

JOINT INDEPENDENT AUDIT COMMITTEE**MONDAY 21 SEPTEMBER 2026, 14:00 – 16:00****OFFICE OF THE POLICE AND CRIME COMMISSIONER, VICTORY HOUSE****AGENDA****OPEN SESSION**

- 1. INTRODUCTION**
- 2. DECLARATION OF INTEREST**
- 3. MINUTES OF THE OPEN SESSION OF THE JOINT INDEPENDENT AUDIT COMMITTEE 15 JUNE 2026**
(Attached)
- 4. MATTERS ARISING**
(Attached)
- 5. JOINT STRATEGIC RISK**
Corporate Governance Manager
(Paper attached)
- 6. JIAC REGULATORY FRAMEWORK ASSURANCE**
Chief Finance Officer
(Paper attached)
- 7. DATE TIME AND VENUE OF NEXT MEETING**
Monday, 23 November 2026, 14:00pm, Office of the Police and Crime Commissioner
- 8. EXCLUSION OF THE PRESS AND PUBLIC – EXEMPT BUSINESS**

The Committee is asked to pass a resolution to exclude the press and public from the meeting during consideration of the following items on the grounds indicated.

Agenda item number	Paragraph of Schedule 12A to the Local Government Act 1972
8	7
9	7
10	7
11	7
12	7
13	7
14	7

NORTHUMBRIA POLICE MINUTES**AGENDA ITEM 3**

Title	Meeting number
Joint Independent Audit Committee (JIAC)	02/26

Date	Location	Duration
15 June 2026	Victory House (Training room); Balliol Business Park	14:00 – 15:50

Present:

Committee Members:	C Young M Calam E Cocker A Wigmore C Winfield P Wood	Chair Vice Chair
---------------------------	---	---------------------------------

Officers:

R Durham	Office of Police and Crime Commissioner (OPCC) Chief of Staff and Monitoring Officer
J Meir	Deputy Chief Council (DCC)
G Thompson	Joint Chief Finance Officer (CFO)

Invitees:

R Bowmaker	Internal Audit, Gateshead Council
O Gascoigne	Internal Audit, RSM UK (present for agenda item 12.)
P Godden	Head of Corporate Development
D Harris	Internal Audit, RSM UK (present for agenda item 12.)
C Mellons	External Audit, Ernst and Young
R Merez	External Audit, Ernst and Young
A Mullen	Internal Audit, RSM UK (present for agenda item 12.)
T Reade	Corporate Governance Manager
H Richrdson-Harris	Executive Support Officer (Secretary)
M Graham	Governance and Planning Adviser (Secretary)

Apologies:

J Lawson	Assistant Chief Officer Corporate Services
----------	--

OPEN SESSION**I. INTRODUCTION**

Chair opened the meeting.

Update noted.

2. DECLARATION OF INTEREST

C Young noted they are now a member of the Ministry of Justice Pension Board.

3. MINUTES OF THE OPEN SESSION OF THE JOINT INDEPENDENT AUDIT COMMITTEE 23 FEBRUARY 2026

Agreed as a true and accurate record.

4. MATTERS ARISING

Action list updated.

5. ANNUAL TERMS OF REFERENCE REVIEW

No amendments to the term of reference were raised for consideration.

Update noted.

a. APPOINTMENT OF CHAIR

C Young announced the appointment of C Winfield as Chair of the Committee as of the next meeting, with M Calam to serve as Deputy Chair. C Young will remain a member of the Committee and provide any required support during the transition.

Update noted.

6. FINAL AUDITORS ANNUAL REPORT (AAR) 2024/25

External Audit took questions on the report provided and highlighted their clean opinion on the Chief Constable's accounts and a qualified opinion for the 2024/25 Police and Crime Commissioner (PCC) accounts.

Joint CFO advised that previously discussed staffing issues within the Finance department are acknowledged in the reporting, due to workload capacity challenges, decisions were taken to focus on payroll and pensions while pausing audits. A structure is now in place to meet all requirements and provide improved resilience in the department, though it was acknowledged that some staffing challenges do remain and are being addressed. DCC noted that the Executive Team were made aware of challenges within the Finance department throughout 2025 and support the new structure, vetting for key vacancies is being prioritised to ensure the Finance department is fully staffed as soon as possible.

It was advised that challenges were encountered when obtaining the datasets necessary for the audits, Ernst and Young have made changes to their processes to avoid these issues in future reporting, ongoing audits are expected by the end of the calendar year. Additional fees resulting from these delays have not been included in reporting to this meeting as they are not yet agreed by both parties. Once an agreement has been reached, this will be included in the next available instance to report to the Committee.

Update noted.

7. AUDIT PLANNING REPORT 2025/26

External Audit provide an overview of audit risks, noting this is a similar position to that reported in 2025 and acknowledged the amount of assumptions inherent in the valuation of land and buildings.

Update noted.

8. JIAC ANNUAL REPORT

A brief overview of the annual report was provided. M Calam noted their name has been spelt incorrectly and requested this be amended in the final version of the report.

Update noted.

9. JOINT STRATEGIC RISK REGISTER

Corporate Governance Manager provided an overview of the report and highlighted changes to the reporting of portfolio risks. 'Top' risks and their expected timelines are now identified by each Portfolio Governance Board and presented to the Force Assurance Board to ensure better visibility and executive oversight. Two major risks, operational and workforce, have been amended from high risk to medium, reflecting changes in regulation standards and current vacancy levels.

OPCC Chief of Staff advised there have been no changes to the OPCC risk register since previous reporting.

DCC provided insight into the risk register and the force's appetite for risk, talking through a Digital Policing risk as an example of how the force investigates, monitors and mitigates a risk.

M Calam advised the DCC's presentation was very insightful and advised that a similar short overview of other risk areas would be appreciated in future meetings.

Update noted.

10. TREASURY MANAGEMENT ANNUAL REPORT 2025/26

Joint CFO provided an overview of the report and noted that the force holds significant reserves to ensure it continues to be able to borrow money when required.

Update noted.

11. ANNUAL GOVERNANCE REVIEW – ASSURANCE FRAMEWORK 2025/26

Joint CFO introduced this section of the agenda, noting it is an annual review of effectiveness.

Update noted.

a) SENIOR MANAGERS ASSURANCE STATEMENTS

Internal Auditor provided a background on the statements presented, noting three partial agreements and 1 disagreement. Plans to approve and/or mitigate these partial agreements/disagreements are included in the papers provided and none are considered to represent a significant risk. The Committee noted the report.

Update noted.

b) REVIEW OF THE EFFECTIVENESS OF INTERNAL AUDIT

Internal Auditor advised the effectiveness of the internal audit has been assessed in 2024 and 2025 and found to be compliant. The Committee noted the report.

Update noted.

c) INTERNAL AUDIT ANNUAL REPORT

Internal Auditor advised it they find the Committee to be effective. The Committee noted the report.

Update noted.

d) ANNUAL GOVERNANCE – PRIMARY AND THEMATIC ASSURANCE REVIEW

i. Governance Arrangements

Head of Corporate Hub provided an overview of the paper.

Update noted.

ii. HMICFRS and Other Inspections

Head of Corporate Hub provided an overview of the paper.

Update noted.

iii. Risk Management Arrangements

Head of Corporate Hub provided an overview of the paper.

Update noted.

iv. Performance Management and Data Quality

Head of Corporate Hub provided an overview of the paper.

Update noted.

v. Legal and Regulatory Assurance

OPCC Chief of Staff provided an overview and noted there is nothing to impact on the annual governance statement.

Update noted.

vi. An Assessment of the Role of the CFO in Accordance with Best Practice

Joint CFO provided an overview. C Young noted the Committee's concerns on there being a Joint Chief Finance Officer covering both the force and the OPCC. The Joint

CFO stated that they believe the arrangement to be effective and beneficial to both the force and the OPCC. It was noted that early conversations are being held with the North East Mayor's Office regarding future arrangements once the role of the Police and Crime Commissioner is removed.

Update noted.

vii. External Audit Assurance

Joint CFO noted that this report contains positives and weaknesses linked to governance and capacity within the force.

Update noted.

viii. CIPFA Financial Management Code Self-Assessment

Joint CFO provided an overview of CIPFA findings and recommendations and the areas in which the force has assessed itself to be compliant against the CIPFA FM code.

Update noted.

ix. JIAC Regulatory Framework Assurance

Joint CFO provided an overview and suggested a refresh of these areas be provided in September and advised that the assurance report comes from the force's Chief Technology Officer.

ACTION: Joint CFO to provide a refresh of the JIAC Regulatory Framework Assurance report in September 2026.

Update noted.

x. Summary Report

DCC advised that the force is considering options for improved oversight of the Digital Policing as officers, including the Executive Team, do not have sufficient expertise. External providers currently assist with Digital Policing oversight.

Update noted.

12. INTERNAL AUDIT CHARTER, STRATEGY STATEMENT 2026/27 – 2028/29 AND ANNUAL AUDIT PLAN

Three representatives from new internal auditor RSM introduced themselves and provided an overview of the draft internal audit strategy 2026/27, noting that feedback has been received from the Joint Governance Group and the Force Assurance Board.

The Committee approved of the plan, noting that it is well laid-out and approved of the inclusion of vetting and cyber security. Joint CFO advised that a copy of the plan will be circulated to the Committee once a final version is agreed.

Update noted.

13. DATE TIME AND VENUE OF NEXT MEETING

Monday, 21 September 2026, 14:00pm, Office of the Police and Crime Commissioner for Northumbria; Victory House (Training room); Balliol Business Park; Benton Lane; Newcastle; NE12 8EW

14. EXCLUSION OF THE PRESS AND PUBLIC – EXEMPT BUSINESS

The Committee passed a resolution to exclude the press and public from the meeting during consideration of the following items on the grounds indicated.

Agenda item number	Paragraph of Schedule 12A to the Local Government Act 1972
15	7
16	7
17	7
18	7
19	7
20	7
21	7

AGENDA ITEM 04

Reference	Meeting	Agenda Item/Title/Context	Open/Closed Session	Action	Detail	Assigned to	Update
JJAC010	JJAC 02/25	09. Joint Independent Audit Committee Annual Report Chair provided an overview of the annual report, confirming the appointment of two new members, Mary Calam and Andrew Wignmore and reaffirmed the Committee's approval of the revised Terms of Reference. P Wood queried what measures hold the Committee and members to account and if these are deemed sufficient. It was noted that the quarterly JJAC meetings attended by either the Chief Constable and Police and Crime Commissioner or their representatives provide oversight, Committee members hold each other to account, and oversight is also provided by the external auditor. Corporate Governance Manager noted that as no concerns have been raised regarding any current Committee members there has been no need for additional scrutiny or for discussions on holding members to account. It was suggested that further clarity on this could be provided in future reports from the Committee, with assistance from the OPCC Chief of Staff and Monitoring Officer. It was also suggested that Committee members could be provided with peer-to-peer talks with members of JJACs from other police forces.	OPEN	ACTION	To explore options regarding peer-to-peer discussions with JJAC members from other police forces.	OPCC Chief of Staff and Monitoring Officer	10/09/26 - OPCC Chief of Staff to discuss approach with the Chair and Deputy Chair at their meeting on 17 September. 15/06/26 - Durham is currently appointing a new Chair and Vice Chair, however discussions are ongoing. 26/11/25 - Durham and Cleveland JJACs work from very different models but this is not expected to stop collaboration, work is ongoing to arrange discussions. 22/09/25 - Durham and Cleveland OPCC officers are receptive to collaboration, further discussion to be held in October. Chief of Staff has met with the Chair and Vice Chair and will contact Durham and Cleveland OPCC officers to explore options regarding peer-to-peer discussions for the Chair and Vice Chair with their JJAC Chairs to consider sharing best practice.
JJAC018	JJAC 01/26	05. Joint Audit Results Report (ARR) 2024/25 A query was also raised on the Force's ledger system; it was advised the Force is exploring how to better utilise the technology it has, switching to a new ledger system is not considered a viable option. External Advisor suggested using different codes to differentiate between transactions assigned to the Chief Constable and the PCC could quickly remove the need for quarterly exercises currently needed to distinguish between the two. C Winfield requested the Committee receive a copy of the relevant accounts in the future to improve their understanding and the feedback they provide; Joint CFO advised a copy of the draft accounts will be provided going forward.	OPEN	ACTION	To provide a copy of the relevant draft accounts for agenda items in future meetings.	Joint Chief Finance Officer	10/09/26 - Draft Accounts were shared with JJAC members on 2 July 2026 following publication on the statutory deadline of 30 June 2026.
JJAC021	JJAC 01/26	11. 2026 Upcoming Papers Deputy Chair requested further clarity be provided on how the various upcoming agenda items relate to each other, Joint CFO advised a revised overview will be provided in June.	OPEN	ACTION	To provide a revised overview of upcoming papers at the June meeting, providing information on how agenda items relate to and inform one another.	Joint Chief Finance Officer	
JJAC025	JJAC 02/26	11. Annual Governance Review - Assurance Framework 2025/26 d) Annual Governance - Primary and Thematic Assurance Review ix. JJAC Regulatory Framework Assurance Joint CFO provided an overview and suggested a refresh of these areas be provided in September	OPEN	ACTION	To provide a refresh of the JJAC Regulatory Framework Assurance report in September 2026.	Joint Chief Finance Officer	10/09/26 - Included within Agenda at item 6

Joint Independent Audit Committee	21 September 2026
Joint Strategic Risk Register	
Report of: Ruth Durham, Chief of Staff and Monitoring Officer and Jayne Meir, Deputy Chief Constable	
Author: Paul Godden, Head of Corporate Development	

1. PURPOSE

- 1.1 To present the Joint Strategic Risk Register (JSRR).

