

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	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>Existing controls</p> <ul style="list-style-type: none"> ▪ Ongoing engagement with LCJB. ▪ Effective engagement and partnership working with prospective providers. ▪ Future developments in the Transforming Rehabilitation agenda are monitored. ▪ National lobbying and contributing towards the debate. ▪ Regular meetings between the ACC and Probation Service to progress integrated offender management. <p>Additional controls</p> <ul style="list-style-type: none"> ▪ The Integrated Offender Management (IOM) model has been reviewed, and a period of consultation is underway. A report will be submitted to the Chief Officer Team (COT) on completion. 	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>Existing controls</p> <ul style="list-style-type: none"> ▪ Strategic Assessment planning processes. ▪ Public consultation. ▪ Dedicated resources in Corporate Development and OPCC. ▪ Strategic Management Board. ▪ Monthly Department/ Area Command Performance meetings with Chief Officer Team (COT). ▪ Annual review of the Chief Constable's Delivery Plan. ▪ Quarterly Chief Officer Performance review meetings. 	2	4	DCC	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.	Litigation, legal action against the organisation or an individual leading to prosecution.	<p>Existing controls</p> <ul style="list-style-type: none"> ▪ An established and suitably resourced Legal Services Department. ▪ Corporate governance documents. ▪ PCC Schedule of delegations. ▪ Organisational scanning. ▪ Internal audit. ▪ External inspection (HMIC). ▪ The Police Code of Ethics has been delivered across the force. 	2	4	Chief Constable	CHX / OPCC
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</p> <p>Issues of financial viability could become apparent should the scale of cuts be in the region of 40%.</p> <p>Impact on service provision, with less flexibility to innovate.</p> <p>Issues of financial viability could become apparent should the scale of cuts be in the region of 40%.</p>	<p>Existing controls</p> <ul style="list-style-type: none"> ▪ MTFS would need to be reviewed and re-prioritised to match spending plans with available resources. ▪ Flexibilities to increase precept could, if utilised by the PCC, reduce impacts. ▪ Reserves will be optimised to help with the phasing of the delivery of savings. 	5	5	Director of Finance/ 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>Existing controls</p> <ul style="list-style-type: none"> ▪ Detailed responses have been submitted to the Home Office consultation on changes to the Funding Formula. ▪ Details are awaited of any further review of the funding formula. The Force will be fully engaged with any consultation process. ▪ Controls as listed at 5 above also apply. 	3	5	Director of Finance /CFO	CHX / CFO

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	7) Failure to deliver planned cost reductions.	Impact on service provision, with less flexibility to innovate and 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. 	2	4	Director of Finance /CFO	CHX / CFO
	8) Short term negative cash flow.	Delayed payments or unplanned overdraft costs.	Existing controls <ul style="list-style-type: none"> ▪ A treasury management policy is maintained and a four year strategy agreed annually. ▪ A comprehensive range of treasury management activities are completed including cash flow forecasting, monitoring, temporary and long term borrowing and investing to ensure that sufficient working capital is available for our cash needs. ▪ Treasury management performance is reviewed by the JIAC at the half year end year end. ▪ CFO monitors the treasury management function monthly. 	2	4	Director of Finance /CFO	CHX / CFO
Business Continuity	9) Major ICT/ Telecommunications systems failure.	Potential for temporary loss of key services (PND, 999, NPICCs).	Existing controls <ul style="list-style-type: none"> ▪ Business Continuity Plans. ▪ Contingency planning and testing of plans in partnership with key agencies. ▪ Estates Strategies. ▪ ICT Strategy. ▪ Capital Programme. ▪ Control Room staffing mix (officers/staff). ▪ Comprehensive Flood Plans. ▪ Ongoing support with Local Resilience Forum (LRF) ▪ Force fuel reserves are maintained. 	2	3	Director of ICT	CHX / OPCC
	10) Prolonged industrial action by key members of staff.	Reduced staffing and service provision across some or all business areas.		1	2	Director of HR	CHX / OPCC
	11) Prolonged industrial action by key external organisations (transport, teachers, and fire service).			2	2	ACC Protective Services	CHX / OPCC
	12) Prolonged fuel shortages.			2	2	ACC Protective Services	CHX / OPCC

