

# 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
<b>National Policy changes</b>	1) 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 with working in a new partnership arena.</p>	<p><b>Existing controls</b></p> <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> <li>• Future developments in the Transforming Rehabilitation agenda are monitored.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>• Transfer of CJD functions, maintaining ownership and clarity of role.</li> <li>• Meetings are being held with Probation Service to discuss the way forward for integrated offender management.</li> </ul>	2	3	ACC Farrell	PCC / CHX / OPCC

<b>Legal Compliance</b>	2) Failure to produce an acceptable Police and Crime Plan.	Government intervention.  Loss of public confidence.	<p><b>Existing controls</b></p> <ul style="list-style-type: none"> <li>Strategic Assessment planning processes.</li> <li>Public consultation.</li> <li>Dedicated resources in Corporate Development and OPCC.</li> <li>Senior Management Board.</li> <li>Monthly Department / Area Command Performance meetings with Chief Officer Team (COT).</li> <li>Annual review of the Chief Constable's Delivery Plan.</li> </ul>	2      4	DCC Ashman	PCC / CHX
	3) Failure to deliver against targets set out in the Police and Crime Plan.	Increased crime rates.  Failure to target resources towards changing performance and crime trends.	<p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>No further controls required at this stage.</li> </ul>	2      4	DCC Ashman	PCC / CHX
	4) Failure to secure Home Secretary approval for Stage 2 Transfers scheme. (Risk Closed – Stage 2 Transfer complete.)	Home Secretary intervention.  Negative media coverage and impact on reputation.  Negative impact on staff morale.	<p><b>Existing controls</b></p> <ul style="list-style-type: none"> <li>Regular dialogue between PCC and Chief Constable.</li> <li>Meetings with Trade Union representatives.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>No further controls required at this stage.</li> </ul>	1      2	ACO McCardle	PCC
	5) 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.	<p><b>Existing controls</b></p> <ul style="list-style-type: none"> <li>An established and suitably resourced Legal Department.</li> <li>Corporate Governance Documents.</li> <li>PCC Schedule of delegations.</li> <li>Organisational scanning.</li> <li>Internal audit.</li> <li>External inspection (HMIC).</li> </ul>	2      4	DCC Ashman	CHX / OPCC

			<b>Additional controls</b> <ul style="list-style-type: none"> <li>No further controls required at this stage.</li> </ul>			
<b>Financial</b>	6) 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 /CFO	CHX / CFO
	7) Failure to deliver planned cost reductions.	Impact on service provision, with less flexibility to innovate and provide front line services.		2      4	ACO McCardle /CFO	CHX / CFO
<b>Business Continuity</b>	8) Major ICT/Telecommunications systems failure.	Potential for temporary loss of key services (PND, 999, NPICCs).	<b>Existing controls</b> <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> </ul>	2      3	ACO McCardle	CHX / OPCC
	9) 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

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	10) Prolonged industrial action by key external organisations (transport, teachers, fire service).		<ul style="list-style-type: none"> <li>Comprehensive flood plans.</li> <li>Force fuel reserves are maintained.</li> <li>BT review of 999 services.</li> <li>'Uninterrupted Power Supply' boxes fitted to key computers.</li> </ul>	2	2	DCC Ashman	CHX / OPCC
	11) Prolonged fuel shortages.		<ul style="list-style-type: none"> <li>Volunteer flu vaccination (Comms).</li> <li>Health &amp; Well-being program.</li> </ul>	2	2	DCC Ashman	CHX / OPCC
	12) Power failure at key sites.	Reduced services across some or all business areas.	<ul style="list-style-type: none"> <li>No further controls required at this stage.</li> </ul>	2	3	DCC Ashman / ACO McCardle	CHX / OPCC
	13) Major disruption to use of key buildings / facilities.			2	3	DCC Ashman / ACO McCardle	CHX / OPCC
	14) Pandemic outbreak.	Reduced staffing and service provision across some or all business areas.		2	4	DCC Ashman / ACO McCardle	CHX / OPCC
	15) Severe weather.			3	4	DCC Ashman	CHX / OPCC
<b>People</b>	16) Employment of corrupt Officers/Staff.	Resulting in an abuse of power, fraud or theft etc.	<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> </ul>	1	4	DCC Ashman	PCC / CHX