2. BACKGROUND

- 2.1 Northumbria Police and the Office of the Police and Crime Commissioner (OPCC) share a JSRR. Each strategic risk is assigned a Chief Officer or OPCC owner, who has responsibility for the management of controls and the implementation of new controls where necessary.

Governance of the Joint Strategic Risk Register

- 2.2 The JSRR identifies each risk, provides context to the risk, and identifies current factors affecting thematic areas and captures the consequences if it were to happen. It also provides a summary of existing controls split between core business and time bound controls, and rates risks on the likelihood of the risk occurring and the impact it would have. All risks are regularly reviewed by the respective owners and updated, where necessary.
- 2.3 Area Commanders, Department Heads, Senior Leadership Teams and the OPCC are responsible for the identification of emerging risks, some of which might not be controlled locally and have the potential to prevent the Force and PCC from achieving objectives.
- 2.4 Risks are escalated in-line with the governance and decision-making structures and recorded on the JSRR. Recommendations and areas for improvement following external inspections are considered to ensure they are adequately reflected in current risks.
- 2.5 The JSRR is reported to the Joint Business Meeting between the PCC and the Chief Constable on a quarterly basis. This presents the Force Strategic Risk Register (FSRR) alongside the OPCC Strategic Risk Register. The Joint PCC/Chief Constable Governance Group and Joint Independent Audit Committee (JIAC) provide additional scrutiny and governance on a quarterly basis.

Key changes to the OPCC Strategic Risk Register

- 2.6 Appendix A provides an overview of the current Red, Amber, Green (RAG) status of the strategic risks for the Northumbria OPCC, alongside the OPCC Strategic Risk Register.

Risk 1 – Finance

- 2.7 The finance risk has been updated to reflect the pay award outcome, funding and financial position 2026/27.

Risk 2 – Governance

- 2.8 Since the announcement of the Police Reform agenda in November 2025 and the subsequent White Paper we continue to monitor the development and impact on governance. In preparation we continue to engage with the NE Mayoral Strategic Authority in respect of transition in May 2028.

Risk 4 – Public Confidence

- 2.9 Public confidence remains a focus and the PCC will ensure that following the engagement and publication of a new Police and Crime Plan that focus for her partnership work and holding to account will prioritise those issues that matter to communities.

Thematic Risk Area	Likelihood	Impact	RAG
Finance	High (4)	High (4)	High (16)
Governance	Very Low (1)	Low (2)	Low (2)
Partnerships and Collaboration	Low (2)	High (4)	Medium (8)
Public Confidence	Low (2)	High (4)	Medium (8)

Force Strategic Risk Register

- 2.10 The FSRR captures risk(s) in thematic areas: Digital Policing; Finance; Governance; Information and Data Management; Information and Data Quality; Infrastructure and Assets; Operational; Partnership and Collaboration; Projects/Programmes; Public Confidence; Regulation and Standards; Strategy; and Workforce.
- 2.11 Appendix B provides an overview of the current RAG status of the strategic risks for Northumbria Police, alongside the FSRR. (Thematic risk areas are recorded alphabetically for ease of reference only.)
- 2.12 There remain a number of time bound controls where an expected delivery date is still to be confirmed; these are in areas where there is additional complexity or where there is current work ongoing on the development of delivery plans.

Key changes to the Force Strategic Risk Register

Regulation & Standards – Standards, conduct and behaviours of the workforce are not in-line with Northumbria Police values and the Code of Ethics.

Northumbria Police and/or its staff, fail to operate within the regulatory framework defined by law or by force policy. In doing so, creating risks which may result in harm to individuals, groups or organisations.

- 2.13 Controls include the establishment of a Gold Group to provide strategic oversight and governance for the delivery of pension remedy obligations, ensuring full compliance with statutory requirements and mitigating implementation risks. This included agreement for external consultancy to address the backlog. Further external provision for pension services is being progressed; timescale to be confirmed.
- 2.14 The assessment of risk across the thematic area remains as likelihood medium (3); impact medium (3).

- 2.15 The current assessment of Force strategic risk across the thematic areas is unchanged:

Thematic Risk Area	Likelihood	Impact	RAG
Digital Policing	Medium (3)	High (4)	High (12)
Finance	High (4)	High (4)	High (16)
Governance	Low (2)	Low (2)	Low (4)
Information & Data Management	Medium (3)	High (4)	High (12)
Information and Data Quality	Low (2)	High (4)	Medium (8)
Infrastructure and Assets	Low (2)	Medium (3)	Medium (6)
Operational	Medium (3)	Medium (3)	Medium (9)
Partnership and Collaboration	Low (2)	High (4)	Medium (8)
Projects/Programmes	Low (2)	High (4)	Medium (8)
Public Confidence	Low (2)	High (4)	Medium (8)
Regulation and Standards	Medium (3)	Medium (3)	Medium (9)
Strategy	Low (2)	High (4)	Medium (8)
Workforce	Medium (3)	Medium (3)	Medium (9)

Reported Portfolio Risks

- 2.16 Heads of Department / Area Commanders continue to identify and manage those risks requiring more active monitoring and oversight at Portfolio Governance Boards and reporting at Force Assurance Board (Appendix C). In some instances a number of local risks are linked and a portfolio risk has been developed and added to the local risk register. No additional risks have been escalated to the FSRR.
- 2.17 Management of property-related risks including consideration of existing infrastructure and asset risks surrounding property storage, evidential material, booked-out property and future estate capacity through internal governance are outside of the reporting timeframe for this meeting
- 2.18 Further information on the risks associated with property management will, therefore, be presented at the next JIAC for members' consideration to support the Committee to provide independent assurance on the adequacy and effectiveness of the risk management framework and the associated control environment.
- 2.19 The increase in the number and complexity of Notifiable Inappropriate Associations reported as being escalated to the FSRR at the last meeting is being managed at the Deputy Chief Constable's Portfolio Governance Board alongside an increase in the volume of requests for legal advice and gaps in digital service delivery following publication of update authorised professional practice for Media and Communications which provides guidance on engaging with the community, communication platforms and relations with the media.
- 2.20 De-escalation of risks has been agreed where appropriate governance and controls are now firmly established. Assurance was provided that local oversight arrangements remained robust and that de-escalation did not represent closure of the risk itself.

2.21 CONSIDERATIONS

Government Security Classification	Official
Freedom of Information	Non-Exempt
Consultation	Yes
Resources	No
<i>There are no additional financial considerations arising from this report.</i>	
Code of Ethics	No
<i>There are no ethical implications arising from the content of this report.</i>	
Equality	No
<i>There are no equality implications arising from the content of this report.</i>	
Legal	No
<i>There are no legal considerations arising from the content of this report.</i>	
Risk	No
<i>There are no additional risk management implications directly arising from this report.</i>	
Communication	No
Evaluation	No

Agenda Item xx APPENDIX C**Overview of the RAG status of Strategic Risk – OPCC**

LIKELIHOOD	Very High (5)				
	High (4)			(OPCC) Finance	
	Medium (3)				
	Low (2)			(OPCC) Partnership and Collaboration (OPCC) Public Confidence	
	Very Low (1)	(OPCC) Governance			
		Very Low (1)	Low (2)	Medium (3)	High (4)
IMPACT					

OPCC has identified risks in four thematic risk areas: Finance; Governance; Partnership and Collaboration; and Public Confidence

OPCC	Strategic Risk – Finance (OPCC) Government reduces funding to PCCs/Police Forces which results in a reduced service ability. The need to contain expenditure within available resources and enable Northumbria Police to police effectively.
	Context - ▪ The review of the funding formula used by government to distribute grant funding to police forces in England and Wales may lead to a reduction in the percentage of central government police funding allocated to Northumbria. ▪ The PCC has a robust, balanced Medium-Term Financial Strategy (MTFS) that meets the medium-term financial plans of the Chief Constable and facilitates delivery against the Police and Crime Plan. ▪ The balanced nature is predicated by the risk of Home Office funding being guaranteed for one year only which requires an annual review of the MTFS and potential reprioritisation of spending plans. ▪ The MTFS 2026/27 to 2029/30 includes a savings target for the force of £6.0m and the balanced MTFS is predicated on this being achieved. ▪ Affordability may also be affected by global cost pressures, government policy decisions, and cost of living increases that are not funded within the grant settlement; or changes in national interest rates driving up the cost of borrowing, leading to the necessity for efficiencies or reductions in services. ▪ Reserves policy is crucial to medium-term sustainability. ▪ In-year financial monitoring must be robust.
	Owner(s) Chief Finance Officer – OPCC
	Governance and Oversight Joint Business Meeting/OPCC Business Meeting
Current factors	▪ The Comprehensive Spending Review (CSR) announcement in June 2025 did not provide any clarity on future government funding over the medium term, only high-level estimates of total police funding through to 2028/29, which included CT Policing, top-slice and Council Tax assumptions for which no detail was shared. ▪ The final police funding settlement for 2026/27 was published on 28 January 2026. It is one-year only and provides no information for future years. ▪ The share of additional grant funding for Northumbria Police is £10.871m which represents a funding shortfall against our expectation. ▪ The primary reason for the shortfall is the removal of the specific grant for Uplift Overshoot (additional recruitment to meet national Uplift targets) which represents a loss of £6.1m for 2026/27 and a further loss of £2.5m in future years relating to pay progression. ▪ Referendum limit for precept increase confirmed at £15.00 per year for a Band D property. The government acknowledged the particular financial challenge faced by a small number of forces

Agenda Item xx APPENDIX C

	including Northumbria Police and approved an exceptional precept referendum limit of £18.50 per year for a Band D property, for those forces only. ▪ Funding of £200 million nationally was provided for the Neighbourhood Policing Guarantee (NPG) in 2025-26. Forces were previously told that this would be Year 1 of the Government's pledge for a national 13,000 increase in resources to Neighbourhoods. ▪ Funding provided in 2026/27 (Year 2) is only £50 million nationally, allocated to increase the total number of officers and PCSOs assigned to neighbourhood policing by 1,750. Northumbria Police will receive their funding formula share (3.08%) which equates to £1.540m, to deliver 54 posts. This equates to only £29,000 per post. ▪ Whilst the Home Office provided additional funding for the cost of higher pay awards in previous years, the messaging for 2026/27 was that the full year impact of the 2025 pay award, and any future year pay awards, would need to be met in full, from within annual settlement allocations. However, in July 2026 the Home Office confirmed additional funding of £84m for the part year impact of the 2026/27 officer pay award of 3.5% and committed full year funding through to 2028/29. ▪ There is still an expectation that the review of the Police Allocation Formula (PAF) will be delivered under the new Government however, timescales are yet to be clarified and likely to be addressed as part of the wider police reform measures under the White Paper. ▪ Whilst inflationary rises remain a pressure across non-pay budgets for 2026/27, rates were anticipated to be lower than experienced in recent years. However, current geo-political instability in the Gulf region is now placing additional pressure on budgets in 2026/27, particularly across fuel, energy, ICT hardware and construction. ▪ At this time, financial reserves held and the robust controls detailed below mitigate in the short term the consequence.
Potential consequence	▪ Short notice change to national funding may require a change in short and medium-term force financial planning, including a need to deliver unplanned savings thereby impacting on service delivery. ▪ Any in-year or longer-term pressures or extraordinary events which become a forecast overspend must be addressed through consideration of in-year savings and efficiencies, potential use of relevant reserves and discussion with the CC.
Summary of Controls	Core controls ▪ Strategic engagement in respect of any proposed review of the funding formula. ▪ Transparent ownership of financial matters between the PCC and CC. ▪ Comprehensive approach using Priority Based Budgeting to identify areas of efficiency and investment, and an annual budget setting process. ▪ Well understood in-year financial monitoring and reporting governance. ▪ Medium- and long-term financial planning. ▪ Regular oversight of revenue and capital budget. ▪ Maintain adequate risk assessed reserves.