	13) Power failure at key sites.	Reduced services across some or all business areas.	<ul style="list-style-type: none"> ▪ BT review of 999 services. ▪ 'Uninterrupted Power Supply' is fitted at key sites to protect ICT equipment from damage. ▪ Volunteer flu vaccination (Comms). ▪ Health & Well-being Program. ▪ Modernisation of the NPICCS system as part of Street to Strategic (S2S). ▪ New information management platform. ▪ Most ICT services can now be undertaken remotely. The Force has three machine rooms, two of which can be used to deliver critical ICT services. 	2	3	ACC Protective Services / Director of ICT	CHX / OPCC
	14) Major disruption to use of key buildings / facilities.			2	3	ACC Protective Services/ Director of ICT	CHX / OPCC
	15) Pandemic outbreak.	Reduced staffing and service provision across some or all business areas.		2	4	ACC Protective Services/ Director of HR	CHX / OPCC
	16) Severe weather.			3	4	ACC Protective Services	CHX / OPCC
People	17) Employment of corrupt Officers/Staff.	Resulting in an abuse of power, fraud or theft etc.	<p>Existing controls</p> <ul style="list-style-type: none"> ▪ Counter Corruption Strategy. ▪ Vetting process. ▪ CC/PCC Oversight arrangements. ▪ Weekly DCC/ PSD/ HR/ Legal meetings ▪ Monthly analysis of complaints, addressing any emerging issues with Area Commands/Departments. ▪ Complaints Triage, ensuring all complaints are administered, monitored and managed by the appropriate staff and in a timely manner. ▪ Implementation of the Code of Ethics for all police officers. ▪ A comprehensive review has been carried out on the management of complaints from receipt through to quality assurance. 	1	4	DCC	PCC / CHX
	18) Ineffective complaints processes.	Resulting in poor levels of service and increased public dissatisfaction.		2	3	DCC	PCC / CHX

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	<p>19) Assault on or injury to Police Officer / Staff.</p>	<p>Negative impact on employees. Litigation, legal action and/or prosecution against the Force and/ or individual officers.</p>	<p>Existing controls</p> <ul style="list-style-type: none"> ▪ Effective training (self defence, first aid, Dynamic Risk Assessment National Decision Model (NDM). ▪ Protective Clothing and Equipment. ▪ Safe Patrolling Policy. ▪ Health and Safety investigations and the review of critical incidents, including lessons learned cascaded to staff. <p>Additional controls</p> <ul style="list-style-type: none"> ▪ There is now improved data sharing with Officer Safety Training (OST) to better understand and manage risk in the training environment. This has led to a reduction in OST related injuries. ▪ Information on those officers who are repeatedly assaulted will help instigate appropriate development/ training. 	3	2	ACC Protective Services	N/A
	<p>20) Failure to maintain ongoing recruitment of police officers.</p>	<p>Failure to keep front line policing up to policy commitments.</p>	<p>Existing controls</p> <ul style="list-style-type: none"> ▪ Executive Business Meeting. ▪ PCC Business Meeting. ▪ CC/PCC Monitoring Meetings. ▪ A recruitment plan has been agreed as part of the MTFS. ▪ Officer recruitment process commenced in November. <p>Additional controls</p> <ul style="list-style-type: none"> ▪ MTFS proposes an annual requirement to recruit further from 2016. 	1	3	Director of HR	PCC
	<p>21) Negative impact on staff morale from further significant government cuts to funding.</p>	<p>Loss of key staff Increased sickness absence Drop in service quality</p>	<p>Existing controls</p> <ul style="list-style-type: none"> ▪ Leadership has been identified as a key work stream for the Programme of Change. ▪ The force has recently launched a new Vision, Mission and Values. ▪ The Chief Constable is personally leading the launch and undertaking a series of staff briefings as part of the launch. 	3	3	Director of HR	N/A

