

## Northumbria Police and PCC Joint Strategic Risk Register

Strategic Risk		Consequence	Summary of Controls	RAG Likelihood (1-5) Impact (1-5)		Owner	
						COT/ Directors	OPCC
1	Failure to produce an acceptable Police and Crime Plan.	Government intervention. Loss of public confidence. Failure to target resources towards changing performance and crime trends.	Public consultation. Strategic Assessment planning processes. Dedicated resources in Corporate Development and the OPCC. Monthly Department/ Area Command Performance meetings with Chief Officer Team (COT). Strategic Management Board (SMB). OPCC/ CC Scrutiny meeting. Quarterly Chief Officer Performance meetings.	3	Likelihood 1 Impact 3	Deputy Chief Constable	Police and Crime Commissioner and Interim Chief of Staff
2	Failure to deliver against objectives set out in the Police and Crime Plan.		Annual review of the Chief Constable's Delivery Plan. Alignment of aims and objectives throughout Professional Development System (PDS) Process.	8	Likelihood 2 Impact 4	Deputy Chief Constable	Police and Crime Commissioner and Interim Chief of Staff
3	Prolonged industrial action by key members of staff.	Reduced staffing and service provision across some or all business areas.	Business Continuity Plans. Contingency planning and testing of plans in partnership with key agencies.	2	Likelihood 1 Impact 2	Director of People and Development	Police and Crime Commissioner and Interim Chief of Staff
4	Prolonged industrial action by key external organisations (transport, teachers, and fire service).		Estates Strategies. ICT Strategy. Capital Programme.	4	Likelihood 2 Impact 2	ACC Protective Services	Police and Crime Commissioner and Interim Chief of Staff
5	Prolonged fuel shortages.		Control Room staffing mix (officers/staff). Comprehensive Flood Plans. On-going support with Local Resilience Forum (LRF). Force fuel reserves are maintained.	4	Likelihood 2 Impact 2	ACC Protective Services	Police and Crime Commissioner and Interim Chief of Staff

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6	Power failure at key sites.	Reduced services across some or all business areas.	BT review of 999 services.  'Uninterrupted Power Supply' is fitted at key sites to protect ICT equipment from damage.  Health & Well-being Programme.	6	Likelihood 2 Impact 3	ACC Protective Services and Director of Finance and IT	Police and Crime Commissioner and Interim Chief of Staff
7	Major disruption to use of key buildings / facilities.		Availability of remote access devices.  Information management platform in place.  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.				
8	Pandemic outbreak.	Reduced staffing and service provision across some or all business areas.	All operational orders and business continuity plans are assessed and allocated a RAG status. This is an on-going process to ensure all plans are up-to-date.	8	Likelihood 2 Impact 4	ACC Protective Services	Police and Crime Commissioner and Interim Chief of Staff
9	Death in custody / within police premises or outside, following police contact.	Litigation, legal action and/ or prosecution against the force and/or individual officers.  Negative impact on employees.	Health and Safety Management system.  Risk Assessments.  Safety checks.  Role specific training.  Critical Incident Review Process ensures lessons learned are identified and embedded. Healthcare provision.  Lessons learned are shared, along with the dissemination of updates by functional leads, and awareness development sessions. Inspectors have also carried out attachments to Professional Standards Department (PSD )on a rolling basis.  Electronic Custody records are in place.  Digital wipe boards utilised in custody suites.  The Investigation - Operational Delivery Group provides oversight for Custody related matters.  On-going implementation of HMIC Custody Inspection recommendations.  Adoption of the 'National Strategy for Police Custody' into all on-going Continuous Professional Development (CPD) training and within the Custody Action Plan.				