Agenda Item xx APPENDIX C

	▪ Pay Inflation Reserve to mitigate impact of higher pay awards. ▪ Ongoing consultation, engagement and lobbying alongside and independently with the Police and Crime Commissioners Treasurers Society, NPCC Treasurers Group and the Home Office to influence funding for policing in the North East. ▪ Audit Committee/Internal Audit/Treasury Management strategy in place and outcomes reviewed by PCC. ▪ HMICFRS inspection regime.	
	Time-bound	Expected Delivery
	There are no time-bound controls	
Likelihood Impact	4 4	16

OPCC	Strategic Risk – Governance (OPCC) Existing arrangements for the PCC to carry out robust scrutiny and hold the Chief Constable to account for efficient and effective delivery of the Police and Crime Plan are ineffective or inconsistent.
	Context - ▪ Ineffective governance, scrutiny, oversight of services and outcomes delivered and lack of reaction to organisational learning by Northumbria Police. ▪ Need to target resources and priorities towards changing performance/landscapes or community needs. ▪ Chief Constable setting high performance standards. ▪ Chief Constable leading a representative workforce that demonstrates the highest levels of integrity, fairness and respect towards others. ▪ Trust in the transparency of Northumbria Police. ▪ Effective governance includes oversight of complaints against Northumbria Police. ▪ Effective systems and controls to manage risk are needed to support the delivery of service. ▪ A strong relationship between the Office of the Police and Crime Commissioner and Force which is resilient to external factors.
Owner(s)	Chief of Staff and Monitoring Officer
Governance and Oversight	Joint Business Meeting/ Annual Scrutiny Programme/CC/PCC Governance Meeting/ JIAC/Police and Crime Panel/PCC/CC 1:1 Meeting
Current factors	▪ Understanding the governments approach to crime, policing and criminal justice including the review of police accountability and the current police reform programme led by the Home Secretary.
Potential consequence	▪ Loss of public confidence. ▪ Reputational risk. ▪ A decline in quality and service delivery, leading to a reduction in public satisfaction with policing. ▪ Deteriorating performance resulting in policing priorities not being achieved. ▪ Poor relationship with Northumbria Police. ▪ Government intervention. ▪ Challenge by the Police and Crime Panel. ▪ Adverse external inspection reports, leading to recommendations and potential escalation.
Summary of Controls	Core controls ▪ Police and Crime Plan (regularly reviewed). ▪ Joint Business Meeting. ▪ Annual Scrutiny Programme. ▪ Provision of the complaints statutory review process. ▪ Public and partnership engagement - External Advisory Panel Framework ▪ PCC and Chief Constable 1:1s. ▪ Police and Crime Panel scrutiny. ▪ Scrutinising force response to HMICFRS inspection findings.

Agenda Item xx APPENDIX C

	Audit Committee, audit, annual governance statement, Internal Audit.	
	Time-bound	Expected Delivery
	- Refresh of the Police and Crime Plan to ensure that policing and crime priorities reflect current local concerns and national policing priorities and the annual scrutiny programme aligns. - Involvement in national conversations with the Home Office and the Association of Police and Crime Commissioners in respect of police governance reform to help shape legislation. Police reform legislation is expected early September.	- June 2026 – engagement now started. Plan to be developed by October 2026. - Autumn 2026
Likelihood Impact	1 2	2

OPCC	Strategic Risk – Partnership & Collaboration (OPCC) Reduction in or withdrawal of partnership working for the OPCC leading to a failure to identify, develop and retain collaborative arrangements that support communities with sustainable multi agency responses.
	Context - ▪ Challenging budget and service pressures within partner organisations both in public and voluntary sector can lead to silo working. ▪ Potential for national issues and crisis to affect collaborative working. ▪ Requirement to retain engagement of the public as a partner. ▪ Ensuring external factors do not alter relationships preventing joint working. ▪ Clear outcomes not being identified and reported can risk sustainability and ongoing partner engagement. ▪ Uncertainty of long-term sustained resourcing to deliver current public health approach collaboration - Violence Reduction Unit and other joint projects including Victims Service Provision.
Owner(s)	Chief of Staff and Monitoring Officer
Governance and Oversight	Joint Business Meeting/VRU Strategic Board/Local Criminal Justice Board/ASB Strategic Board
Current factors	▪ Home Office announcement of the change in police governance structures with the roles transferring to elected mayors or policing boards by 2028. ▪ Current economic crisis and funding pressures on partners. ▪ Understanding the new governments approach to crime, policing and criminal justice.
Potential consequence	▪ Reduced public confidence. ▪ Reduced opportunities for more efficient and effective services. ▪ Missed opportunities to prevent and reduce crime and disorder and maintain an efficient and effective Criminal Justice System.
Summary of Controls	Core controls ▪ Effective partnership/commissioning governance arrangements that identify and report outcomes and progress. ▪ Comprehensive public engagement and communication strategies to inform multi agency responses and effective scrutiny. ▪ Scrutiny of effectiveness of Force collaborative activity. ▪ Focus on accessing funds for collaborative working and lobbying government for sustained funding streams. ▪ VRU Strategic Board and Response Strategy. ▪ PCC chairs Local Criminal Justice Board and ASB Strategic Board. ▪ Collaboration and engagement with other PCCs, nationally and regionally. ▪ Comprehensive engagement and monitoring of commissioned services. ▪ Regular 'sector' engagement meetings with potential and current partners.

Agenda Item xx APPENDIX C

	Time-bound	Expected Delivery
	Refresh of the Police and Crime Plan to ensure that policing and crime priorities reflect current local concerns and national policing priorities and the annual scrutiny programme aligns.	October 2026
Likelihood Impact	2 4	8

OPCC	Strategic Risk – Public Confidence (OPCC) Loss of public confidence in the PCC resulting from a lack of engagement and communication, leading to a failure to reflect public priorities in the Police and Crime Plan. Failure to hold the Chief Constable to account on behalf of the public for delivery of their priorities or other statutory obligations.
	Context - ▪ A robust communications plan is needed to demonstrate effective and visible accountability of the Chief Constable to the PCC. ▪ Delivery of the Police and Crime Plan 2025-2029 alongside understanding and responding to changing community priorities ▪ Engagement with communities, through external advisory panels and the complaints process to respond to trends or concerns identified ensuring organisational learning. ▪ OPCC business must ensure compliance with legal, information management legislation, transparency guidance and the public sector equality duty. ▪ Continue to reassure communities through robust scrutiny of Northumbria Police and engagement with partners and communities.
Owner(s)	Chief of Staff and Monitoring Officer
Governance and Oversight	Joint Business Meeting/Annual Scrutiny Programme
Current factors	▪ PCCs Police and Crime Plan ▪ Home Office announcement of the change in police governance structures with the role transferring to elected mayors or policing boards by 2028. ▪ Role of events in the media and on social media in shaping public perceptions.
Potential consequence	▪ Reputational damage. ▪ Police and Crime Plan and delivery not aligned to public priorities. ▪ Loss of trust/confidence in the PCC as a result of crime perceptions. ▪ Poor service delivery damages public confidence. ▪ Relationship with force and partners. ▪ Government penalties due to poor assessment results.
Summary of Controls	Core controls ▪ Police and Crime Plan (regularly updated to reflect emerging priorities). ▪ Annual Scrutiny Programme and quarterly OPCC service confidence in policing report from the PCC to the Chief Constable. ▪ Police and Crime Panel Scrutiny. ▪ Reporting back to the public crime data and on their concerns and progress towards the Police and Crime plan. ▪ External evaluations including impact of the VRU. ▪ Rolling programme of PCC engagement across demographics and issue-based topics. ▪ Annual Report. ▪ Governance Framework. ▪ Annual Assurance Statement/Audit Committee/Internal Audit.

Agenda Item xx APPENDIX C

	▪ OPCC website and social media. ▪ Data Protection Officer. ▪ Complaints review process. ▪ Service level agreement with Northumbria Police. ▪ External Advisory Panel Framework.	
	Time-bound	Expected Delivery
	▪ The development of the Police and Crime Plan will steer the future direction of the PCCs partnership working and holding to account of the Chief Constable, and specific focus will be given to those areas identified by communities e.g. Anti-Social Behaviour motorbikes.	▪ December 2026
Likelihood Impact	2 4	8

Agenda Item xx APPENDIX A**Overview of the RAG status of Strategic Risk – Northumbria Police
IMPACT**

LIKELIHOOD	Very High (5)				
	High (4)			B - Finance	
	Medium (3)		G - Operational K - Regulation & Standards M - Workforce	A - Digital Policing D - Information & Data Management	
	Low (2)	C - Governance	F - Infrastructure and Assets	E - Information & Data Quality H - Partnership & Collaboration I - Projects/ Programmes J - Public Confidence L - Strategy	
	Very Low (1)				
	Very Low (1)	Low (2)	Medium (3)	High (4)	Very High (5)

Assessment of Risk

Risks are rated on the basis of the likelihood of the risk materialising and the impact this would have. It is recognised rating risk is not an exact science and should be informed by evidence where possible.

The 'Context' provides details of the circumstances that form the setting for the risk to assist understanding.

'Current factors' provide information about what is influencing the risk and contributing to the strategic assessment of the risk at the current time.

Professional knowledge, judgement and active consideration are applied in assessing the likelihood and impact of a risk materialising; this is more important than the nominal rating itself.

The purpose of the rating of risk is to focus attention to ensure appropriate and proportionate mitigation plans and controls are in place.

L i k e l i h o o d	5. VERY HIGH	5	10	15	20	25
	4. HIGH	4	8	12	16	20
	3. MEDIUM	3	6	9	12	15
	2. LOW	2	4	6	8	10
	1. VERY LOW	1	2	3	4	5
		1. VERY LOW	2. LOW	3. MEDIUM	4. HIGH	5. VERY HIGH
	Impact					

The overall outcome of a risk rating assessment will identify the risk as being **very low/low (Green)**, **medium (Amber)** or **high/very high (Red)**. The residual risk rating is included on the Force Strategic Risk Register as a single overall score (identified by multiplying the impact by the likelihood rating) after controls/mitigations have been put in place.

Key:

Green: Very Low/Low

Unlikely to occur or the risk is fully manageable. Likely to lead to no or only tolerable delay in the achievement of priorities.

Agenda Item xx APPENDIX A

Amber: Medium

The Force is actively managing the risk as is practicable. The risk may lead to moderate impact on the achievement of priorities.

Red: High/Very High

The Force has only limited ability to influence in the short term; however, is actively managing. The risk may lead to considerable impact on the achievement of priorities.

**Risk Appetite Keys:
Position:**

Current: the risk level at which the Force is currently operating. This level is tolerated by default, as cessation of activity is not an option. Risks are subject to management to drive activity into tolerance or appetite.

Tolerable: the level of risk with which the Force is willing to operate given current constraints. This balances the funding position with the position outlined in the Force's purpose, vision and strategic objectives. The tolerable position will shrink as the Force optimises the risk position.

Optimal: the level of risk with which the Force aims to operate. This is informed by the Force's purpose, vision and strategic objectives.

Level:

Averse (Low): Avoidance of risk and uncertainty is a key objective.

Minimalist (Medium Low): Preference for ultra-safe options that have a low degree of inherent risk and only have a potential for limited reward.

Cautious (Medium): Preference for safe options that have a low degree of residual risk and may only have limited potential for reward.

