

Northumbria Police and PCC Joint Strategic Risk Register

Risk Area	Strategic Risk	Consequence	Summary of Controls	RAG		Risk Action Owner	
				L (1-5)	I (1-5)	COT	OPCC
National Policy changes	Failure to recognise and adapt to the national Transforming Rehabilitation agenda.	<p>Loss of public confidence in the Criminal Justice System.</p> <p>Increased re-offending rates.</p> <p>More complex and difficult to deal with issues in respect of re-offending being more difficult for providers to find sustainable solutions e.g. mental health, drug and alcohol dependency.</p> <p>Challenges in working in a new partnership arena.</p>	<p>Existing controls</p> <ul style="list-style-type: none"> National lobbying and contributing towards the debate. Effective engagement and partnership working with prospective providers. Ongoing engagement with LCJB. <p>Additional controls</p> <ul style="list-style-type: none"> Establish new partnerships. Ensure the effective transfer of CJD functions, maintaining ownership and clarity of role. Closely monitor future developments in the Transforming Rehabilitation agenda. 	2	4	ACC Vant	PCC / CHX / OPCC
Legal Compliance	Failure to produce an acceptable Police & Crime Plan	<p>Government intervention.</p> <p>Loss of public confidence.</p>	<p>Existing controls</p> <ul style="list-style-type: none"> Strategic Assessment planning processes. Extensive public consultation. Dedicated resources in Strategy & Performance Unit and OPCC. Quarterly Performance Management Meetings. Attendance at Senior Management Board. <p>Additional controls</p> <ul style="list-style-type: none"> No further controls required at this stage 	2	4	DCC Ashman	PCC / DPCC
	Failure to deliver against targets set out in the Police and Crime Plan.	<p>Increased crime rates.</p> <p>Failure to target resources towards changing performance and crime trends.</p>		2	4	DCC Ashman	PCC / DPCC

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	Failure to secure Home Secretary approval for Stage 2 Transfers scheme.	Home Secretary intervention. Negative media coverage and impact on reputation. Negative impact on staff morale.	Existing controls <ul style="list-style-type: none"> Regular dialogue between PCC and Chief Constable. Additional controls <ul style="list-style-type: none"> Meetings with Trade Union representatives. 	1 2	ACO McCardle	PCC
	The Force / OPCC fail to follow relevant laws, regulations, business rules and ethical codes.	Litigation, legal action against the organisation or an individual leading to prosecution.	Existing controls <ul style="list-style-type: none"> An established and suitably resourced Legal Dept. Corporate Governance Document. PCC Schedule of delegations. Organisational scanning. Internal audit Additional controls <ul style="list-style-type: none"> No further controls required at this stage 	2 4	DCC Ashman	CHX / OPCC
Financial	Detrimental changes to the full implementation of the funding formula – reduced funding.	Significant reduction (potentially £20 million) in available finances impacting on the ability to provide front line services.	Existing controls <ul style="list-style-type: none"> Financial strategies, including Medium Term Financial Strategy (MTFS), Value for Money profiles and Police Objective Analysis profiles. Regular financial monitoring through Executive Board and OPCC Business Meeting. Internal Audit and OPCC scrutiny. 	3 5	ACO McCardle	CHX / OPCC
	Failure to deliver planned cost reductions.	Impact on service provision, with less flexibility to innovate and provide front line services.	Additional controls <ul style="list-style-type: none"> No further controls required at this stage 	2 4	ACO McCardle	CHX / OPCC

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Business Continuity	Major ICT / Telecommunications systems failure.	Potential for temporary loss of key services (PND, 999, NPICCs).	<p>Existing controls</p> <ul style="list-style-type: none"> • Business Continuity Plans. • Estates Strategies. • ICT Strategy. • Capital Programme. • Control room staffing mix (officers / staff). <p>Additional controls</p> <ul style="list-style-type: none"> • Flu vaccination initiative • Health monitoring 	2	3	ACO McCardle	CHX / OPCC
	Prolonged industrial action by key members of staff.	Reduced staffing and service provision across some or all business areas.		1	2	ACO McCardle	CHX / OPCC
	Prolonged industrial action by key external organisations (transport, fuel, teachers, fire service).			2	2	DCC Ashman	CHX / OPCC
	Power failure at key sites.	Reduced services across some or all business areas.		2	3	DCC Ashman / ACO McCardle	CHX / OPCC
	Major disruption to use of key buildings / facilities.			2	3	DCC Ashman / ACO McCardle	CHX / OPCC
	Pandemic outbreak.	Reduced staffing and service provision across some or all business areas.		2	4	DCC Ashman / ACO McCardle	CHX / OPCC
	Severe weather.			3	4	DCC Ashman	CHX / OPCC

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People	Employment of corrupt Officers/ Staff.	Resulting in an abuse of power, fraud or theft etc.	Existing controls <ul style="list-style-type: none"> • Vetting process. • Counter Corruption Strategy. • Professional Standards. • Monthly analysis of complaints, addressing any emerging issues with Area Commands/ Departments. • CC/PCC Monitoring Meetings. 	1 4	DCC Ashman	PCC / CHX
	Ineffective complaints processes.	Resulting in poor levels of service and increased public dissatisfaction.	Additional controls <ul style="list-style-type: none"> • Monitor and improve how complaints against Police are handled, including the development of a reporting mechanism and accountability framework with the PCC, to identify issues and ensure improvements are implemented. 	2 3	DCC Ashman	PCC / DPCC
	Assault on or injury to Police Officer / Staff.	Negative impact on employees. Litigation, legal action and/ or prosecution against the force and/ or individual officers.	Existing controls <ul style="list-style-type: none"> • Effective training (self defence, first aid, Dynamic Risk assessment NDM). • Protective Clothing and Equipment. • Safe patrolling policy. Additional controls <ul style="list-style-type: none"> • No further controls required at this stage 	3 2	ACC Vant / Farrell	N/A
	Failure to maintain ongoing recruitment of police officers.	Failure to keep front line policing up to policy commitments.	Existing controls <ul style="list-style-type: none"> • Executive Business Meeting. • PCC Business Meeting. • CC/PCC Monitoring Meetings. Additional controls <ul style="list-style-type: none"> • Review as part of the 14/15 budget setting 	2 4	ACO McCardle	PCC