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10	Failure to maximise the potential impact of the Local Criminal Justice Board (LCJB).	Uncoordinated criminal justice programmes.	<p>LCJB meetings with a formalised agenda are held with criminal justice partners.</p> <p>Formal Terms of Reference have been agreed by all members.</p> <p>Formal performance management framework is in place.</p> <p>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. Direction is awaited from the National Criminal Justice Board.</p> <p>Dame Vera Baird now chairs locally.</p>	6	Likelihood 2 Impact 3	ACC Citizen Focus	Police and Crime Commissioner
11	Failure to have sufficient appropriate adults to support those detainees in custody. This is not a statutory function of local authorities.	<p>The lack of support and availability impacts upon investigations and victim care.</p> <p>Interviews and custody processes cannot be progressed without dis-regarding the codes of practice. Adults, some of which are highly vulnerable, are detained longer than necessary and without the independent support they need and deserve.</p> <p>The level of care such detainees require is often more intensive than those who do not require an appropriate adult. This causes additional stress upon the Force's custody provision and increases the risk the organisation has to manage.</p> <p>The lack of appropriate adults and the ability to progress investigations can impact on victims and the service we can deliver effecting confidence and satisfaction.</p>	<p>On-going engagement with all 6 local authorities to support a service.</p> <p>Independent 'Appropriate Adults' scheme is operational across Northumbria Police area. Cohort of volunteers from Sunderland University have been formally trained and are providing an effective service to support detainees within Police Custody.</p> <p>An interim evaluation of the use of appropriate adults supporting detainees in custody was completed in October 2017 and presented at the Scrutiny Meeting 30 November. Initial findings are positive overall. A full report will follow in July 2018.</p>	4	Likelihood 1 Impact 4	ACC Citizen Focus	N/A

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12	Severe delays in digital forensic examinations	<p>Risks associated with devices currently awaiting examination are not assessed or understood.</p> <p>Negative impact on investigations, victim care and safeguarding.</p> <p>Negative impact on criminal justice system.</p> <p>Internal inefficiency.</p> <p>Dangerous offenders not being brought to justice in a timely manner.</p> <p>Risk to ISO accreditation.</p> <p>Decreased public confidence.</p>	<p>On-going Digital Forensics Unit (DFU) re-structure.</p> <p>Improved DFU operating model including equipment, triage, and submission policy. DFU network (storage facility) installed August 2017.</p> <p>Digital evidence suites to decrease low level demand.</p> <p>Temporary increase of staff to eliminate backlog.</p> <p>LIMA case management system went live August 2017.</p> <p>There are no severe delays for digital forensics. The improvements made in the DFU have brought waiting times down significantly and the current estimated time of arrival for devices is circa 10-12 weeks. It is still anticipated this will reduce to circa 8 weeks by Spring 2018.</p>	8	Likelihood 2 Impact 4	ACC Protective Services	N/A
13	Failure to achieve ISO/IEC 17025 accreditation for digital device examination.	<p>Lack of reputation and credibility.</p> <p>Negative impact on criminal justice system.</p> <p>Internal inefficiency.</p> <p>Provision of evidence is undermined.</p> <p>Forensic Regulator intervention &amp; consequences including the possible cessation of E Forensics as a Force.</p>	<p>Information Security Officer (ISO) manager appointed.</p> <p>ISO work plan being devised.</p> <p>Pre-assessment and ISO timeline and delivery plan in place.</p> <p>Monthly governance and scrutiny oversight has been implemented.</p> <p>The DFU infrastructure is in place. Work continues towards the first stage of ISO 17025 accreditation for digital forensics and UKAS are booked to come into Force early March 2018 for inspection. The Force is fully connected with the NPCC lead and are making satisfactory progress / mitigating risk.</p>	9	Likelihood 3 Impact 3	ACC Protective Services	N/A