Open (Medium High): Willing to consider all options and choose the one that is most likely to result in successful delivery while also providing an acceptable level of reward.

Hungry (High): Eager to be innovative and to choose options based on potential higher rewards (despite greater inherent risk).

Agenda Item xx APPENDIX A

A	Strategic Risk Area – Digital Policing		
	Risk Appetite	Current/Tolerable	Optimal
		Cautious	Cautious
	Risk – Inability of the Force to respond effectively to service demand due to loss or failure of mission and business critical technology solutions.		
	Context – ▪ Limitations of current digital policing systems, which impacts service delivery. ▪ Loss of critical digital policing services. ▪ Significant information technology (IT) projects and programmes. ▪ A malicious intent to compromise or access information or data. ▪ Failure of national projects to deliver on time and to specification. ▪ Compromise of security perimeter devices leading to a compromise of the Force core network and a breach of confidentiality and integrity of Force data, and subsequent impact to national systems.		
Owner(s)	Assistant Chief Constable (Force Innovation)		
Governance & Oversight	Force Innovation Portfolio Governance Board		
Current factors	▪ Lack of skills and/or capacity to fulfil business as usual and change activities in parallel. ▪ Legacy technology estate carrying a low level of documentation, coupled with loss of knowledge and introduction of new staff. ▪ Some technologies are no longer covered under a commercial contract for support and maintenance. ▪ Some technologies are no longer supported by the vendor resulting in a lack of security patching and feature upgrades. ▪ Lack of standardisation across the technology estate. ▪ Unclear business ownership aligned to technologies to effect business representation against contract renewals and license allocation. ▪ Disparate applications with unclear alignment to Force capabilities. ▪ No formally agreed Service Level Agreements (SLAs) with the business in relation to technology availability and recovery. ▪ An organically grown network which is lacking consistency and standardisation. ▪ A significant weakness was highlighted during the internal audit in May 24. This relates to the visibility and reporting of the network security posture, and more specifically the patch status of network devices. ▪ 999 telephony platform functionality (six second delay).		
Potential consequence	▪ Ineffective IT system to support business processes. ▪ Inability to effectively communicate with partners and the public. ▪ Loss of information from systems as a result of a cyber-attack. ▪ Removal from the Public Service Network (PSN/p) may be considered if the Force network is found to have been compromised. ▪ Loss of confidence in systems and the organisation from users, the public and partner organisations.		

Agenda Item xx APPENDIX A

	▪ Loss of people data due to out of service life and unsupported core people systems internally and externally. ▪ Confidentiality and integrity risk to Force data and systems and potentially national policing data and systems. ▪ The ability to carry out impact assessments based on new vulnerabilities is manual and therefore may result in devices missing critical and non-critical updates within a suitable timeframe.
--	--

Summary of Controls	Core Business ▪ Digital Policing Board Key Performance Indicator (KPI) to track and maintain oversight of both National Management Centre (NMC) alerts and patching. ▪ New major IT organisational restructure approved with 96% of vacancies filled increasing leadership, capability and capacity. ▪ Audit regime to test internal switches and disablement when required. ▪ Effective Cyber Incident Response Plan (CIRP) in place. ▪ Patching policy in place to ensure daily checks and patching regime on network and infrastructure devices is maintained and reported. ▪ Centralised hardware security monitoring fully operable via the NMC provided by the National Enabling Programme. ▪ Increased the number of devices being monitored (Meraki devices) by the central monitoring by NMC. ▪ Close direct relationships with Cyber support and oversight provided by the National Cyber Security Centre (NCSC). ▪ Greater security enhancement via enhanced Firewalls, access controls including use of Administrative Username and Password in place and further investment in new F5 technology across the Force network. ▪ Annual and ad-hoc penetration testing regime embedded. ▪ Implementation of Smart Contact Command and Control solutions removing the threat of loss of 999 and 101 calls due to loss of NPICCS. ▪ Increase in the frequency and types of backups of the people data and full system backups to minimise any loss. ▪ Periodic restores and read tests in place to ensure backup is viable. ▪ Implementation of Digital Roadmap provides visibility and buy-in from key stakeholders against all change activities required	
	Time-bound	Expected Delivery
	▪ Extension of existing Cobol resources.	End of 2026
	▪ Discovery and modelling of the entire technology estate has commenced. This will provide full documentation and understanding of linked assets, and the ability to carry out effective assessment to drive improvements.	March 2027
	▪ Tender being shaped to redesign and deliver a transformed Local Area Network (LAN).	March 2027

Agenda Item xx APPENDIX A

	Disaster recovery controls in formation to deliver appropriate management of core system recovery and associated business continuity plans.	June 2026
	Communications Department liaison with British Telecom around performance improvements with telephony platform functionality.	To be confirmed.
Likelihood Impact	3 4	12

Agenda Item xx APPENDIX A

B	Strategic Risk Area – Finance		
	Risk Appetite	Current/Tolerable	Optimal
		Cautious	Cautious
	Risk – Reduction in funding and/or funding pressures which require changes to financial planning and/or a change to the resourcing of service delivery.		
	Context - ▪ A review of the funding formula used by government to distribute grant funding to police forces in England and Wales may lead to a reduction in the percentage of central government police funding allocated to Northumbria Police. ▪ Reduction in central government funding as announced in the annual Home Office (HO) Police Funding Settlement. ▪ The funding settlement currently provides certainty for only one financial year and carries continued long-term uncertainty over several funding strands, including NPG, National Insurance Compensation and Pensions. ▪ Continued global cost pressures and cost of living increases are not funded with the grant settlement, leading to the necessity for efficiencies. ▪ Other public sector funding reductions may reduce services provided, leading to increased service pressure on Northumbria Police and a need to look at potential collaboration opportunities. ▪ In-year events or changes, outside of Northumbria Police's control, may lead to unbudgeted costs that cannot be met from within the annual budget.		
Owner(s)	Chief Constable and Chief Finance Officer (CFO)		
Governance & Oversight	Executive Board / Joint Business Meeting		
Current factors	▪ The Comprehensive Spending Review (CSR) announcement in June 2025 did not provide any clarity on future government funding over the medium term, only high-level estimates of total police funding through to 2028/29, which included CT Policing, top-slice and Council Tax assumptions for which no detail was shared. ▪ The final police funding settlement for 2026/27 was published on 28 January 2026. It is one-year only and provides no information for future years. ▪ The share of additional grant funding for Northumbria Police is £10.871m which represents a funding shortfall against our expectation. ▪ The primary reason for the shortfall is the removal of the specific grant for Uplift Overshoot (additional recruitment to meet national Uplift targets) which represents a loss of £6.1m for 2026/27 and a further loss of £2.5m in future years relating to pay progression. ▪ Referendum limit for precept increase confirmed at £15.00 per year for a Band D property. The government acknowledged the particular financial challenge faced by a small number of forces including Northumbria Police and approved an exceptional		

Agenda Item xx APPENDIX A

	precept referendum limit of £18.50 per year for a Band D property, for those forces only. ▪ Funding of £200 million nationally was provided for the Neighbourhood Policing Guarantee (NPG) in 2025-26. Forces were previously told that this would be Year 1 of the Government's pledge for a national 13,000 increase in resources to Neighbourhoods. ▪ Funding provided in 2026/27 (Year 2) is only £50 million nationally, allocated to increase the total number of officers and PCSOs assigned to neighborhood policing by 1,750. Northumbria Police will receive their funding formula share (3.08%) which equates to £1.540m, to deliver 54 posts. This equates to only £29,000 per post. ▪ Police Officer and Police Staff pay awards were agreed for 2025 at 4.2%, which was above the budgeted level of 2.5%. National funding of £120m was made available by the Home Office to compensate forces for the part year impact in 2025/26. The Home Office have stated that the full year impact of the 2025 pay award, and any future year pay awards, will need to be met in full, from within annual settlement allocations, no further in-year additional funding will be available. ▪ At this time, the budget position for 2025/26, financial reserves held and the robust controls detailed below mitigate in the short term the consequence. ▪ There is still an expectation that the review of the Police Allocation Formula (PAF) will be delivered under the new Government however, timescales are yet to be clarified and likely to be addressed as part of the wider police reform measures under the White Paper. ▪ Whilst inflationary rises remain a pressure across non-pay budgets for 2026/27, rates were anticipated to be lower than experienced in recent years. However, current geo-political instability in the Gulf region is now expected to place additional pressure on budgets in 2026/27, particularly across fuel, energy, ICT hardware and construction.
Potential consequence	▪ A reduction to national funding, short notice changes or extraordinary increases in cost may require a change in short and medium-term force financial planning, including a need to deliver unplanned efficiencies and savings thereby impacting on service delivery. ▪ Any in-year pressures which become a forecast overspend must be addressed through consideration of in-year efficiencies and discussions with the Police and Crime Commissioner (PCC) relating to any appropriate use of reserves to manage the in-year impact.
Summary of Controls	Core Business ▪ Transparent ownership of financial matters between the PCC and Chief Constable. ▪ Well, understood in-year financial monitoring and reporting governance. ▪ An effective Reserves Strategy to provide mitigation against known and potential future events (Inflationary Risk, Pay Inflation, Emergency Services Network, Operational Systems

Agenda Item xx APPENDIX A

	Reserves etc.), plus reserves providing financing to planned future investments.	
	▪ Full consultation, engagement and lobbying alongside and independently with the Police and Crime Commissioners Treasurers' Society, NPCC Treasurers' group and the HO alongside regional public sector partners including the Mayoral Office, to influence funding for Policing and the North East. ▪ Effective force wide Business Planning cycle, Revenue and Capital budget setting processes, Efficiency plans and monitoring. ▪ An effective Workforce Plan, Governance Arrangements and Force Operating Model (FOM) to manage pay related spend. ▪ Pay Inflation Reserve to mitigate impact of higher pay awards.	
	Time-bound	Expected Delivery
	There are no time-bound controls.	
Likelihood Impact	4 4	16

Agenda Item xx APPENDIX A

C	Strategic Risk Area – Governance		
	Risk Appetite	Current/Tolerable	Optimal
		Cautious	Open
	Risk – Failures originating from unclear plans, priorities, responsibilities and accountabilities and/or ineffective or disproportionate scrutiny, oversight, transparency and internal control of decision-making and/or performance.		
	Context – ▪ Chief Constable is unable to account to the PCC for the exercise of their functions and those under their direction and control. ▪ There is a breakdown in relationship between the Force and Office of the Police and Crime Commissioner (OPCC). ▪ Response to external inspection and investigation activity by His Majesty's Inspectorate of Constabulary and Fire & Rescue Services (HMICFRS).		
Owner(s)	Deputy Chief Constable		
Governance & Oversight	Executive Board		
Current factors	▪ Challenging Force change projects and programmes. ▪ Government announcement that the role of Police and Crime Commissioners will be abolished from 2028 with their responsibilities transferring to elected Mayors, or new policing boards. ▪ Capacity of the Finance Team.		
Potential consequence	▪ Inability to identify and respond to deteriorating performance resulting in policing priorities not being achieved. ▪ A decline in quality and service delivery, leading to a reduction in satisfaction levels. ▪ Inability to work effectively in partnership to provide services to victims and witnesses. ▪ Slippage/failure of projects, which hamper the achievement of objectives. ▪ Adverse external inspection reports, leading to recommendations and wider escalation. ▪ Loss of public confidence.		
Summary of Controls	Core Business ▪ Police and Crime Plan. ▪ Force Strategy, underpinned by thematic strategies and delivery plans. ▪ Regular review of the governance and decision-making structure to ensure it provides appropriate governance arrangements, including OPCC Scrutiny Meeting to hold the police to account on behalf of the public. ▪ A Joint Independent Audit Committee to provide advice to the PCC and Chief Constable on the principles of corporate governance. ▪ Internal Audit of Governance by Gateshead Council. ▪ Adherence to CIPFA good governance. ▪ Wider availability of information provided to, and outcome from, governance meetings to direct and support activity in pursuit of more informed decision making and improved performance.		

