

# Appendix A – 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	1) Failure to recognise and adapt to the national Transforming Rehabilitation agenda.	<p>Loss of public confidence in the Criminal Justice System (CJS).</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>Ongoing engagement with LCJB.</li> <li>Effective engagement and partnership working with prospective providers.</li> <li>Future developments in the Transforming Rehabilitation agenda are monitored.</li> <li>National lobbying and contributing towards the debate.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>Regular meetings between the ACC and Probation Service to progress integrated offender management.</li> </ul>	2	3	ACC Protective Services	PCC / CHX / OPCC
Legal Compliance	2) Failure to produce an acceptable Police and Crime Plan.	<p>Government intervention.</p> <p>Loss of public confidence.</p>	<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>Strategic 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> <li>Quarterly Chief Officer Performance review 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 Local Policing	PCC / CHX
	3) 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	PCC / CHX
	4) The Force/ OPCC fail to follow relevant laws, regulations, business rules and ethical codes.	<p>Litigation, legal action against the organisation or an individual leading to prosecution.</p>	<p><b>Existing controls</b></p> <ul style="list-style-type: none"> <li>An established and suitably resourced Legal Services 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> <li>The Police Code of Ethics has been delivered across the force.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>PSD is to carry out meetings with Area Command and Department SMTs to discuss the Code of Ethics and how well it has been embedded.</li> </ul>	2	4	Chief Constable	CHX / OPCC

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Financial	5) Further cuts to Home Office Police Grant Funding arising from the 2015 Spending Review.	<p>Significant reduction in available finances impacting on the ability to provide frontline services.</p> <p>Impact on service provision, with less flexibility to innovate and provide front-line services.</p> <p>Issues of financial viability could become apparent should the organisation suffer unexpected financial shocks. A one-off large shock or a range of smaller types that add up could be just as damaging.</p>	<p><b>Summary of Controls</b></p> <ul style="list-style-type: none"> <li>MTFS would need to be reviewed and re-prioritised to match spending plans with available resources.</li> <li>General reserves could be insufficient to manage the timing differences between reduction plans and actual resource.</li> <li>Scenario planning for cuts between 25% and 40% are being prepared and discussed before the autumn announcement regarding Police Funding. This will be used to inform management of the financial capacity to deal with the range of cuts and enable early identification of the scale of actions that could be required.</li> </ul>	5	5	ACO Corporate Services /CFO	CHX / CFO
	6) Detrimental changes arising from the Home Office review of the Funding Formula	Significant reduction in available finances impacting on the ability to provide front-line services.	<p><b>Existing controls</b></p> <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> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>Key resources allocated to provide a robust response to the Home Office consultation on the proposals for a new funding formula. A project timetable has been set out to manage the process up to the submission date of 8 September 2015. Senior management will be regularly briefed and engaged. Consideration is being given to collaboration with other forces where applicable to ensure the most favourable outcome for Northumbria.</li> </ul>	3	5	ACO Corporate Services /CFO	CHX / CFO
	7) Failure to deliver planned cost reductions.	Impact on service provision, with less flexibility to innovate and provide front-line services.	<p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>Key resources allocated to provide a robust response to the Home Office consultation on the proposals for a new funding formula. A project timetable has been set out to manage the process up to the submission date of 8 September 2015. Senior management will be regularly briefed and engaged. Consideration is being given to collaboration with other forces where applicable to ensure the most favourable outcome for Northumbria.</li> </ul>	2	4	ACO Corporate Services /CFO	CHX / CFO
Business Continuity	8) 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>Ongoing support with Local Resilience Forum (LRF)</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> <li>Volunteer flu vaccination (Comms).</li> <li>Health &amp; Well-being Program.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>Modernisation of the NPICCS system as part of Street to Strategic (S2S).</li> <li>New information management platform.</li> </ul>	2	3	ACO Corporate Services	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 Corporate Services	CHX / OPCC
	10) Prolonged industrial action by key external organisations (transport, teachers, and fire service).			2	2	ACC Local Policing	CHX / OPCC
	11) Prolonged fuel shortages.			2	2	ACC Local Policing	CHX / OPCC
	12) Power failure at key sites.			2	3	ACC Local Policing / ACO Corporate Services	CHX / OPCC
	13) Major disruption to use of key buildings / facilities.			2	3	ACC Local Policing / ACO Corporate Services	CHX / OPCC