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14	Litigation, legal action and/or prosecution against the Force and/or individuals following assault or injury to Police Officer/ Staff.	<p>Effective training (self-defence, first aid, Dynamic Risk Assessment National Decision Model (NDM)).</p> <p>Protective Clothing and Equipment.</p> <p>Safe Patrolling Policy.</p> <p>Health and Safety investigations and the review of critical incidents, including lessons learned cascaded to staff.</p> <p>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.</p> <p>Information on those officers who are repeatedly assaulted will help instigate appropriate development/ training.</p> <p>The Confidence and Standards Board has strategic oversight of risk issues in this regard.</p> <p>Risk management issues are now considered whenever a civil claim is dealt with, and these issues are raised with the DCC and PCC, who see every report. Any Adverse trends are raised by Legal at the OLB.</p> <p>The Chief Constable and Northumbria Police Federation have agreed investigative standards and a 7 point plan which should be adhered to when investigating assaults on police officers/ police staff. This has been incorporated into the Crime Investigation policy and procedure to ensure assaults are investigated with the same care, compassion and commitment as an assault on a member of the public.</p> <p>A clear reporting mechanism is now in place for use of force. Analysis has been carried out which breaks data down to individuals where force has been used. This allows analysis in conjunction with complaints (legal action) to identify lessons learned and if there are any themes to be addressed to reduce the requirement for the use of force.</p>	6	Likelihood 3 Impact 2	ACC Protective Services	N/A

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15	Failure to maintain an effective resourcing and deployment model through recruitment, retention and progression.	Failure to keep front line policing up to policy commitments.	<p>Executive Board.</p> <p>PCC Business Meeting.</p> <p>CC/PCC Monitoring Meetings.</p> <p>A comprehensive recruitment and engagement plan has been built into the Medium Term Financial Strategy (MTFS).</p> <p>Alternative routes into policing being explored to enrich the workforce mix and maximise benefit of national schemes (e.g. apprenticeships and Police Now).</p> <p>Marketing campaign targeting a diverse range of communities.</p> <p>Activity to raise awareness of the Force as an employer of choice.</p> <p>Initial recruit training course reviewed to support future service delivery.</p> <p>The monthly Strategic Resourcing Board monitors establishment control and the workforce plan.</p>	3	Likelihood 1 Impact 3	Director of People and Development	Police and Crime Commissioner

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16	Negative impact on staff morale from further significant government cuts to funding.	Loss of key staff. Increased sickness absence. Drop in service quality.	<p>Commitment to an annual staff survey.</p> <p>The Chief Constable has completed a series of briefings following on from last year's events.</p> <p>Leadership expectations have been developed to provide clear guiding principles to encourage, develop, and support excellent leadership at all levels.</p> <p>Development programme implemented to increase self-awareness to improve individual, team and organisational wellbeing and performance. The programme will provide empowerment, confidence and promote an open and transparent learning culture.</p> <p>The introduction of a suite of leadership and core skill development programmes including mentoring, coaching, induction programmes, a talent scheme and an intranet based Learning Zone.</p> <p>A leadership programme for first and middle management is now being delivered. Following evaluation, improvements are being made for a roll-out of leadership management modules aimed at substantive as well as aspiring first and second line managers. These will be supported by opportunities for continuous professional development in subjects relevant to specific roles.</p>	<b>9</b>	Likelihood 3 Impact 3	Director of People and Development	N/A
17	Further cuts to Home Office Police Grant Funding.	Reduction in available finances impacting on the ability to provide frontline services. Impact on service provision, with less flexibility to innovate.	<p>MTFS review and revision to match spending plans with available resources.</p> <p>Flexibilities to increase precept are considered annually.</p> <p>Reserves will be optimised to help with the phasing of the delivery of savings.</p>	<b>10</b>	Likelihood 5 Impact 2	Director of Finance and IT	Interim Chief of Staff and Chief Finance Officer
18	A reduction in grant resources arising from a change to the Home Office grant allocation model.	Significant reduction in available finances impacting on the ability to provide front-line services.	The Home Office has confirmed no change to the funding formula for 2018/19.	<b>5</b>	Likelihood 1 Impact 5	Director of Finance and IT	Interim Chief of Staff and Chief Finance Officer