Agenda Item xx APPENDIX A

	Time-bound	Expected Delivery
	There are no time-bound controls.	
Likelihood Impact	2 2	4

Agenda Item xx APPENDIX A

D	Strategic Risk Area – Information and Data Management		
	Risk Appetite	Current/Tolerable	Optimal
		Cautious	Minimalist
	Risk – Challenges in adhering and complying with consistent and sustainable data management processes and standards to prevent data breaches.		
	Context – ▪ Application of records management policy and procedures (review, retention and deletion). ▪ The ability to assign accountability/ownership of physical and electronic data assets force wide, to ensure data is collected, stored, and used appropriately through the use of Information Asset Owners and Information Asset Registers. ▪ Incomplete baseline of Force data and infrastructure. ▪ The complex alignment of digital policing architecture to ensure interoperability. ▪ Evolving technical infrastructure, with hybrid on-premise and cloud provision. ▪ Complex and saturated storage solutions. ▪ Management of digital file storage. ▪ Evolving cyber threats with varying risk. ▪ Significant process and technical debt in storage of digital assets/data. ▪ Absence of defined processes to catalogue and manage assets.		
Owner(s)	Assistant Chief Constable (Force Innovation)		
Governance & Oversight	Force Assurance Board		
Current factors	▪ The replacement of Force legacy systems presenting competing data management compliance elements. ▪ Increased demand due to Digital Policing Change Programme and associated interdependencies relating to new ways of working. ▪ Additional threat from external sources relating to cyber related adverse impact. ▪ Compliance with Records and Product Management (RPM). ▪ Developing workforce with inadequate Information Asset Owners (IAOs) and Information Asset Lead engagement.		
Potential consequence	▪ Corruption or loss of Force systems. ▪ Loss of data and information assets. ▪ Failure to comply with both Force policy and procedure and Management of Police Information statutory guidance. ▪ Force policy and procedure processing, storing and handling of data not followed. ▪ Mishandling of information through a lack of understanding of relevant legislation (Data Protection Act 2018). ▪ Data Protection Act 2018 breaches. ▪ Failure to comply with Information Commissioner's Office (ICO) best practice, standards and relevant codes of practice. ▪ Failure to comply with the Investigatory Powers Act: codes of practice. ▪ Adverse findings from Investigatory Powers Commissioner's Office (IPCO) or ICO inspection, which could result in sanctions placed on the Force by the Commissioners which would impact on all aspects of criminal and non-criminal investigations.		

Agenda Item xx APPENDIX A

	▪ Litigation, legal action against the Force leading to enforcement action and monetary penalties. ▪ Limited ability to access information and/or respond to requests for information. ▪ Loss of confidence due to inappropriate or unlawful disclosures of personal data (internally and externally). ▪ Compromise of operational activity and/or covert tactics. ▪ Compromise of physical and technical security controls which would impact information assets and/or systems if vulnerability is exploited. ▪ Sub-optimal ability of the Force to respond to public inquiries.
--	---

Summary of Controls	Core Business ▪ Information Management Department (IMD) with more effective capability, including the roles of Data Protection & Disclosure Adviser and Information Security & Assurance Manager. ▪ Review and regular update of Data Sharing Agreements with partners. ▪ Targeted and relevant audit and organisational learning process to identify inappropriate handling and management of information. ▪ Oversight and management through the Governance and Decision-making structure. ▪ Implementation of formal Information Asset Registers, training, awareness and ongoing monitoring and support for IAOs and Information Asset Leads. ▪ Enhanced legislative, policy/procedure compliance via review, retention and deletion (RRD) implementation around stored data, which radicalises volumes and controls access. ▪ Planned assurance schedule relating to critical systems and services. ▪ Increased use of technical security controls and monitoring provided by the National Management Centre. Existing procedures in respect of data breaches ensure obligations placed on the organisation in such instances are met. ▪ Bi-monthly meeting with Senior Information Risk Owner to formally assess and govern risk. ▪ Force OpSy role identified and placed into IMD to improve operational security.	
	Time-bound	Expected Delivery
	▪ IMD and Digital Policing collaborating effectively to formally identify, document and mitigate risk through the implementation of innovative and measurable solutions via implementation of automated processes, utilising available functionality within the 365 capability.	Implementation of tooling May 2026, conclusion of assessment December 2026
Likelihood	3	12
Impact	4	

Agenda Item xx APPENDIX A

E	Strategic Risk Area – Information and Data Quality		
	Risk Appetite	Current/Tolerable	Optimal
		Cautious	Open
	Risk – Challenges in efficiently and effectively managing data through the technical and cultural implementation of control measures, storage and practice in support of existing and new operating platforms.		
	Context - ▪ Building an insight driven culture enabling data literacy, accessibility and accountability across the organisation. ▪ A recognition of the Force's ability to accurately collect and present data required to support decision making in all areas of business, whilst ensuring statutory data returns to relevant bodies are concise, accurate and timely. ▪ The replacement of Force legacy systems presenting competing data collection processes. ▪ The application of control measures that affect the way staff interact with data is needed to support the cultural change required to successfully deliver the new operating platforms. ▪ The implementation of seamless management of data across platforms to allow interoperability and easy user access.		
Owner(s)	Assistant Chief Constable (Communities)		
Governance & Oversight	Force Assurance Board		
Current factors	▪ Legacy data and systems. ▪ Vetting our workforce at the appropriate levels defined by role requirements. ▪ Managing the use of personal devices for official tasks. ▪ Limiting staff and visitor access to information, assets and estate.		
Potential consequence	▪ Inaccessible/inaccurate intelligence. ▪ Up-to-date crime intelligence, and other force data - specific data sets such as exhibits are not available to officers/staff or data is stored in various locations and formats without formal recording or RRD (Retention, Review, Deletion) processes in place. ▪ Inaccurate data leading to non-compliance with regulations, a potential negative impact upon investigations and subsequent loss of public confidence. ▪ Reduction in force performance and delivery through poor and non-reflective data quality. ▪ Inaccurate data returns to the HO and other bodies e.g. HMICFRS. ▪ Adverse findings from inspectorate and audit bodies e.g. HMICFRS and ICO. ▪ Poor data quality affecting operational and business decisions, meaning that critical risk factors may be missed or not fully understood e.g. vulnerability, officer safety and public safety. ▪ Limited confidence to provide accurate information in response to requests		
Summary of Controls	Core Business ▪ Migration plans as part of IT projects and programmes to ensure data quality, accuracy and compliance with GDPR. ▪ Quality Standards Delivery Team. ▪ Use of the Qlik Sense Business Intelligence tool to identify compliance and data quality issues.		

Agenda Item xx APPENDIX A

	- Engagement with the HO/National Police Chiefs' Council National Data Quality Improvement Service (NDQIS). - Implementation of holistic Information Asset Registers with accountable Owners and Leads. - Implementation of formal Information Asset Registers, training, awareness and ongoing monitoring and support for IAOs and Information Asset Leads. - Enhanced legislative, policy/procedure compliance via review, retention and deletion (RRD) implementation re stored data which radicalises volumes and controls access. - Enhanced external audit regime implemented that reflects the complexity and breadth of information management obligations and compliance regimes. - Compliance with Vetting Code of Practice to ensure consistent and high standards of police vetting. - Regular review of the Designated Post List against known role descriptions. - Self-service updates to allow efficient and timely changes to data. - Information Management training mandated for all staff and officers with key performance indicators reported as a standing agenda item. - Dedicated communication and awareness plan for all staff and officers which targets key risks and impacts in a timely and effective manner.	
	Time-bound	Expected Delivery
	Investment in IT to support ongoing Digital Policing (DP) programme which integrates data management processes and wider compliance obligations.	Part of a wider project. To be determined.
	Implementation of Data Quality reviews and Audits to support ongoing improvements relating to handling methods, accuracy, review and retention.	Audit of certain systems already takes place. Audit of new systems e.g. Niche to be determined.
	Implementation of revised and enhanced processes and procedures relating to review, retention and disposal of electronic and physical assets with oversight and ongoing monitoring from the IMD.	Part of a wider project. To be determined.
	Revised compliance with ICO and legislative requirements (Record of Processing Activities, Data Flow Mapping etc.). Understanding and review of the Force estate to ensure it is fit for purpose and used effectively in line with operating procedures.	Part of a wider project. To be determined.
Likelihood	2	8
Impact	4	

Agenda Item xx APPENDIX A

F	Strategic Risk Area – Infrastructure and Assets		
	Risk Appetite	Current/Tolerable	Optimal
		Cautious	Cautious
	Risk – Failure to effectively manage assets to ensure continued effective service delivery through provision of equipment and facilities which keep the workforce capable; able to respond to the public and maintain the physical security and safety of our estate.		
	Context – ▪ Failure to appropriately maintain assets may result in critical failure. ▪ Failure to comply with building regulations and legislation regarding the safety of our estate. ▪ Force must meet future sustainability and carbon reduction targets ▪ Failure to ensure officers and staff have the right assets and equipment available to perform their role. ▪ Failure to prevent unauthorised access to force buildings. ▪ Failure to provide the appropriate training estate to enable maintenance of operational training profiles and to meet CoP licensing requirements.		
Owner(s)	Assistant Chief Officer Corporate Services		
Governance & Oversight	Strategic Resourcing Board / Estates Board		
Current factors	▪ The Estates Strategy delivery timeline has been agreed and is managed through Estates Programme Board with bi-monthly updates into Executive Board. ▪ An updated agile working policy has been agreed which seeks to optimise flexibility whilst maximising use of the Estate. ▪ Delays and increased costs of Estates programme as a result of supply chain issues and inflationary pressures. ▪ Physical security of buildings and methods of access. ▪ Non police owned operational training estate with reliance on other parties to support our delivery. ▪ Storage capacity for evidential property. ▪ UK Supreme Court Human Rights Judgement that the terms ‘man’, ‘woman’ and ‘sex’ in the Equality Act 2010 refer to biological sex		
Potential consequence	▪ Injury to users of assets, detainees or the public. ▪ Reduced availability of assets impacts on services across some or all business areas. ▪ Litigation and civil claims. ▪ Negative impact on the workforce and on public confidence. ▪ Not achieving sustainability and carbon reduction targets. ▪ Unauthorised access to force buildings and assets. ▪ Loss of CoP license to deliver operational training impacting on capability and deployability of workforce. ▪ Property is stored in various locations without formal recording or RRD (Retention, Review, Deletion) processes in place. Potential for non-compliance with regulations and a potential negative impact on investigations and subsequent loss of public confidence. Volumes retained also impacts on cost to transition from NPICCS to NICHE.		
Summary of Controls	Core Business ▪ There has been a programme of communications issued to all staff in relation to building security. Including the wearing of identification and challenging where appropriate individuals seeking to access force buildings.		

Agenda Item xx APPENDIX A

	▪ Additional penetration testing to test building security measures has been put in place. ▪ Established internal arrangements to minimise the impact of proposed estate and infrastructure changes/refreshes on the business. ▪ Business Continuity Plans, Estate Strategies and policies and procedures in place. ▪ Regular inspection, testing and maintenance programmes in place in respect of water hygiene, electricity and gas safety. ▪ Statutory maintenance audit sampling a number of force buildings to be undertaken, providing assurance around statutory compliance and potentially to identify any gaps in maintenance coverage. ▪ Fire risk assessments in place. ▪ Asbestos management plan in place. ▪ Health and Safety management embedded at tactical and strategic level. ▪ Fleet Strategy implemented in-line with carbon reduction targets. ▪ Vehicle maintenance, transportation and installation partners are vetted to ensure security and continuity of service. ▪ Internal fuel stock maintained. ▪ Asset management software and/or recording system in place. ▪ Telematics installed in all cars (excluding covert) providing management oversight with timely maintenance and usage data. ▪ Operational equipment requirements are managed via the Force Safety Group and reported to the Culture and Leadership Board. ▪ Estates Strategy significant investment projects and Estates Capital Programme progress are overseen by the Estates Programme Board. ▪ National and local consultation on the UK Supreme Court Human Rights Judgement. ▪ Understanding and review of the Force estate to ensure it is fit for purpose and used effectively. Where appropriate maximise collaboration and shared estate where there is an operational benefit. ▪ EV Strategy which includes sustainable fleet								
	<table><tr><th>Time-bound</th><th>Expected Delivery</th></tr><tr><td> ▪ Electronic access control system for all force buildings currently in roll-out. </td><td>Summer 2026</td></tr><tr><td> ▪ Implement agreed Estates Strategy, rationalising where appropriate and re-profiling building refurbishment programme to align with future operating model and operating procedures. </td><td>Spring 2026</td></tr><tr><td> ▪ Operational training bases are in place in collaboration with the fire services as a temporary measure to ensure CoP licences can be maintained until a new Operational Training Facility can be acquired and brought into use. </td><td>Spring 2027</td></tr></table>	Time-bound	Expected Delivery	▪ Electronic access control system for all force buildings currently in roll-out.	Summer 2026	▪ Implement agreed Estates Strategy, rationalising where appropriate and re-profiling building refurbishment programme to align with future operating model and operating procedures.	Spring 2026	▪ Operational training bases are in place in collaboration with the fire services as a temporary measure to ensure CoP licences can be maintained until a new Operational Training Facility can be acquired and brought into use.	Spring 2027
Time-bound	Expected Delivery								
▪ Electronic access control system for all force buildings currently in roll-out.	Summer 2026								
▪ Implement agreed Estates Strategy, rationalising where appropriate and re-profiling building refurbishment programme to align with future operating model and operating procedures.	Spring 2026								
▪ Operational training bases are in place in collaboration with the fire services as a temporary measure to ensure CoP licences can be maintained until a new Operational Training Facility can be acquired and brought into use.	Spring 2027								
	<table><tr><td> ▪ Review of evidential property management with support from the DMAT (Data </td><td>2027/2028</td></tr></table>	▪ Review of evidential property management with support from the DMAT (Data	2027/2028						
▪ Review of evidential property management with support from the DMAT (Data	2027/2028								