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Health & Safety	Serious accident/ death due to a breach of H&S.		<p>Existing controls</p> <ul style="list-style-type: none"> Health & Safety Management system. Risk Assessments. Safety checks. Completion of RoSPA safety audits to ensure compliance with Health and Safety requirements. Role specific training. 	2	5	ACO McCardle	CHX / OPCC
	Death in custody / after police contact.	Litigation, legal action and/ or prosecution against the force and/ or individual officers. Negative impact on employees	<p>Additional controls</p> <ul style="list-style-type: none"> No further controls required at this stage 	2	5	DCC Ashman	PCC
Partnerships	Reduction in partnership services due to financial constraints and a lack of integrated planning.	Gaps in the Forces ability to reduce and prevent crime and anti social behaviour. Reduced ability to identify and respond to local priorities. Fewer crime prevention schemes.	<p>Existing controls</p> <ul style="list-style-type: none"> Effective partnership governance arrangements and joint partnership plans, which include clear roles, responsibilities and exit strategies. <p>Additional controls</p> <ul style="list-style-type: none"> No further controls required at this stage 	3	3	ACC Vant / ACC Farrell	CHX / OPCC
	Failure to maximise the potential impact of LCJB.	Uncoordinated criminal justice programmes.	<p>Existing controls</p> <ul style="list-style-type: none"> LCJB meetings have been revised to ensure they have an appropriate structure and are fit for purpose in light of current economic restraints. <p>Additional controls</p> <ul style="list-style-type: none"> No further controls required at this stage 	2	3	ACC Vant	PCC

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Equality	The force, OPCC or an associated individual acts in a discriminatory way.	<p>Litigation, legal action against the force/OPCC leading to prosecution.</p> <p>Inequality of service delivery across discriminated groups.</p>	<p>Existing controls</p> <ul style="list-style-type: none"> • Delivery of Joint Equality Objectives, including; • The monitoring and analysis of protected characteristic data. • Equality Impact Assessments (EIA). • Force Equality Board Meetings. • OPCC Advisory Group Meetings. <p>Additional controls</p> <ul style="list-style-type: none"> • Quality assurance of EIA; • Assessment of Force position against National Equality Standards for the Police Service. 	1 3	ACO McCardle	PCC / DPCC / CHX / OPCC
Information Management and Security	The loss or inappropriate disclosure of sensitive data.	<p>Breach of the Data Protection Act.</p> <p>Litigation, legal action against the force/OPCC leading to prosecution.</p>	<p>Existing controls</p> <ul style="list-style-type: none"> • Information Security audit/ review. • Staff training. <p>Additional controls</p> <ul style="list-style-type: none"> • Implementation of the Information Security Review recommendations. 	1 3	DCC Ashman	CHX / OPCC
	Security breach.	<p>Places individuals at risk, making them more vulnerable.</p>	<p>Additional controls</p> <ul style="list-style-type: none"> • Implementation of the Information Security Review recommendations. 	1 4	DCC Ashman	N/A
Estates	Failure to Dispose of HQ site in a timely manner.	<p>Unnecessary maintenance, security or loss, or damage to property / physical assets leading to increased costs'. Loss of capital receipt.</p>	<p>Existing Controls</p> <ul style="list-style-type: none"> • Robust Estates Strategies. <p>Additional controls</p> <ul style="list-style-type: none"> • OPCC Joint Business Meetings. 	3 4	ACO McCardle	CHX / OPCC
	Failure to deliver Forth Banks on time and in budget.	<p>Escalation in cost.</p>	<p>Existing Controls</p> <ul style="list-style-type: none"> • Robust Estates Strategies. <p>Additional controls</p> <ul style="list-style-type: none"> • Forth Banks Programme Board (OPCC). • OPCC Joint Business Meetings. 	2 4	ACC Vant	CHX / OPCC

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	Missed opportunity to share buildings / facilities with local authority partners.	Lost opportunity to reduce costs and / or improve service access for the public.	<p>Existing Controls</p> <ul style="list-style-type: none"> Robust Estates Strategies. On going discussions with Local Authorities <p>Additional controls</p> <ul style="list-style-type: none"> Formulation of a collaboration strategy 	2 3	ACO McCardle	DPCC
Public Confidence / Perception	Loss of Public confidence and/or reputational damage.	Negative public perception External intervention Drop in performance.	<p>Existing Controls</p> <ul style="list-style-type: none"> Serious Case Review procedure Effective communication strategies Effective critical Incident policies and procedures Pr-active press and media strategy <p>Additional controls</p> <ul style="list-style-type: none"> No further controls required at this stage 	2 5	DCC Ashman	PCC

Scoring Guide

Impact & Likelihood = Risk level					
	Impact				
Likelihood	(1) VERY LOW	(2) LOW	(3) MEDIUM	(4) HIGH	(5) VERY HIGH
(1) VERY LOW					
(2) LOW					
(3) MEDIUM					
(4) HIGH					
(5) VERY HIGH					
KEY					
GREEN = Low Risk AMBER = Medium Risk RED = High Risk					