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19	Failure to deliver planned cost reductions.	Impact on service provision, with less flexibility to innovate and provide front-line services.	Financial strategies, including MTFS, Value for Money profiles and Police Objective Analysis Profiles.  Regular financial monitoring through Executive Board, OPCC Business Meeting and Joint Business Meeting.  Internal Audit and OPCC scrutiny.	<b>4</b>	Likelihood 1 Impact 4	Director of Finance and IT	Interim Chief of Staff and Chief Finance Officer
20	Reduced Treasury Management performance.	Non achievement of the Treasury Management Strategy, Investment Policy deliverables, and 2018/19 Treasury Management budget targets.	Establishment of robust monthly monitoring reports.  Tight controls and reporting of Prudential Indicators.  Quarterly meetings with Treasury Management external advisers.	<b>3</b>	Likelihood 1 Impact 3	Director of Finance and IT	Interim Chief of Staff and Chief Finance Officer



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21	Major ICT or telecommunications systems failure.	Potential for temporary loss of key services (Police National Database (PND), 999, Operational Systems).	<p>Contingency planning and testing of plans in partnership with key agencies. All operational orders and business continuity plans are assessed and allocated a RAG status. This is an on-going process to ensure all plans are up-to-date.</p> <p>Estates Strategies includes the refresh of Infrastructure critical to the delivery of ICT services.</p> <p>ICT Strategy includes a programme of technology refresh, updating and replacing older equipment.</p> <p>Capital Programme - appropriate funding for ICT services.</p> <p>Comprehensive Flood Plans.</p> <p>On-going support with the Local Resilience Forum (LRF).</p> <p>Force fuel reserves are maintained.</p> <p>'Uninterrupted Power Supplies' are fitted at key sites to protect ICT equipment from power surges and short term power loss.</p> <p>Support and maintenance contracts are in place along with callout rotas to provide 24x7 support for systems. SLAs for support are generally 4-5 hours.</p> <p>Resilience levels for equipment used to deliver critical services are reviewed in conjunction with the Information Asset Owners.</p> <p>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.</p>	9	Likelihood 3 Impact 3	Director of Finance and IT	Interim Chief of Staff and Police and Crime Commissioner
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 (ASB).</p> <p>Reduced ability to identify and respond to local priorities.</p> <p>Fewer crime prevention schemes.</p>	<p>Effective partnership governance arrangements and joint partnership plans, which include clear roles, responsibilities and exit strategies.</p> <p>PCC and Force funding bids (Innovation Fund etc.)</p> <p>A review of public safety and welfare calls for service is being undertaken as part of the operational demand workstream.</p>	6	Likelihood 2 Impact 3	ACC Citizen Focus/ ACC Local Policing	Interim Chief of Staff and Police and Crime Commissioner

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23	Collaboration leads to an increase in exposure to associated risks of partners/ collaborators.	<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 efficiency and effectiveness due to partner non-delivery or withdrawal of provision.</p>	<p>Potential partners considered and assessed with these risks in mind.</p> <p>Effective partnership agreements including robust governance, financial controls and exit strategies.</p> <p>Inter-force collaboration agreements (Section 22A).</p>	<b>8</b>	Likelihood 2 Impact 4	ACC Citizen Focus	Interim Chief of Staff and Police and Crime Commissioner
24	Significant cyber-attack on Force systems.	<p>Corruption or loss of Force systems.</p> <p>Disclosure of sensitive information.</p>	<p>A number of technologies are in place to protect data from external attack (e.g. fire walls).</p> <p>Intrusion Detection Systems and Intrusion Protection Systems allow unusual activity directed towards the Force to be identified and logged for analysis.</p> <p>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.</p> <p>Patching processes have been updated to reflect the frequency of patches being issued by Microsoft and other critical system suppliers.</p> <p>Technology refresh programme in place to replace older and less secure equipment.</p> <p>Identification of key roles within the Force and the introduction of appropriate vetting processes.</p>	<b>8</b>	Likelihood 2 Impact 4	Director of Finance and IT	N/A