			<ul style="list-style-type: none"> (See also Finance risks for mitigation to minimise cuts). <p>Additional controls</p> <ul style="list-style-type: none"> The Staff Survey is now complete. Results have been shared and individual action plans are being developed. 360 degree feedback is being developed for all senior managers. This will be introduced over the next few months and will commence with senior management. Work with the Staff Association to manage change will continue. 				
Health & Safety	22) Serious accident/ death due to a breach of Health and Safety (H&S).		<p>Existing controls</p> <ul style="list-style-type: none"> H&S Management system. Risk Assessments. Safety checks. Role specific training. Critical Incident Review Process ensures lessons learned are identified and embedded. Healthcare provision. <p>Additional controls</p> <ul style="list-style-type: none"> Ongoing implementation of HIMIC Custody Inspection recommendations. Electronic Custody records are now in place. Lessons learned are shared, along with the dissemination of updates by functional leads, and awareness development sessions. Inspectors have also carried out attachments to PSD on a rolling basis. A Custody Strategy Group is to be convened, with the first meeting scheduled for Monday 8th February 2016. 	2	5	Director of HR	CHX / OPCC
	23) 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>			2	5	ACC Protective Services

Partnerships	<p>24) Reduction in partnership services due to financial constraints and a lack of integrated planning.</p>	<p>Gaps in the Forces ability to reduce and prevent crime and anti-social behaviour (ASB).</p> <p>Reduced ability to identify and respond to local priorities.</p> <p>Fewer crime prevention schemes.</p>	<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. ▪ PCC and Force funding bids (Innovation and Competed fund etc) 	3	3	ACC Protective Services	CHX / OPCC
	<p>25) Increase in collaborative working with an increasing range of partners due to budget constraints</p>	<p>Reputational damage by association with partner</p> <p>Financial risk where investment by the force has been made in conjunction with partner</p> <p>Reduced operational efficiency and effectiveness due partner non-delivery</p>	<p>Existing controls</p> <ul style="list-style-type: none"> ▪ Potential partners should be considered with these risks in mind. ▪ Effective partnership agreements including robust governance, financial controls and exit strategies. ▪ Inter-force collaboration agreements (Section 22A) 	2	4	DCC	CHX / OPCC
	<p>26) Failure to maximise the potential impact of LCJB.</p>	<p>Uncoordinated criminal justice programmes.</p>	<p>Existing controls</p> <ul style="list-style-type: none"> ▪ LCJB meetings with a formalised agenda are held with criminal justice partners. ▪ Formal Terms of Reference have been agreed by all members. ▪ A formal performance management framework has been developed. <p>Additional controls</p> <ul style="list-style-type: none"> ▪ A national report entitled 'Working in Step' was published on 22 October 2015, regarding LCJBs. This found the same vulnerabilities as suspected locally, and there is a national drive to review and reinvigorate - including a performance framework. A steer is awaited from the national criminal justice board. 	2	3	ACC Protective Services	PCC

Equality	27) 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. ▪ EIA refresher training has been delivered. ▪ Force-wide Diversity and Equality awareness raising/ publicity. ▪ Conduct an assessment against the College of Policing Equality Improvement Model, once established. ▪ A review of high risk policies and procedures and associated EIAs (Custody, PVP, etc). ▪ External organisational staff surveys (Stonewall Workplace Equality Index). <p>Additional controls</p> <ul style="list-style-type: none"> ▪ IPCC Discrimination Guidance is in place, and has been rolled out to PSD staff, area command officers/staff and external partners. This will assist in the effective handling of allegations of discrimination (including discrimination based on race, sexual orientation, religious belief, age, or disability). 	1	3	Director of HR	PCC / CHX / OPCC
	Information Management and Security	28) 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 and Advisory Group. ▪ Implementation of the Information Security Review recommendations. ▪ Staff training. ▪ Critical Incident Review Board (CIRB) ensures lessons learned are identified and embedded (including national lessons learned and external inspection findings). ▪ Post incident SIRO review and response. 	1	3	DCC
29) Security breach.		<p>Places individuals at risk, making them more vulnerable.</p> <p>Corruption or loss of Force systems.</p>	1		4	DCC	N/A