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	14) Pandemic outbreak.	Reduced staffing and service provision across some or all business areas.		2	4	ACC Local Policing / ACO Corporate Services	CHX / OPCC
	15) Severe weather.			3	4	DCC	CHX / OPCC
People	16) 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>Counter Corruption Strategy.</li> <li>Vetting process.</li> <li>CC/PCC Oversight arrangements.</li> <li>Monthly analysis of complaints, addressing any emerging issues with Area Commands/Departments.</li> <li>Complaints Triage, ensuring all complaints are administered, monitored and managed by the appropriate staff and in a timely manner.</li> <li>Implementation of the Code of Ethics for all police officers.</li> </ul> <b>Additional controls</b> <ul style="list-style-type: none"> <li>A comprehensive review is being carried out on the management of complaints from receipt through to quality assurance.</li> </ul>	1	4	DCC	PCC / CHX
	17) Ineffective complaints processes.	Resulting in poor levels of service and increased public dissatisfaction.		2	3	DCC	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.	<b>Existing controls</b> <ul style="list-style-type: none"> <li>Effective training (self defence, first aid, Dynamic Risk Assessment National Decision Model (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> <b>Additional controls</b> <ul style="list-style-type: none"> <li>Data is to be provided to Self Defence Training on officer assault and injuries and changing trends. Self defence training will then be enhanced to help reduce instances of police assaults.</li> <li>Information on those officers who are repeatedly assaulted will help instigate appropriate development/training.</li> </ul>	3	2	DCC	N/A
	19) 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> <li>A recruitment plan has been agreed as part of the MTFS.</li> <li>Officer recruitment process commenced in November.</li> </ul> <b>Additional controls</b> <ul style="list-style-type: none"> <li>No further controls required at this stage.</li> </ul>	1	3	ACO Corporate Services

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	20) Negative impact on staff morale from further significant government cuts to funding.	Loss of key staff Increased sickness absence Drop in service quality	<p><b>Existing controls</b></p> <ul style="list-style-type: none"> <li>Leadership has been identified as a key work stream for the Programme of Change.</li> <li>The force has recently launched a new Vision, Mission and Values.</li> <li>The Chief Constable is personally leading the launch and undertaking a series of staff briefings as part of the launch.</li> <li>(See also Finance risks for mitigation to minimise cuts).</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>Re-instating the annual staff survey (from Sept/Oct)</li> <li>Implementing 360 degree feedback for all senior managers.</li> <li>We will continue to work closely with the Staff Association to manage change.</li> </ul>	3	3	ACC Protective Services	N/A
Health & Safety	21) Serious accident/ death due to a breach of Health and Safety (H&S).		<p><b>Existing controls</b></p> <ul style="list-style-type: none"> <li>H&amp;S Management system.</li> <li>Risk Assessments.</li> <li>Safety checks.</li> <li>Completion of RoSPA safety audits to ensure compliance with H&amp;S requirements.</li> <li>Role specific training.</li> <li>Critical Incident Review Process ensures lessons learned are identified and embedded.</li> <li>Healthcare provision.</li> </ul>	2	5	ACO Corporate Services	CHX / OPCC
	22) Death in custody / after police contact.	Litigation, legal action and/ or prosecution against the force and/or individual officers. Negative impact on employees.	<p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>Ongoing implementation of HIMIC Custody Inspection recommendations.</li> <li>Electronic Custody record has been introduced.</li> </ul>	2	5	ACC Local Policing	PCC
Partnerships	23) 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 (ASB). Reduced ability to identify and respond to local priorities. Fewer crime prevention schemes.	<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> <li>PCC and Force funding bids (Innovation and Competed fund etc)</li> </ul>	3	3	DCC	CHX / OPCC
	24) 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 with a formalised agenda are held with criminal justice partners.</li> <li>Formal Terms of Reference have been agreed by all members.</li> <li>A formal performance management framework has been developed.</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 Protective Services	PCC