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25	Failure to dispose of HQ site and other estate assets as valued within the MTFS.	<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 capital and revenue budgets that could result in:</p> <p>A shortfall of funding and overspend beyond the MTFS period.</p> <p>Requirement to borrow to fund the capital programme.</p> <p>Requirement to borrow to meet funding shortfall.</p> <p>Possible breach of agreed borrowing limits.</p>	<p>Estates Strategy regularly refreshed.</p> <p>OPCC and Joint Business Meetings regularly updated.</p> <p>Monthly monitoring of the sale process and review of valuations.</p> <p>Regular forecasting and monitoring of the Prudential Code authorised borrowing limits and of the impact on timing of receipt of capital receipts.</p> <p>With regard to disposal of the HQ site, a completion plan is now in place supported by a full financial appraisal which takes account of completion before or after 31 March 2018.</p>	8	Likelihood 2 Impact 4	Director of Finance and IT	Interim Chief of Staff and Police and Crime Commissioner
26	Missed opportunity to share buildings/ facilities with local authority partners.	<p>Lost opportunity to reduce costs and/ or improve service access for the public.</p>	<p>Estates Strategy regularly updated.</p> <p>Formal collaboration mechanisms in place with key partners.</p> <p>Collaboration Strategy in place.</p> <p>20+ co-locations in place with partners.</p> <p>Introduction of ICT services accessed via secure/remote access devices.</p>	6	Likelihood 2 Impact 3	Director of Finance and IT	Interim Chief of Staff

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27	Financial Risks arising as a result of exit from European Union.	<p>Investments and Borrowing – fewer counterparties to invest with if creditworthiness falls below standards, lower interest rates and lower return on deposits. Offset by potentially lower borrowing costs for refinanced debt.</p> <p>Pension Fund – Lower bonds rates could impact on pension deficit and increase contribution requirements.</p> <p>Demand Pressures – arising from cut backs by other local authorities or partners impacted by reduced income e.g. business rates.</p> <p>Inflation – The weaker Pound could create inflationary pressures on goods, services and wages.</p> <p>Sale of Assets – Delays to the sale or reduction in valuations.</p> <p>Government Grant Funding reduced if UK economy underperforms.</p>	<p>Engage with partners and/or contractors to understand how Brexit affects their risks and any shared risks.</p> <p>Update and review the Strategic Risk Register.</p> <p>Review significant policies relevant to the management of these risks (e.g. investment policy) to ensure they are fit for purpose in the new environment.</p> <p>Assess any impact of the risk assessment on the assumptions used to generate the medium term financial plan.</p> <p>Report the emerging picture from this work to the Joint Independent Audit Committee and Joint Business Meeting on a regular basis.</p> <p>Update strategic and operational plans as decisions are made.</p>	9	Likelihood 3 Impact 3	Director of Finance and IT	Interim Chief of Staff and Chief Finance Officer
28	Failure to deliver the National Emergency Services Network (ESN) to Northumbria Police on time and to budget.	<p>Late delivery of ESN radio system to support operational policing.</p> <p>Increase in forecast revenue budget as predicted savings will not be made as planned.</p> <p>ESN solution fails to supply adequate coverage or capacity to support operational policing in Northumbria Police.</p> <p>No formal confirmation of future years funding has been provided by Home Office as some payment and funding decisions are still to be finalised. They often will only be made on an annual basis just ahead of the financial year in question and subject to final confirmation as part of the normal funding allocation / notification processes.</p>	<p>The Home Office will negotiate with Airwave Solutions Limited about the extension of the National Airwave contract.</p> <p>Northumbria have a contingency plan for the support of user and vehicle Airwave terminals.</p> <p>Worst case forecast to be reflected in the Force MTFS.</p> <p>Ensure close liaison with Home Office to receive early indication of programme slippage.</p> <p>Undertake early review of predicted coverage and test actual coverage as soon as devices and coverage are available.</p> <p>Investigate alternative solutions to provide additional coverage or capacity.</p> <p>Liaise with Home Office regarding allocation of funding for future years.</p>	2	Likelihood 2 Impact 1	ACC Citizen Focus	Police and Crime Commissioner and Interim Chief of Staff

