

# Northumbria Police and PCC Joint Strategic Risk Register

APPENDIX A

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.	Loss of public confidence in the Criminal Justice System.	<b>Existing controls</b> <ul style="list-style-type: none"> <li>National lobbying and contributing towards the debate.</li> <li>Effective engagement and partnership working with prospective providers.</li> <li>Ongoing engagement with LCJB.</li> </ul> <b>Additional controls</b> <ul style="list-style-type: none"> <li>Establish new partnerships.</li> <li>Ensure the effective transfer of CJD functions, maintaining ownership and clarity of role.</li> <li>Closely monitor future developments in the Transforming Rehabilitation agenda.</li> </ul>	2	4	ACC Farrell	PCC / CHX / OPCC
		Increased re-offending rates.					
		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.					
		Challenges in working in a new partnership arena.					
Legal Compliance	Failure to produce an acceptable Police & Crime Plan.	Government intervention.	<b>Existing controls</b> <ul style="list-style-type: none"> <li>Strategic Assessment planning processes.</li> <li>Extensive public consultation.</li> <li>Dedicated resources in Strategy &amp; Performance Unit and OPCC.</li> <li>Quarterly PCC and COT Performance Management Meetings.</li> <li>Attendance at Senior Management Board.</li> <li>Monthly Department / Area Command Performance meetings with COT.</li> </ul> <b>Additional controls</b> <ul style="list-style-type: none"> <li>Annual review of the Chief Constables Delivery Plan.</li> </ul>	2	4	DCC Ashman	PCC / DPCC
		Loss of public confidence.					
		Increased crime rates.					
	Failure to deliver against targets set out in the Police and Crime Plan.	Failure to target resources towards changing performance and crime trends.					
				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.	<b>Existing controls</b> <ul style="list-style-type: none"> <li>Regular dialogue between PCC and Chief Constable.</li> </ul> <b>Additional controls</b> <ul style="list-style-type: none"> <li>Meetings with Trade Union representatives.</li> </ul>	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.	<b>Existing controls</b> <ul style="list-style-type: none"> <li>An established and suitably resourced Legal Dept.</li> <li>Corporate Governance Document.</li> <li>PCC Schedule of delegations.</li> <li>Organisational scanning.</li> <li>Internal audit.</li> <li>External inspection (HMIC).</li> </ul> <b>Additional controls</b> <ul style="list-style-type: none"> <li>No further controls required at this stage.</li> </ul>	2	4	DCC Ashman	CHX / OPCC
<b>Financial</b>	Detrimental changes to the full implementation of the funding formula – reduced funding.	Significant reduction in available finances impacting on the ability to provide front line services.	<b>Existing controls</b> <ul style="list-style-type: none"> <li>Financial strategies, including Medium Term Financial Strategy (MTFS), Value for Money profiles and Police Objective Analysis profiles.</li> <li>Regular financial monitoring through Executive Board and OPCC Business Meeting.</li> <li>Internal Audit and OPCC scrutiny.</li> </ul> <b>Additional controls</b> <ul style="list-style-type: none"> <li>No further controls required at this stage.</li> </ul>	2	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.	<b>Existing controls</b> <ul style="list-style-type: none"> <li>Regular financial monitoring through Executive Board and OPCC Business Meeting.</li> <li>Internal Audit and OPCC scrutiny.</li> </ul> <b>Additional controls</b> <ul style="list-style-type: none"> <li>No further controls required at this stage.</li> </ul>	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><b>Existing controls</b></p> <ul style="list-style-type: none"> <li>• Business Continuity Plans.</li> <li>• Estates Strategies.</li> <li>• ICT Strategy.</li> <li>• Capital Programme.</li> <li>• Control room staffing mix (officers / staff).</li> <li>• Comprehensive flood plans.</li> <li>• Force fuel reserves are maintained.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>• Recent loss of 999 has resulted in a BT review of its service and improvements to ensure that equipment, processes and staff/training are fit for purpose.</li> <li>• Flu vaccination initiative – Vaccinations were offered to Communications Department staff, with an approximate 10 % uptake. The impact of the pilot will be monitored to assess the benefits of the initiative.</li> <li>• Health monitoring – A Health &amp; Well-being programme is in place but is currently under review.</li> </ul>	2	3	ACO McCardle	CHX / OPCC
	Prolonged industrial action by key members of staff.			1	2	ACO McCardle	CHX / OPCC
	Prolonged industrial action by key external organisations (transport, teachers, fire service).	Reduced staffing and service provision across some or all business areas.		2	2	DCC Ashman	CHX / OPCC
	Prolonged fuel shortages.			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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<b>People</b>	Employment of corrupt Officers/ Staff.	Resulting in an abuse of power, fraud or theft etc.	<b>Existing controls</b> <ul style="list-style-type: none"> <li>Vetting process.</li> <li>Counter Corruption Strategy.</li> <li>Professional Standards.</li> <li>Monthly analysis of complaints, addressing any emerging issues with Area Commands/ Departments.</li> <li>CC/PCC Monitoring Meetings.</li> <li>Complaints Triage, ensuring all complaints are administered, monitored and managed by the appropriate staff and in a timely manner.</li> </ul>	1	4	DCC Ashman	PCC / CHX
	Ineffective complaints processes.	Resulting in poor levels of service and increased public dissatisfaction.		<b>Additional controls</b> <ul style="list-style-type: none"> <li>No further controls required at this stage.</li> </ul>	2		
	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.	<b>Existing controls</b> <ul style="list-style-type: none"> <li>Effective training (self defence, first aid, Dynamic Risk assessment NDM).</li> <li>Protective Clothing and Equipment.</li> <li>Safe patrolling policy.</li> </ul> <b>Additional controls</b> <ul style="list-style-type: none"> <li>No further controls required at this stage.</li> </ul>	3	2	ACC Farrell / Calvert	N/A
	Failure to maintain ongoing recruitment of police officers.	Failure to keep front line policing up to policy commitments.	<b>Existing controls</b> <ul style="list-style-type: none"> <li>Executive Business Meeting.</li> <li>PCC Business Meeting.</li> <li>CC/PCC Monitoring Meetings.</li> </ul> <b>Additional controls</b> <ul style="list-style-type: none"> <li>Review as part of the 14/15 budget setting.</li> </ul>	2	4		

