process, a summary of the changes to the Risk Register, new and current critical risks and outlines plans for development within the next year.

RECOMMENDATION(S)

1. Members are invited to note the contents of this report.
 2. Members are invited to consider the proposals for the development of the Risk management process over the next year.
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1. **BACKGROUND**

- 1.1 In April 2008, the Strategic Risk Management Group (SRMG) agreed that it was an appropriate time to undertake a fundamental review of the Risk Register. The review would examine and assess the nature and level of each risk to ensure that it remained an accurate and current reflection of the risks faced by the Police Authority and Gwent Police and to demonstrate that sound internal controls are maintained by the Force in the management of risk identification and mitigation. The review also intended to identify gaps through discussions with strategic and operational leads.
- 1.2 A report was submitted in April 2008 to the Gwent Police Authority Corporate Planning and Performance Committee to provide an overview and brief history of the strategic risk process, a summary of the critical risks and outline plans for the review and development within the following year. The report also invited Committee members to offer views concerning any perceived omissions or inconsistencies which were to be taken into account.
- 1.3 A full review was undertaken by the Force Risk Administrator between the April 2008 SRMG and the June 2008 SRMG meetings and findings and proposals of risk placement and change were assessed by the members of the SRMG meeting in June.

2. CURRENT POSITION

2.1 PROCESS

- 2.1.1 Strategic and operational risk owners were contacted individually by the Force Risk Administrator to discuss the risks in their portfolio. Consideration was given as to the level of each risk to the Force, its category position on the risk radar and progress reports were requested in order to ascertain development in mitigating the risk. Strategic owners were also requested to provide information as to what they perceived to be the highest risks within their areas and to bring these to the Group should they not be registered.
- 2.1.2 A presentation was given to the SRMG June meeting of the collated results of the review to enable Group members to discuss the findings further and agree a final version of the risk database and risk radar that would be an accurate reflection of the risks faced by the Police Authority and the Force.
- 2.1.3 Following agreement at the SRMG June meeting the Risk Radar was subsequently updated to provide a pictorial overview of the current risk database. This was circulated to all SRMG members at the August meeting.

2.2 PROGRESS TO DATE

- 2.2.1 The SRMG Group has continued to meet bi-monthly, is chaired by the Deputy Chief Constable and attended by representatives of the Police Authority and representatives of divisions and departments. The staff associations and Unison also continue to be represented.
- 2.2.2 The risk process has also remained consistent. Details of risks are forwarded to the Corporate Services Department to be raised at SRMG meetings. Each risk is categorised as either low, medium, high or critical based on an assessment of probability and impact. Risk owners are identified for each individual risk and an assessment form is completed and recorded on the Risk Database. For each risk, a control measure is identified and a review period is set during which the risk will be re-evaluated and assessed. Risks are reviewed on a regular basis depending on the nature and level of risk involved. Risks are normally identified as a result of Police Authority committees, meetings within the Force Corporate Governance framework and internal and external audit and inspection activity.
- 2.2.3 Risks are also increasingly brought into SRMG through divisional meetings as a result of all staff being encouraged to identify and record risk.

2.2.4 The new networked Risk Database has been written and is now ready to take the Strategic Risk Management Data. Work is currently ongoing to develop the 'QlikView' reporting tool that will be used to view the information in real-time across the network.

2.2.4 The Risk Register currently identifies 79 'open' risks, of which:-

- 9 risks are rated at Level 4 (Critical Risk);
- 22 rated at Level 3 (High Risk);
- 28 rated at Level 2 (Medium Risk);
- 20 risks rated at Level 1 (Low Risk).

2.2.5 Since April 2008, 35 risks have been removed from the Risk Register on the basis of an assessment by the Strategic Risk Management Group that processes and procedures have been put into place to mitigate each risk.