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29	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>An established and suitably resourced Legal Services Department.</p> <p>Corporate governance documents.</p> <p>PCC Schedule of delegations.</p> <p>Organisational scanning.</p> <p>Internal audit.</p> <p>External inspection (HMICFRS).</p> <p>The Police Code of Ethics has been delivered across the Force.</p>	<b>8</b>	Likelihood 2 Impact 4	Chief Constable	Interim Chief of Staff and and Police and Crime Commissioner
30	Employment of corrupt Officers/Staff.	Resulting in an abuse of authority for sexual purpose, fraud or theft etc.	<p>Counter Corruption Strategy.</p> <p>Vetting process.</p> <p>Integrity Health Check in place as part of the Professional Development System (PDS) process.</p> <p>CC/PCC Oversight arrangements.</p> <p>DCC/ HR/ PSD/ Legal monthly meeting .</p>	<b>8</b>	Likelihood 2 Impact 4	Deputy Chief Constable	Police and Crime Commissioner and Interim Chief of Staff

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31	Ineffective complaints processes.	Resulting in poor levels of service and increased public dissatisfaction.	<p>Monthly analysis of complaints, addressing any emerging issues with Area Commands/ Departments.</p> <p>Complaints Triage, ensuring all complaints are administered, monitored and managed by the appropriate staff and in a timely manner.</p> <p>Implementation of the Code of Ethics for all police officers.</p>	<b>4</b>	Likelihood 1 Impact 4	Deputy Chief Constable	Police and Crime Commissioner and Interim Chief of Staff
32	Serious accident/ death/ road traffic accident due to a breach of Health and Safety (H&S).	<p>Litigation, legal action and/ or prosecution against the force and/or individual officers.</p> <p>Negative impact on employees.</p>	<p>H&amp;S Management system.</p> <p>Risk Assessments.</p> <p>Safety checks.</p> <p>Role specific training.</p> <p>Critical Incident Review Process ensures lessons learned are identified and embedded.</p> <p>Healthcare provision.</p> <p>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.</p> <p>Publication and dissemination of appropriate policy and procedure.</p>	<b>10</b>	Likelihood 2 Impact 5	Director of People and Development	Interim Chief of Staff and Police and Crime Commissioner

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33	The force, IOPC 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>Delivery of Joint Equality Objectives.</p> <p>The monitoring and analysis of protected characteristic data.</p> <p>Equality Impact Assessments (EIA).</p> <p>Force Equality Board.</p> <p>OPCC Advisory Group Meetings.</p> <p>EIA refresher training has been delivered.</p> <p>Force-wide Diversity and Equality awareness raising/ publicity.</p> <p>Conduct an assessment against the College of Policing Equality Improvement Model, once established.</p> <p>A review of high risk policies and procedures and associated EIAs (Custody, PVP, etc.).</p> <p>External organisational staff surveys (Stonewall Workplace Equality Index).</p> <p>Annual Staff Survey is carried out (Durham University model).</p> <p>IOPC 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).</p>	3	Likelihood 1 Impact 3	Director of People and Development	Police and Crime Commissioner and Interim Chief of Staff