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

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<b>Equality</b>	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><b>Existing controls</b></p> <ul style="list-style-type: none"> <li>• Delivery of Joint Equality Objectives, including;</li> <li>• The monitoring and analysis of protected characteristic data.</li> <li>• Equality Impact Assessments (EIA).</li> <li>• Force Equality Board Meetings.</li> <li>• OPCC Advisory Group Meetings.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>• EIA SPOC and Staff training is progressing with a view to improving EIA quality.</li> <li>• An assessment of the Force position against the College of Policing Equality Improvement Model (to be finalised).</li> </ul>	1	3	ACO McCardle	PCC / DPCC / CHX / OPCC
<b>Information Management and Security</b>	The loss or inappropriate disclosure of sensitive data.	Breach of the Data Protection Act.	<p><b>Existing controls</b></p> <ul style="list-style-type: none"> <li>• Information Security audit/ review and Advisory Group</li> <li>• Staff training.</li> <li>• Critical Incident Review Board ensures lessons learned are identified and embedded (including national lessons learned and external inspection findings).</li> <li>• Post incident SIRO review and response.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>• Implementation of the Information Security Review recommendations.</li> </ul>	1	3	DCC Ashman	CHX / OPCC
	Security breach.	<p>Litigation, legal action against the force/OPCC leading to prosecution.</p> <p>Places individuals at risk, making them more vulnerable.</p>		1	4	DCC Ashman	N/A
<b>Estates</b>	Failure to Dispose of HQ site in a timely manner.	Unnecessary maintenance, security or loss, or damage to property / physical assets leading to increased costs'. Loss of capital receipt.	<p><b>Existing Controls</b></p> <ul style="list-style-type: none"> <li>• Robust Estates Strategies.</li> <li>• OPCC Joint Business Meetings.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>• No further controls required at this stage.</li> </ul>	3	4	ACO McCardle	CHX / OPCC

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	Failure to deliver Forth Banks on time and in budget.	Escalation in cost.	<p><b>Existing Controls</b></p> <ul style="list-style-type: none"> <li>• Robust Estates Strategies.</li> <li>• Forth Banks Programme Board (OPCC).</li> <li>• OPCC Joint Business Meetings.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>• No further controls required at this stage.</li> </ul>	2	4	ACC Farrell	CHX / OPCC
	Missed opportunity to share buildings / facilities with local authority partners.	Lost opportunity to reduce costs and / or improve service access for the public.	<p><b>Existing Controls</b></p> <ul style="list-style-type: none"> <li>• Robust Estates Strategies.</li> <li>• On going discussions with Local Authorities.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>• Formulation of a collaboration strategy.</li> </ul>	2	3	ACO McCardle	DPCC
<b>Public Confidence / Perception</b>	Loss of Public confidence and/or reputational damage.	Negative public perception External intervention Drop in performance.	<p><b>Existing Controls</b></p> <ul style="list-style-type: none"> <li>• Serious Case Review procedure.</li> <li>• Effective communication strategies.</li> <li>• Effective critical Incident policies and procedures.</li> <li>• Pro-active press and media strategy.</li> <li>• Critical Incident Review Board ensures lessons learned are identified and embedded (including national lessons learned and external inspection findings).</li> <li>• Service Satisfaction and System and service recovery processes.</li> <li>• Complaints Triage, ensuring all complaints are administered, monitored and managed by the appropriate staff and in a timely manner.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>• No further controls required at this stage.</li> </ul>	2	5	DCC Ashman	PCC

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	Significant and sustained breakdown in the working relationship between PCC and Chief Constable.	Conflict of interests. Disagreement on priorities. Negative public perception. External intervention. Drop in performance.	<b>Existing Controls</b> <ul style="list-style-type: none"> <li>Regular dialogue between PCC and Chief Constable.</li> <li>PCC attendance at SMB meetings.</li> <li>OPCC Joint Business Meetings.</li> <li>Police &amp; Crime Panel.</li> </ul> <b>Additional controls</b> <ul style="list-style-type: none"> <li>No further controls required at this stage.</li> </ul>	1	3	Chief Constable	PCC
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### 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					
<b>KEY</b>					
<span style="color: green;">GREEN</span> = Low Risk <span style="color: orange;">AMBER</span> = Medium Risk <span style="color: red;">RED</span> = High Risk					