Agenda Item xx APPENDIX A

	Management Assessment Team) is ongoing to deliver an improved property system.	
Likelihood	2	6
Impact	3	

Agenda Item xx APPENDIX A

G	Strategic Risk Area – Operational		
	Risk Appetite	Current/Tolerable	Optimal
		Cautious	Cautious
	Risk – Inability to deliver centralised force coordination with sustainable capacity and capability to meet statutory requirements under the Civil Contingencies Act (CCA) and to enable discharge of responsibilities to meet the Strategic Policing Requirement.		
	Context – • Need to ensure that JESIP and Joint operating principles are complied with and responsibilities understood in force. This is in conjunction with partners and NLRF to manage major and critical incidents. • Cognisance of the national Strategic Threat and Risk Assessment to inform the capacity, capability and deployment of specialist assets (Firearms, POPS, RPU). Including implementation of learning from public inquiries such as MAI, Grenfell, Covid and Hillsborough. • Need to ensure that the force is able to effectively manage changing societal risks including; Environment, Energy & Supply Chains, Health, Public Services & Transport, Public Order & Protest. Any resulting Major Incident or hostile Action occurring in those. ▪ The force needs to deploy effectively trained and accredited assets including those in key decision making roles to mitigate operational risks.		
Owner(s)	Assistant Chief Constable (Force Coordination)		
Governance & Oversight	Force Assurance Board		
Current factors	▪ Current review of the CCA (Civil Contingencies Act) recommendations including Mayoral Strategic Authorities and LRF becoming Category 1 Responders. Statutory 5year review of Act 2026/2027. ▪ White Papers - English Devolution and Policing Reform. ▪ Strategic Defence Review and implications of Home Defence (Strategic Reserve and recall of reservists, CNI protection and movement of Military assets out of UK). ▪ Growth of NLRF as part of trailblazers model. ▪ Statutory guidance for JESIP and increased training requirements. ▪ Imbalance of skills and capability for specialisms across the force are a result of staffing changes/moves. ▪ Increase in POPS related deployment (events, protest, sporting and spontaneous) requiring deployments. ▪ Manchester Arena recommendations and impact from Grenfell, COVID and Hillsborough inquiries impacting broader testing & exercising. ▪ Maintenance of critical competency training profiles for the Force; PPST, TL2/3, Taser, Driving and Mod3. ▪ Increased Mutual Aid requests and Multi Agency requests for assistance. ▪ Availability, servicing, storage and procurement of kit and equipment. ▪ Maintenance of Commander profiles and accreditation.		

Agenda Item xx APPENDIX A

	▪ Complete review of restricted and non-restricted plans to ensure current and assured/tested. ▪ Impact of Martyn's Law and other legislation likely to come into effect.
Potential consequence	▪ Inability to meet core policing requirements. ▪ Inability to respond effectively to Major Incidents. ▪ Reduced staffing and service provision. ▪ Inability to deliver services across some or all business areas. ▪ Inability to project accurate resourcing to meet future demand. ▪ Ability to meet mobilisation commitment. ▪ Negative impact on public/partners confidence. ▪ Ineffective business continuity when enacted. ▪ Legal liability to force for expired/non-trained staff deployments ▪ Damaged partnership relationships around interagency working
Summary of Controls	Core Business ▪ There is a business continuity plan in place across all area commands and departments with regular testing managed by a qualified BCP manager. ▪ Concept of Operations developed in line with the States of Policing Matrix to support resourcing decisions maintain critical functionality for the force. ▪ Close working with National Police Coordination Centre (NPoCC) and the Regional Information and Coordination Centre to test and exercise mobilisation commitment and provide and request mutual aid as appropriate. ▪ Strategic and tactical JESIP delivery groups working in partnership. Internally a JESIP Assurance Group has been established to oversee the assurance review. Tri-services training restarted (Dec 2025). ▪ Force Coordination and Resilience and twice daily pace setter meetings to align demand and resources. Weekly review of figures is produced incorporating frontline abstraction levels. ▪ Public Order management now has a governance structure in place covering Command, Capacity and Capability, Kit and Equipment, Training and event management. ▪ A Major Incident and Business Continuity Board to ensure appropriate oversight and governance, which includes capacity, capability and readiness, with appropriate reporting and escalation through the Force governance framework with Northumbria Local Resilience Forum (NLRF) in attendance. ▪ Northumbria Police is an invested partner in the NLRF and work closely with the partnership on preparedness for civil emergencies and the testing and excising of the multi-agency response as well as represented on the Strategic Board/Tactical Business Group and all working Groups. ▪ A Testing and Contingencies Team has been established to oversee all restricted/non-restricted plans and testing. This includes multiagency and OBUA, no notice testing and TTX, mirrored within the NLRF team structures. ▪ A structure is now in place to write, review and oversee all restricted/ non restricted plans to ensure compliance and assurance, mirrored within the NLRF team structures. ▪ All SX Cadre have received learning packages including major incident training ▪ TL2 profiles aligned to national requirements.

Agenda Item xx APPENDIX A

	Time-bound	Expected Delivery
	Investment in operational training estate.	Spring 2027
	Internal and multi-agency Governance structure to deliver on Manchester Arena Inquiry recommendations.	Summer 2026
	Northumbria Police will lead on recruitment of Trail Blazer NLRP resources and will host the roles once recruited.	Recruitment expected to be finalised by Summer 2026. (updated May 26)
	Full review and consolidation of restricted/non-restricted plans; all to be assured or tested.	Winter 2026
	Review of POPs kit and replacement of any kit as necessary.	September 2026 (updated May 26)
Likelihood Impact	3 3	9

Agenda Item xx APPENDIX A

H	Strategic Risk Area – Partnership & Collaboration		
	Risk Appetite	Current/Tolerable	Optimal
		Cautious	Open
	Risk – Loss or reduction in opportunities to work in partnership or collaboration and subsequent impact on service delivery. Ineffective management of new and current commercial contracts leading to reduced service delivery and/or low value for money.		
	Context – ▪ Lack of scoping and user requirements at the outset of partnerships/collaboration or commercial interest. ▪ Financial constraints on public services. ▪ Cost of living and inflation impacting economy and changing opportunities. ▪ Lack of integrated planning with partners to identify opportunities. ▪ Significant reduction in services provided by key and/or statutory partners such as CPS, HMCTS, Local Authorities (LAs) and health service providers which increases demands on policing. ▪ Failure of collaborative agreements. Reduced commitment to Community Safety Partnerships (CSPs) and joint objective setting due to competing demands within LAs.		
Owner(s)	Deputy Chief Constable		
Governance & Oversight	Strategic Resourcing Board		
Current factors	▪ Reduction in safeguarding activity and preventative work, particularly relating to serious violence and anti-social behaviour. ▪ Ability to manage commercial contracts. ▪ Missed opportunities for further partnership collaboration with partners. ▪ Cost of living/inflation is affecting commercial businesses and public sector. ▪ Ability of partners to deliver services.		
Potential consequence	▪ Gaps in services and support to communities. ▪ Missed opportunities to prevent and reduce crime and disorder. ▪ Reduced public confidence. ▪ Reduced opportunities for more efficient and effective services. ▪ Increased costs due to poor scoping and/or contract management. ▪ Missed learning opportunities for partner agencies from serious case reviews. ▪ Police resource used to fill gaps created by non-delivery of partnership services, depleting capacity to provide policing services.		
Summary of Controls	Core Business ▪ Business continuity plans between relevant partners. ▪ Access to local and/or national support programmes. ▪ Ongoing management of commercial contracts. ▪ Force wide business planning cycle and delivery of local business plans informed by partnership data and engagement.		

Agenda Item xx APPENDIX A

	- Partnership governance arrangements and joint partnership plans through Community Safety Partnerships (CSPs) and wider multi-agency arrangements. - Improved requirements are captured as part of procurement processes and business case for procured services.	
	Time-bound	Expected Delivery
	Clear benefits tracking via the appropriate governance meeting.	To be determined.
Likelihood	2	8
Impact	4	

Agenda Item xx APPENDIX A

I	Strategic Risk Area – Projects/Programmes		
	Risk Appetite	Current/Tolerable	Optimal
		Open	Open
	Risk – Change programmes and projects are not aligned with strategic priorities or do not successfully deliver requirements and intended benefits to time, cost and quality.		
	Context – ▪ Significant change programme underway to deliver benefits for both the public and our people requiring investment in new technology, systems, kit and people.		
Owner(s)	Deputy Chief Constable		
Governance & Oversight	Force Change Board / Strategic Resourcing Board		
Current factors	▪ Increased demand as the force implements Force change projects and programmes. ▪ Lack of skills and/or capacity to fulfil change activities in parallel with business as usual. ▪ Cultural change required to successfully deliver new operating models/ platforms. ▪ Limited ability to deliver, or delays in the delivery of, Force change projects and programmes due to insufficient specialist and/or technical skills. ▪ Increased demand on information and data management due to interdependencies within the Digital Policing Change Programme and new ways of working. ▪ Flexibility to effectively move resources as a result of structural changes		
Potential consequence	▪ Failure to achieve the business benefits from Force change projects and programmes impacting on performance and delivery of the Force Strategy.		
Summary of Controls	Core Business ▪ A focussed Capacity and Capability Meeting which monitors, coordinates and agrees operational resourcing solutions at tactical level. This provides a platform for early consultation on change to operating models and early understanding of capacity and capability impact. ▪ Completion of impact assessments, where appropriate, as key project activity to determine significant impacts such as changes to structure. ▪ Established internal arrangements to minimise the impact of proposed estate and infrastructure changes/refreshes on the business. ▪ Force Change Board to ensure appropriate oversight and governance of change projects and programmes with clear benefits tracking. ▪ Project Approval Group for review of business cases and requirements for potential new digital solutions. ▪ Planned evaluation.		

Agenda Item xx APPENDIX A

	▪ Critical roles are identified, succession in place and monthly Reward Panel in place to address any additional market conditions / project payments. ▪ Digital Roadmap to increase engagement with key stakeholders for all change activities required.	
	Time-bound	Expected Delivery
	There are no time-bound controls.	
Likelihood Impact	2 4	8

Agenda Item xx APPENDIX A

J	Strategic Risk Area – Public Confidence		
	Risk Appetite	Current/Tolerable	Optimal
		Cautious	Cautious
	Risk – The loss of public confidence in Northumbria Police due to the behaviour, conduct, actions or inaction of Northumbria Police as an organisation or individuals representing the Force.		
	Context – - Force or an associated individual acts in an inappropriate, discriminatory way or demonstrates corrupt behaviour. - Death or serious injury following police contact or other adverse or critical incident, as a result of police action or omission. - Misuse or deliberate disclosure of sensitive data or information. - Public perceptions of police ineffectiveness in relation to offences disproportionately impacting on specific communities or those with protected characteristics. - Reduced legitimacy due to poor engagement. - Publication of recent reports, including Dame Louise Casey review of Metropolitan Police, Operation Hotton and the findings following the murder of Sarah Everard and the Angiolini Inquiry.		
Owner(s)	Deputy Chief Constable		
Governance & Oversight	Trust, Legitimacy and Confidence Board		
Current factors	- Abuse of authority for financial or sexual purpose, fraud or theft. - Awareness of risk within workforce (Abuse of Authority for a Sexual Purpose (AA4SP), misogyny, discrimination) and increase in associated misconduct cases. - Current operating context and legitimacy in use of police powers. - Disproportionality in use of powers. - Identification and response to organisational learning opportunities. - Public perception that ineffective response to Violence Against Women and Girls (VAWG), hate crime and victimisation of Black, Asian and minority ethnic communities is influenced by cultural issues misogyny/institutional racism. - Reduced levels of public confidence. - Misinformation and disinformation spread through media networks. - Increase in the number and complexity of Notifiable Inappropriate Associations (NIAs).		
Potential consequence	- Abuse of authority for financial or sexual purpose, fraud or theft. - Increased civil unrest. - Perception of disparity damaging confidence of minority groups. - Litigation, legal action against the Force. - Reduced public confidence. - Deviation from Force procedure.		