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34	The loss or inappropriate disclosure of sensitive data.	Breach of the Data Protection Act.	Compliance with National Policing Code of Connection.  Implementation of the Information Security Review recommendations.  Information Management Board.	<b>8</b>	Likelihood 2 Impact 4	Deputy Chief Constable	Interim Chief of Staff and Police and Crime Commissioner
35	Security breach.	Litigation, legal action against the Force/OPCC leading to prosecution.  Places individuals at risk, making them more vulnerable.  Corruption or loss of Force systems.  Negative public perception.  External intervention.  Reduction in performance.	Post incident Senior Information Risk Officer (SIRO) review and response.  Internal Audit programme.  Staff training including internal training programme for all supervisors.  Implementation of Crime Data Integrity Action Plan.  Creation of new Information Management Unit and Information Management action plan.	<b>8</b>	Likelihood 2 Impact 4	Deputy Chief Constable	N/A
36	Data quality and integrity.	Failure to identify risk of vulnerability, officer, public safety.  Skewed data returns.	Improved vetting processes and procedures.  Information Management Working Group.  Maintenance of an effective ICT Audit capability.  A specific Information Security Risk Register is reviewed and maintained at monthly SIRO meetings and considered quarterly at Information Management Board.	<b>6</b>	Likelihood 2 Impact 3	Deputy Chief Constable	Police and Crime Commissioner and Interim Chief of Staff



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37	Failure to comply with the requirements of the General Data Protection Regulation	<p>Failure to comply with all aspects of the regulations may result in regulatory action being taken by the Information Commissioners Office (ICO) which could result in a substantial monetary penalty.</p> <p>Findings made by the ICO are publicised and so the Force would be subject to reputational damage if members of the community believed that they were not handling personal and sensitive personal data in accordance with the Regulations.</p>	<p>Northumbria has implemented a GDPR Working Group to ensure readiness and compliance with regards to the regulations.</p> <p>A Project Plan emulating the ICO's "12 Steps to Readiness" has been implemented and is being followed with key timescales identified.</p> <p>Actions include:</p> <p>Appointment of a Force Data Protection Officer (DPO).</p> <p>Identification of data held across the organisation in order to formulate a centralised data asset register.</p> <p>Privacy Impact Notices (PIA's) are to be formalised with a governance process implemented to ensure ongoing compliance.</p> <p>Processes that require consent are being identified, reviewed and where necessary data amended or deleted.</p> <p>Individual rights in terms of consent and right to prevent processing are being reviewed with formal governance being implemented.</p> <p>Existing procedures in respect of Data Breaches is being reviewed to ensure required actions set out in the Regulations are met.</p> <p>The working group is working with the NPCC to ensure that formal training is made available to all staff and officers.</p> <p>Governance in respect of logging data, international transfers and the processing of extremely sensitive data is being implemented.</p>	<b>12</b>	Likelihood 3 Impact 4	Director of Finance and IT	Interim Chief of Staff
38	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>Regular dialogue between PCC and Chief Constable.</p> <p>OPCC Scrutiny meeting.</p> <p>Police &amp; Crime Panel.</p>	<b>3</b>	Likelihood 1 Impact 3	Chief Constable	Police and Crime Commissioner

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Strategic Risk		Consequence	Summary of Controls	RAG Likelihood (1-5) Impact (1-5)		Owner	
						COT/ Directors	OPCC
39	Estate risks around electrical and gas safety, water hygiene, asbestos containing materials and fire safety.	<p>Injury to building users.</p> <p>Litigation and civil claims.</p> <p>Negative impact on employees.</p> <p>Closure of buildings leading to major disruption and business continuity issues.</p>	<p>Policies and procedures in place.</p> <p>Fire risk assessments are in place for all properties occupied by OPCC.</p> <p>OPCC commissioned an in-depth independent survey of fire risk. The risk rating for all properties has been assessed as either 'trivial' or 'tolerable'. Implementation of Action Plan recommendations will ensure that the Chief Constable continues to meet his obligations in respect of the Regulatory Reform Fire Safety Order 2005.</p> <p>Regular maintenance of fire alarms and emergency lighting is undertaken in accordance with BS5839</p>	8	Likelihood 2 Impact 4	Director of Finance and IT	Interim Chief of Staff and Police and Crime Commissioner