			<p>Additional controls</p> <ul style="list-style-type: none"> ▪ 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. ▪ The Working Group links into an Estates Group which is scoping storage costs. 				
	30) Significant Cyber-attack on Force systems.	<p>Corruption or loss of Force systems.</p> <p>Disclosure of sensitive information.</p>	<p>Existing controls</p> <ul style="list-style-type: none"> ▪ A number of technologies are in place to protect data from external attack (e.g. fire walls). ▪ Intrusion Detection Systems and Intrusion Protection Systems allow unusual activity directed towards the force to be identified and logged for analysis. ▪ Penetration tests, undertaken each year, demonstrate the force's capability to withstand attacks and safeguard its data and systems, with potential vulnerabilities identified and appropriate patches and fixes put in place to remove the threat. 	2	4	Director of ICT	N/A

Estates	<p>31) Failure to dispose of HQ site and other estate assets as valued within the MTFS.</p>	<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"> • A shortfall of funding and overspend during the MTFS period. • A shortfall of funding and overspend beyond the MTFS period. • Requirement to borrow to fund the capital programme • Requirement to borrow to meet funding shortfall • Possible breach of agreed borrowing limits 	<p>Existing Controls</p> <ul style="list-style-type: none"> ▪ Estates Strategies. ▪ OPCC Joint Business Meetings. ▪ Planning permission has been approved. ▪ Monthly monitoring of the sale process and review of valuations ▪ Regular forecasting and monitoring of the Prudential Code authorised borrowing limits ▪ Section 106 agreed. <p>Additional controls</p> <ul style="list-style-type: none"> ▪ A preferred developer was appointed in November 2015. A completion plan is now in place, with completion estimated in August 2016. 	2	4	Director of Strategic Asset Management	CHX / OPCC
	<p>32) Missed opportunity to share buildings/ facilities with local authority partners.</p>	<p>Lost opportunity to reduce costs and/ or improve service access for the public.</p>	<p>Existing Controls</p> <ul style="list-style-type: none"> ▪ Estates Strategies. ▪ On-going developments with partners. ▪ Collaboration strategy. ▪ 10 Fire and Rescue Service co-locations. ▪ 6 local authority sites. ▪ 4 Community Association/ Trust sites. ▪ Collaboration is a key work stream within the Programme of Change. 	2	3	Director of Strategic Asset Management	CHX

Public Confidence / Perception	33) Loss of Public confidence and/or reputational damage.	Negative public perception. External intervention. Drop in performance.	Existing Controls <ul style="list-style-type: none"> ▪ Serious Case Review procedure. ▪ Effective communication strategies. ▪ Effective critical Incident policies and procedures. ▪ Pro-active press and media strategy. ▪ Critical Incident Review process ensures lessons learned are identified and embedded. ▪ Service Satisfaction and System and service recovery processes. ▪ Complaints Triage, ensuring all complaints are administered, monitored and managed by the appropriate staff and in a timely manner. 	2	5	DCC	PCC
	34) Data Integrity	Negative public perception. External intervention. Drop in performance.	Existing Controls <ul style="list-style-type: none"> ▪ COT Performance monitoring. ▪ SMB monthly performance meetings. ▪ Internal Audit programme. ▪ Internal Training programme for all supervisors. ▪ Additional audit activity. ▪ Implementation of Operation Verify. 	2	3	DCC	PCC/ CHX
	35) 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.	Existing Controls <ul style="list-style-type: none"> ▪ Regular dialogue between PCC and Chief Constable. ▪ PCC attendance at SMB meetings. ▪ OPCC Joint Business Meetings. ▪ Police & Crime Panel. 	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	GREEN	GREEN	GREEN	AMBER	AMBER
(2) LOW	GREEN	GREEN	AMBER	AMBER	RED
(3) MEDIUM	GREEN	GREEN	AMBER	RED	RED
(4) HIGH	GREEN	AMBER	AMBER	RED	RED
(5) VERY HIGH	AMBER	AMBER	RED	RED	RED
KEY					
GREEN = Low Risk AMBER = Medium Risk RED = High Risk					