Agenda Item xx APPENDIX A

Summary of Controls	Core Business ▪ Effective governance arrangements, including introduction of a new Trust, Legitimacy and Confidence Board. ▪ Independent advisory groups and Scrutiny Panels for use of powers. ▪ Force Engagement Strategy and plan. ▪ Force wide internal communications to increase awareness of behaviour and standards. ▪ Completion of Equality Impact and Community Tension Assessments. ▪ Dedicated Counter Corruption Unit with appropriate capacity and capability to deliver a full range of covert tactics. ▪ Internal threat awareness through Professional Standards Department risk matrix and abuse of authority problem profile. ▪ Vetting procedures in-line with APP on Vetting. ▪ Identification and review of organisational learning, with oversight by the Force Assurance Board. ▪ Force wide training for all staff. ▪ Continuous Performance & Development Review of staff via performance management frameworks. ▪ Focus on diversity in recruitment, attraction, selection and retention. ▪ Annual Integrity and Vetting Review (AIVR) completed with the workforce. ▪ AIVR affords additional reassurance that disclosures are being made (as shown by an increase in NIAs).	
	Time-bound	Expected Delivery
	▪ Force VAWG Strategy	To be confirmed.
	▪ Race Action Plan	To be confirmed.
	▪ Hate Crime Delivery Plan	To be confirmed.
	▪ Digital solution in development which will digitise the NIA disclosure and review process.	Expected August 2026
	▪ Risk matrix in development to provide consistency to the decision making for NIAs. This has been trialled with Functional Leads in March 2026.	To be confirmed.
Likelihood Impact	2 4	8

Agenda Item xx APPENDIX A

K	Strategic Risk Area – Regulation & Standards		
	Risk Appetite	Current/Tolerable	Optimal
		Minimalist	Minimalist
	Risk – Standards, conduct and behaviours of the workforce are not in-line with Northumbria Police values and the Code of Ethics. Northumbria Police and/or its staff, fail to operate within the regulatory framework defined by law or by force policy. In doing so, creating risks which may result in harm to individuals, groups or organisations.		
	Context – ▪ Litigation, legal action and/or prosecution of the Force and/or individuals by former officers or staff members. ▪ Failure to comply with regulatory frameworks.		
Owner(s)	Deputy Chief Constable		
Governance & Oversight	Force Assurance Board		
Current factors	▪ Increased scrutiny and challenge on police powers and super complaints. ▪ Significant events impacting on public confidence over last 12 months. ▪ Change in legislation in relation to protest may result in legal challenge. ▪ Increase awareness and reporting of AA4SP could result in legal action against force for failure to prevent. ▪ Ability to demonstrate compliance with relevant ISO standards to maintain accredited status. ▪ Pension remedy delivery. ▪ Firearms Licencing demand due to national statutory guidance.		
Potential consequence	▪ Litigation, legal action and/or prosecution of the Force and/or individual staff. ▪ Associated costs of dealing with litigation. ▪ Negative impact on the workforce and public confidence. ▪ Failure to comply with relevant Health and Safety regulations. ▪ Suspension or withdrawal of accreditation impacting on service delivery. ▪ Failure to meet statutory obligations in relation to pension administration responsibilities and enforcement action by The Pensions Regulator. ▪ Increased risk of adverse incidents and reputational harm arising from delays in firearms licensing decisions ▪ Non compliance with Northumbria Police values and the Code of Ethics would undermine trust, inclusion and organisational integrity.		
Summary of Controls	Core Business ▪ Central review of all civil claims, with adverse trends and lessons learnt reported and learning shared through Force Assurance Board. ▪ Recognised accreditation in relevant areas of business. ▪ Health and Safety Management System and provision of health and safety advice.		

Agenda Item xx APPENDIX A

	- Investigations and review of health and safety incidents, with lessons learnt reported. - Force policy on mandatory use of Body Worn Video at key incidents/events. - External Scrutiny including panel for use of police powers (Use of Force/Stop & Search) and substantive Independent Scrutiny and Oversight Board. - Force approach to identify and reduce AA4SP. - Oversight and management of ISO standards compliance and accreditation using the Governance and Decision-making structure. - Annual Integrity and Vetting Review completed with the workforce. - Gold Group to provide strategic direction, oversight and governance for the delivery of the Firearms Licencing function, ensuring compliance with statutory requirements.	
	Time-bound	Expected Delivery
	Establishment of a Gold Group to provide strategic oversight and governance for the delivery of pension remedy obligations, ensuring full compliance with statutory requirements and mitigating implementation risks. External consultancy has been agreed to address the backlog.	To be confirmed
Likelihood	3	9
Impact	3	

Agenda Item xx APPENDIX A

L	Strategic Risk Area – Strategy		
	Risk Appetite	Current/Tolerable	Optimal
		Cautious	Cautious
	Risk – Northumbria Police fails to deliver its strategic objectives and those of the Police and Crime Plan, due to ineffective business planning, including effective management of performance, risk, demand, transformation, workforce and finance or a changing macro-environment.		
	Context – ▪ Failure to deliver the Force Strategic Priorities. ▪ Failure to deliver against objectives set out in the Police and Crime Plan. ▪ Failure to achieve the business benefits from Force change projects and programmes. ▪ Compliance and standards not meeting acceptable levels impacting on victim services and public confidence. ▪ Failure to meet areas for improvement highlighted by external bodies.		
Owner(s)	Chief Constable		
Governance & Oversight	Executive Board		
Current factors	▪ Increased demand as the force implements Force change projects and programmes. ▪ North East devolution deal between the government and the local authorities.		
Potential consequence	▪ Deteriorating performance resulting in policing priorities not being achieved. ▪ A decline in quality and service delivery, leading to a reduction in satisfaction and confidence. ▪ Adverse external inspection reports, leading to recommendations and wider escalation. ▪ Slippage/failure of projects, which hamper the achievement of objectives.		
Summary of Controls	Core Business ▪ Force Strategy underpinned by thematic strategies and delivery plans. ▪ Business planning cycle and delivery of local business plans. ▪ Force wide Performance Management Framework. ▪ Oversight and management of performance using the Governance and Decision-making structure. ▪ Annual preparation of Force Management Statement. ▪ Development and implementation of financial and efficiency planning focused on delivery of Force strategic priorities. ▪ Implementation of operating model able to support future demand. ▪ Effective relationships and communication with partners locally enabling response to national issues (e.g. LCJB). ▪ Realisation of benefits linked to delivery of Force change projects and programmes.		
	Time-bound		Expected Delivery

Agenda Item xx APPENDIX A

	There are no time-bound controls.	
Likelihood Impact	2 4	8

Agenda Item xx APPENDIX A

M	Strategic Risk Area – Workforce		
	Risk Appetite	Current/Tolerable	Optimal
		Cautious	Open
	Risk – Inability to sustain an effective workforce profile due to reduced attraction, recruitment, and retention, impacting operational resilience and service delivery.		
	Context – To attract, retain, and develop a high-performing and engaged workforce, the organisation must: ▪ Establish a credible and robust employer brand that reflects our culture, commitment to improvement, and alignment with ethical policing principles. ▪ Foster a leadership-driven environment where positive behaviours are consistently demonstrated, promoting respect, inclusion, and engagement at all levels. ▪ Empower colleagues to challenge inappropriate behaviours confidently and uphold professional standards. ▪ Embed a comprehensive wellbeing approach that prioritises resilience, workload management, and psychological safety to sustain performance. ▪ Implement future-focused workforce models that provide clarity of roles, agility, and long-term vision to support attraction, retention, and capability development. ▪ Develop robust internal talent pipelines to enable progression, nurture skills, and strengthen succession planning. ▪ Ensure recruitment and vetting processes are efficient and rigorous, balancing pace with quality assurance to maintain ethical and professional standards. ▪ Anticipate future skills requirements and invest in continuous professional development to build organisational resilience.		
Owner(s)	Assistant Chief Officer Corporate Services		
Governance & Oversight	Corporate Services Portfolio Governance Board / Strategic Resourcing Board		
Current factors	▪ Increased candidate availability nationally, but strong competition for specialist and technical skills persists. ▪ Declining vacancy volumes, yet candidates expect competitive pay and clear development opportunities. ▪ Limited insight into workforce performance and inconsistent use of P&DR, reducing engagement and talent optimisation. ▪ Ongoing challenges in achieving diversity ambitions due to restricted applicant pools. ▪ Higher voluntary attrition among female officers compared to male counterparts. ▪ Extended vacancy periods and candidate attrition caused by recruitment delays. ▪ Insufficient capacity in Public Order resources to meet operational demand.		

Agenda Item xx APPENDIX A

	▪ Impact of UK Supreme Court Human Rights Judgement clarifying biological sex definitions under the Equality Act 2010. ▪ Officer and staff understanding of the use of social media and WhatsApp.
Potential consequence	▪ Failure to secure a diverse and engaged workforce, reducing organisational effectiveness. ▪ Decline in performance standards and service quality, negatively affecting public confidence. ▪ Inability to deliver technical and specialist services, undermining trust and operational resilience. ▪ Compromised investigative standards due to insufficient resources. ▪ Lack of community representation within the workforce, eroding trust and legitimacy. ▪ Delays or inability to deliver strategic change programmes due to shortages in specialist skills. ▪ Loss of talent caused by delays in pre-employment checks and onboarding processes.
Summary of Controls	Core business ▪ Engagement with Chief Officers and business leads to ensure clarity of operating models, supported by governance through Strategic Design Authority and Strategic Resourcing Board. ▪ Implementation of a People Strategy underpinned by defined pillars to drive performance, inclusion, and workforce development. ▪ Delivery of a Resourcing Strategy to adopt a holistic approach to workforce planning, addressing design, demand, capacity, and capability. ▪ Strategic Workforce Plan covering immediate resource needs, succession planning, and long-term vision for the next five years. ▪ Modernised pay structures and job evaluation to improve competitiveness and retention, supplemented by targeted investment in technical roles. ▪ Introduction of a total rewards package and governance through a rewards panel to ensure fairness and consistency. ▪ Integration of NPCC Diversity, Equality & Inclusion Strategy into local DE&I plans, supported by positive action initiatives. ▪ Use of external agencies to provide short-term technical capability where required. ▪ Development of frameworks to address retention and attrition, including implementation of the national leavers framework. ▪ Accelerated investigative improvement plan with governance through the Investigative Capability Gold Group. ▪ Tactical Capacity and Capability Meetings to monitor and coordinate operational resourcing solutions. ▪ Recruitment campaigns aligned with vetting capacity, supported by prioritisation processes to reduce delays. ▪ Active participation in national and local consultation regarding the UK Supreme Court Human Rights Judgement.