There have been 24 new risks added to the Risk Register since April 2008, and of those 18 remain on the register as follows:

- CPS Damages Claims
- Refresher Training – Failure to Provide
- National Firearms Licensing
- CCTV in Cells – Absence of Recording
- Custody Unit Staff Levels
- Public Events Planning
- Protecting Vulnerable People (PVP) - Mental Health
- Eisteddfod 2010
- Fuel Shortage
- Disclosure Requests – Failure to Respond
- Inappropriate Associations
- Eisteddfod 2010
- Olympics 2012
- Ryder Cup 2010
- Flu Pandemic
- CLIO Database (assists operational response in enabling the recording of live data which allows actions to be created with an audit trail)
- National Identification Services (NIS) – Proposed Closure
- Lack of Procedure – Registration and Declaration of Interests

2.2.6 The risk radar gives a pictorial overview of the current position of the Risk Register Database (see Appendix 1). Some of the risks identified on the Radar have more than one risk associated to them on the Database. The Risk Radar is currently updated after every Strategic Risk Management meeting and currently shows the nine critical risks as follows:-

- Witness Protection - Implementation

- Protecting Vulnerable People (Mental Health)
- Financial Resources - Inability to carry out efficiency improvements
- Financial Resources – Maintaining numbers of Police Community Support Officers (PSCOs) from 2008
- Cash Releasing Efficiency Savings (CRES)
- National Firearms Licensing
- Disclosure Requests
- CLIO Database (assists operational response in enabling the recording of live data which allows actions to be created with an audit trail)
- National Identification Services (NIS) – Proposed Closure

2.2.7 As a result of the June Review, the risk radar now shows a new section on partnership working. Our Local Policing Plan is structured in such a way as to capture our partnership work. The ‘Police Use of Resources Assessment’ (PURE) Report also recommends that we identify risks in relation to significant partnership and collaborative arrangements. Our Risk Radar has therefore been structured accordingly.

Risks in the Partnership category of the Risk Radar include:

- Fuel Shortage – Which reflects co-ordination nationally, links to other services and with the Business Continuity Group of the Local Resilience Forum
- Detention of Terrorism Detainees – This risk highlights a co-ordinated All-Wales Forces and The Welsh Extremism and Counter Terrorism Unit (WECTU) approach to risk mitigation
- Safer Detention – This risk reflects liaison and consultation with various partnership health and safety groups to ensure compliant processes and procedures are in place.

3. **PROPOSALS FOR CONSIDERATION**

3.1 Training

Several avenues are currently being pursued in order to raise awareness of the Strategic Risk Management process amongst Gwent police officers and police staff. These include:

- Incorporating Strategic Risk Management training material within the induction packs for police staff, Police Authority staff and members and within the course material for probationer constables.
- Incorporating Strategic Risk Management training material at the planning seminars which will take place during November.

3.2 QlikView

The QlikView management system is being developed and the Strategic Risk Management data is currently being loaded. The system will be rolled out

across the force throughout October 2008 and it is planned that as information will be viewed in real-time across the Force network, QlikView will be utilised to enable paperless Strategic Risk Management meetings in the future.

4. STAFFING/PERSONNEL IMPLICATIONS

- 4.1 There are no specific staffing implications resulting directly from the matters raised in this report.

5. FINANCIAL IMPLICATIONS

- 5.1 There are no specific financial implications resulting directly from the matters raised in this report.

6.0 CONSULTATION

- 6.1 The Strategic Risk Management Group is a joint Police Authority and Force body with wide representation including the staff associations and Unison.

7. REPORT ASSESSMENT FOR EQUALITY AND DIVERSITY MATTERS

- 7.1 This Report has been considered against the general duty to promote equality, as stipulated under the Police Authority's and Force's Equality Schemes, and has been assessed not to discriminate against any particular group.

8. RISK ASSESSMENT

- 8.1 No additional risks have been identified from the matters arising from this paper which are not currently captured on Risk Register.

9. STAYING AHEAD (2011 REVIEW)

- 9.1 The matters raised in this Report have been considered in the context of the Staying Ahead (2011) Review and are not considered to have any direct consequences for the outcomes.

10. CONCLUSION

- 10.1 During the last six months we have reviewed our processes of internal control of strategic risks, we have restructured the Risk Radar to align with the Local Policing Plan and the requirements of the PURE Report and we have updated our technical procedures. We are now concentrating our efforts on raising awareness of the Strategic Risk Management process within Gwent Police and our associated partnerships.

11. CONTACT OFFICER

- 11.1 Supt. Johnson – Corporate Services

12. BACKGROUND PAPERS

12.1 None

13. APPENDICES

13.1 Risk Radar - October 2008