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	17) Ineffective complaints processes.	Resulting in poor levels of service and increased public dissatisfaction.	<ul style="list-style-type: none"> <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> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>• No further controls required at this stage.</li> </ul>	2      3	DCC Ashman	PCC / CHX
	18) 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.	<p><b>Existing controls</b></p> <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> <li>• Health and Safety investigations and the review of critical incidents, including lessons learned cascaded to staff.</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      2	ACC Farrell / Keenen	N/A
	19) Failure to maintain ongoing recruitment of police officers.	Failure to keep front line policing up to policy commitments.	<p><b>Existing controls</b></p> <ul style="list-style-type: none"> <li>• Executive Business Meeting.</li> <li>• PCC Business Meeting.</li> <li>• CC/PCC Monitoring Meetings.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>• A recruitment plan has been proposed as part of the MTFS.</li> </ul>	2      4	ACO McCardle	PCC
<b>Health &amp; Safety</b>	20) Serious accident/ death due to a breach of H&S.	Litigation, legal action and/ or prosecution against the force and/or individual officers.  Negative impact on employees.	<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</li> </ul>	2      5	ACO McCardle	CHX / OPCC

	21) Death in custody / after police contact.		<p>to ensure compliance with Health and Safety requirements.</p> <ul style="list-style-type: none"> <li>• Role specific training.</li> <li>• Critical Incident Review process ensures lessons learned are identified and embedded.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>• Implementation of HIMIC Custody Inspection recommendations.</li> </ul>	2      5	DCC Ashman	PCC
<b>Partnerships</b>	22) 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 / Keenen	CHX / OPCC
	23) 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>• The LCJB Terms of Reference and Governance Structure are being revised further. Future agendas are being developed to ensure meetings are more purposeful.</li> </ul>	2      3	ACC Farrell	PCC

<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>Equality</b></p>	<p>24) The force, OPCC or an associated individual acts in a discriminatory way.</p>	<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> <li>• EIA refresher training has been delivered.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>• Conduct an assessment against the College of Policing Equality Improvement Model, once established.</li> <li>• A review of high risk policies and procedures and associated EIAs (Custody, PVP, etc).</li> <li>• Force wide Diversity and Equality awareness raising / publicity.</li> </ul>	<p>1 3</p>	<p>ACO McCardle</p>	<p>PCC / CHX / OPCC</p>
	<p style="writing-mode: vertical-rl; transform: rotate(180deg);"><b>Information Management and Security</b></p>	<p>25) The loss or inappropriate disclosure of sensitive data.</p>	<p>Breach of the Data Protection Act.</p>	<p><b>Existing controls</b></p> <ul style="list-style-type: none"> <li>• Information Security audit/ review and Advisory Group.</li> <li>• Implementation of the Information Security Review recommendations.</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> </ul>	<p>1 3</p>	<p>DCC Ashman</p>
<p>26) Security breach.</p>		<p>Litigation, legal action against the force/OPCC leading to prosecution.</p> <p>Places individuals at risk, making them more vulnerable.</p>	<p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>• No further controls required at this stage</li> </ul>	<p>1 4</p>	<p>DCC Ashman</p>	<p>N/A</p>

<b>Estates</b>	27) 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>• OPCC are currently seeking planning permission with Northumberland County Council.</li> <li>• Site surveys (for bats) are being undertaken.</li> </ul>	2      4	ACO McCardle	CHX / OPCC
	28) 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> <li>• Building on target and within budget.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>• No further controls required at this stage.</li> </ul>	1      3	ACC Farrell	CHX / OPCC
	29) 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	CHX



<b>Public Confidence / Perception</b>	30) 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 process ensures lessons learned are identified and embedded).</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
	31) 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.	<p><b>Existing Controls</b></p> <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> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>• No further controls required at this stage.</li> </ul>	1      3	Chief Constable	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					
<b>KEY</b>					
<b>GREEN = Low Risk    AMBER = Medium Risk    RED = High Risk</b>					