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Equality	25) 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> <li>EIA refresher training has been delivered.</li> <li>Force-wide Diversity and Equality awareness raising/ publicity.</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>External organisational staff surveys (Stonewall Workplace Equality Index)</li> </ul>	1	3	ACO Corporate Services	PCC / CHX / OPCC
Information Management and Security	26) 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>Places individuals at risk, making them more vulnerable.</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 (CIRB) 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>A Storage Working Group has been convened to look at a wide range of options to address the management, transfer and disposal of paper based records in light of existing/ future estates moves and building closures.</li> <li>The Working Group links into an Estates Group which are scoping storage costs</li> </ul>	1	3	DCC	CHX / OPCC
	27) Security breach.	<p>Corruption or loss of Force systems.</p>	<p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>The Working Group links into an Estates Group which are scoping storage costs</li> </ul>	1	4	DCC	N/A
	28) Significant Cyber-attack on Force systems.	<p>Corruption or loss of Force systems.</p> <p>Disclosure of sensitive information.</p>	<p><b>Existing controls</b></p> <ul style="list-style-type: none"> <li>A number of technologies are in place to protect data from external attack (e.g. fire walls).</li> <li>Intrusion Detection Systems and Intrusion Protection Systems allow unusual activity directed towards the force to be identified and logged for analysis.</li> <li>Penetration tests, undertaken each year, demonstrate the force's capability to withstand attacks and safeguard its data and systems.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>Cyber essential assessment – The Force will undertake an assessment of its technical capability in quarter 4 of 2015, to rebuff a cyber attack. The assessment will identify issues of note that the Cyber Essentials</li> </ul>	2	4	ACO Corporate Services	N/A

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			team recommend the force improve on to prevent a successful attack in the future. This assessment is planned for Q4 2015.				
Estates	29) Failure to dispose of HQ site and other estate assets as valued within the MTFS and annual budget 2015/16.	<p>Unnecessary maintenance, security or loss, or damage to property / physical assets leading to increased costs’.</p> <p>Loss of capital receipt.</p> <p>Potential significant impact on the MTFS and 2015/16 capital and revenue budgets that could result in:</p> <ul style="list-style-type: none"> <li>• A shortfall of funding and overspend during the MTFS period.</li> <li>• A shortfall of funding and overspend beyond the MTFS period.</li> <li>• Requirement to borrow to fund the capital programme</li> <li>• Requirement to borrow to meet funding shortfall.</li> <li>• Possible breach of agreed borrowing limits.</li> </ul>	<p><b>Existing Controls</b></p> <ul style="list-style-type: none"> <li>▪ Robust Estates Strategies.</li> <li>▪ OPCC Joint Business Meetings.</li> <li>▪ Planning permission has been approved.</li> <li>▪ Monthly monitoring of the sale process and review of valuations</li> <li>▪ Regular forecasting and monitoring of the Prudential Code authorised borrowing limits</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>▪ Section 106 agreed.</li> <li>▪ Invitation to tender issued.</li> </ul>	2	4	ACO Corporate Services	CHX / OPCC
	30) 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 developments with partners.</li> <li>▪ Collaboration strategy.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>▪ 10 Fire and Rescue Service co-locations.</li> <li>▪ 6 local authority sites.</li> <li>▪ 4 Community Association/ Trust sites.</li> </ul>	2	3	ACO Corporate Services	CHX
Public Confidence / Perception	31) Loss of Public confidence and/or reputational damage.	<p>Negative public perception.</p> <p>External intervention.</p> <p>Drop in performance.</p>	<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	PCC

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	32) Data Integrity.	<p>Negative public perception.</p> <p>External intervention.</p> <p>Drop in performance.</p>	<p><b>Existing Controls</b></p> <ul style="list-style-type: none"> <li>COT Performance monitoring.</li> <li>SMB monthly performance meetings.</li> <li>Internal Audit programme.</li> <li>Internal Training programme for all supervisors.</li> </ul> <p><b>Additional controls</b></p> <ul style="list-style-type: none"> <li>External Audit</li> </ul>	2	3	DCC	PCC/CHX
	33) Significant and sustained breakdown in the working relationship between PCC and Chief Constable.	<p>Conflict of interests.</p> <p>Disagreement on priorities.</p> <p>Negative public perception.</p> <p>External intervention.</p> <p>Drop in performance.</p>	<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>					
GREEN = Low Risk    AMBER = Medium Risk    RED = High Risk					