Agenda Item xx APPENDIX A

	Time-bound	Expected Delivery
	There are no time-bound controls.	
Likelihood Impact	3 3	9

Reported portfolio / local risks (June 2026)

- Adoption of New Technology and New Ways of Working.
- Failure to meet the Neighbourhood Policing Guarantee (NPG).
- PIP2 detective numbers for the Force including Graduate Detective Programme (GDP) success rate.
- Review, Retention and Disposal (RRD): physical exhibits and Regulated Products and Materials (RPM) Compliance.
- Increased demand for digital forensics and technology-driven services.
- Niche Records Management System and Multi-Agency Safeguarding Hub (MASH) impact.
- Management of demand within the Firearms Licensing Department.
- Inability to recover service / meet demand due to Integrated Communications Control System (ICCS) contract end date 30 September 2026. New ICCS contract approved but timelines regarding training are a risk for new and current staff.
- Upload of Warning Markers from Niche to PNC.
- Insufficient data capture and quality to provide meaningful performance insight and furnish accurate data returns; with increased data quality issues evident following implementation of Niche.
- Police Reform.
- Failure to provide reliable talent pipeline into supervisory ranks.
- Failure to deliver core estates projects: Cobalt 9; Dog Kennelling and Training; Operational Training; and the Station Refurbishment Programme.
- Supply chain disruption leading to delays in capital programmes, purchasing of critical assets and enabling resources (fuel, uniform etc).
- Inability to deploy staff with appropriate uniform, PPE and equipment to safely fulfil their role.
- Increase in the number and complexity of Notifiable Inappropriate Associations.
- Volume of Legal Advice request.
- Digital service delivery following publication of new authorised professional practice (APP) for Media and Communications.

JOINT INDEPENDENT AUDIT COMMITTEE	21 SEPTEMBER 2026
REGULATORY FRAMEWORK – INDEPENDENT ASSURANCE	
REPORT OF: GAIL THOMPSON, JOINT CHIEF FINANCE OFFICER	

I. Purpose

- 1.1. The purpose of this report is to provide members of the Joint Independent Audit Committee (JIAC) with information relating to specific areas of the Terms of Reference (ToR) of the JIAC (Regulatory Framework) where members are required to provide appropriate independent assurance to the PCC and CC.

2. Background

- 2.1. The Terms of Reference for the Joint Independent Audit Committee (JIAC) were considered by members at the JIAC meeting on 15 June 2026 where an amendment was agreed to extend the term length for the JIAC Chair and Vice Chair from one year to two years.
- 2.2. As part of the Annual Governance Review for 2025/26 also presented at the JIAC meeting on 15 June 2026 consideration was given to those areas under the Terms of Reference (ToR) of the JIAC (Regulatory Framework) where members are required to provide appropriate independent assurance to the PCC and CC, relating to:
- The Scheme of Consent in respect of contract procedures and rules, financial regulations and codes of conduct and behaviour.
 - Codes of Governance and Policies relating to declarations of interest, gifts and hospitality, whistle blowing, counter fraud and corruption and any other relevant areas under the ToR – Regulatory Framework section.
- 2.3. In order to ensure that JIAC members can provide the appropriate assurance, it was agreed that these items would be presented on the September 2026 JIAC agenda for review, and an annual update would be presented each year highlighting any changes to relevant policies, procedures, and regulations.

3. Regulatory Framework

- 3.1. The duties of JIAC members under the ToR (Regulatory Framework) are to ensure that there is an effective regulatory framework and evidence of compliance with mandatory and best practice standards, and to provide appropriate independent assurance to the PCC and CC. This includes fulfilling its role to:
- Maintain an overview of the Scheme of Consent in respect of contract procedures and rules, financial regulations and codes of conduct and behaviour.
 - Monitor any codes of governance or policies relating to declarations of interest, gifts and hospitality and expenses.

- Monitor the whistle blowing arrangements and counter fraud and corruption strategy of the PCC and CC ensuring that adequate levels of assurance covering these matters are received.
- 3.2. The **Scheme of Consent** in respect of contract procedures and rules, financial regulations and codes of conduct and behaviour is published in the Governance Framework document on the OPCC website at the following link: [Governance Framework](#)
- 3.3. The Governance Framework provides an integrated scheme of governance in order to give clarity to the way the two corporations' sole, Police and Crime Commissioner and Chief Constable of Northumbria Police, will govern both jointly and separately.
- 3.4. The Governance Framework is reviewed on an annual basis with the last review taking place at the Joint Business Meeting on 13 August 2026.
- 3.5. The internal audit of **Governance** arrangements for 2025/26 found that control systems were Operating Well, and no findings were raised. The audit report was presented to the JIAC meeting on 22 September 2025.
- 3.6. **Declarations of interest** are covered under the Force policy on Attendance, Performance and Conduct and the procedure for Business Interests, Additional Employment and Positions Held Outside of Northumbria Police which is attached at **Appendix 1**.
- 3.7. The police staff eligibility criteria for Northumbria Police requires employees to declare any other employment or business interests they intend to maintain. The purpose of this is to ensure business interests and additional occupations do not conflict with the work of the police, undermine public confidence, or adversely affect the reputation of Northumbria Police. Employees must also declare voluntary roles working with children or vulnerable adults (e.g., scout leaders) on appointment.
- 3.8. Police Officers, and certain police staff roles are restricted from taking an active part in political activity, such as standing as a member of parliament/local authority or be an officer of a politically party.
- 3.9. Northumbria police business interests information is published at the following link: [Northumbria Police - Published Items](#)
- 3.10. OPCC staff are required to complete a register of interests. The register of interests for the PCC is published on the OPCC website at the following link: [Police and Crime Commissioner - Interests](#)
- 3.11. The Force policy for **Gifts, Gratuities and Hospitality** is attached at **Appendix 2**. Northumbria Police acknowledges and understands there is a risk that police officers, police staff and members of the Special Constabulary may be unduly influenced by the receipt of gifts including hospitality, or, alternatively, could be open to accusations of being unduly influenced. To minimise the risk, a register of gifts including hospitality is maintained.
- 3.12. The Elected Local Policing Bodies (Specified Information Order) 2011 places a duty on the Commissioner to publish certain information within specified timescales, which includes a register of gifts and hospitality in addition to certain expenses. More information is provided on the OPCC website at the following link: [Compliance with Specified Information Order](#)

- 3.13. The Code of Ethics places an obligation upon officers and staff to challenge and report improper conduct. The Code of Ethics can be found at the following link: [Code of Ethics](#)
- 3.14. The Code of Ethics is embedded in the leadership of the Force. The Force Strategy is underpinned by the Code of Ethics – Do the right things, in the right way, for the right reasons. Whilst the Code of Ethics is not statutory, it is supported by a statutory [Code of Practice for Ethical Policing](#), which includes actions that chief officers should take to support people in their force to use the ethical policing principles and to demonstrate professional behaviour.
- 3.15. The Force has mandatory Code of Ethics training (College of Policing Courses) for all staff and officers in the force.
- 3.16. Northumbria Police has aligned the Code of Ethics Policing principles as the force policing values. The Code of Ethics is therefore fully aligned with leadership expectations, behavioural frameworks, performance processes and recognition arrangements, so that integrity, professionalism and public service are reinforced through routine management practice.
- 3.17. The Annual Integrity and Vetting Review and P&DR process provide structured opportunities to test how values, ethical standards and behaviours are being demonstrated in practice, reinforcing accountability and supporting meaningful discussion about conduct and decision-making.
- 3.18. Staff survey feedback indicates that colleagues feel increasingly represented, providing further evidence that work to align culture, values and behaviour is being experienced by the workforce.
- 3.19. The Force also operates a Trust Legitimacy and Confidence Board and Ethics Advisory Board.
- 3.20. Professional Standards reporting procedures outline how staff wishing to report wrongdoing may do so, including a statement of expectation. The Force Instructional Information System (IIS) contains all policies and procedures relating to Ethics and Codes of Conduct.
- 3.21. The Force **Whistleblowing** (Reporting Wrongdoing) Procedure is attached at **Appendix 3**. This procedure provides officers and staff, or others acting on behalf of Northumbria Police (including agency staff and contractors), with the means to report wrongdoing under the protection of the Public Interest Disclosure Act 1998. It outlines the process available to report integrity issues and aims to increase public confidence in Northumbria Police. The procedure is in place to reassure officers and staff that it is safe, acceptable and their duty to speak up.
- 3.22. The procedure explains that reports of theft, fraud or financial irregularity will be brought to the attention of the Head of PSD and the Head of Finance, who has overall responsibility for reporting to the Chief Constable, the Police and Crime Commissioner and the external auditor.
- 3.23. The [Police Anti-Corruption and Abuse Reporting Service](#) link on the Force website gives the public an anonymous route to report information about a police officer, member of

staff or volunteer, who they believe are corrupt or committing serious abuse. The reporting service is run by the independent charity [Crimestoppers](#).

3.24. The OPCC Confidential Reporting Policy can be found at the following link: [OPCC Northumbria Confidential Reporting Policy](#)

3.25. The Force P&DR process requires an Annual Integrity and Vetting Review (AIVR) for all employees. Compliance for the Integrity Health Check is monitored and reported to the Executive to ensure annual completion. This is a face-to-face annual review that takes place with an individual's line manager and covers:

- Code of Ethics
- Standards of Professional Behaviour
- Reporting Inappropriate Behaviour, Corruption and Misconduct Concerns
- Notifiable and Inappropriate Associations
- Use of Social Media
- Maintaining Professional Boundaries
- Workplace Relationships
- Harassment and Bullying in the Workplace
- Sexual Harassment in the Workplace
- Information Management, Data Protection and System Use
- Business Interests, Secondary Employment and Positions Held Outside Northumbria Police
- Financial Wellbeing and Unmanageable Debt
- Gifts, Gratuities, Hospitality
- Substance Misuse
- Overtime and Expenses
- Changes in Personal Circumstances

3.26. The internal audit of Counter Fraud and Corruption arrangements for 2025/26 found that control systems were Operating Well, and no findings were raised. The audit report was presented to the JIAC meeting on 23 February 2026.

4. Summary

4.1. The information presented in this report and appendices is intended to support JIAC members in their duty to provide appropriate independent assurance to the PCC and CC.

4.2. An update on these areas will be presented to JIAC on an annual basis to support the annual governance review process.

5. Considerations

Government Security Classification
Official

Freedom of Information/ Report Exemption
Non-exempt
Consultation
Yes
Resources
There are no additional financial considerations arising from this report.
Code of Ethics
There are no ethical implications arising from the content of this report.
Equality
There are no equality implications arising from the content of this report.
Legal
There are no legal considerations arising from the content of this report.
Risk
There are no additional risk management implications directly arising from this report.
Communication
No
Evaluation
No

Business Interests, Additional Employment and Positions Held Outside of Northumbria Police

Printable version of the SharePoint page. Last modified: 15/06/2026 10:53

Key information

The purpose of this procedure is to ensure any business interests undertaken within your private life do not cause a conflict of interest to your role with Northumbria Police.

A Business Interest application form can be found in the Resources section at the bottom of this page.

Police officers, police staff, volunteers, and line managers.

- Northumbria Police is committed to retaining an effective workforce. It is essential that the public has confidence in the integrity and impartiality of the police service.
- The Police Regulations 2003 (as amended by the Police (Amendment No. 3) Regulations 2012) require serving police officers to notify their Chief Officer, in writing, of the business interest they have or propose to have unless that business interest has previously been disclosed.
- This procedure does not prevent you from holding a business interest. It is designed to promote consistent decision making when authorising business interests which do not conflict with the work of the police, undermine public confidence or adversely affect your reputation, the Force, or the wider police service.
- Decision makers should start from the presumption that your application to register a business interest should be granted if there are no adverse reputational matters or conflict with the values and ethos of the police service. This will also determine whether conditions are attached to any approval and the reasoning behind any conditions imposed or indeed any outright rejection, which must be fully recorded.
- This procedure is intended to offer guidance and support to those decision makers who will approve or refuse business interest applications, and to you if you are submitting a business interest application form.
- Applicants to the police service are required to declare any existing business interest they may intend to continue should they be appointed; however, they will not be eligible for appointment if they intend on maintaining a business interest that is incompatible with being a member of Northumbria Police.

Decisions on compatibility will be based on this procedure. If an appropriate officer deems an

applicant's existing business interest to be incompatible, then either the applicant will be required to cease their involvement with that business interest, or their application to join the police service will be rejected. There is no right of appeal to a Chief Officer for such applicants.

- The 2024 Code of Ethics Guidance for ethical and professional behaviour in policing outlines that all members of the workforce must ensure any business is reported, authorised and does not conflict with police work and responsibilities, and seek clarification on what a conflict of interest is if uncertain.
- A flowchart is available in the Resources section.

Regulation 7 of the Police Regulations 2003 (as amended by the Police (Amendment No. 3) Regulations 2012) provides that a person has a business interest if:

a) being a member of a police force, the person holds any office or employment for hire or gain (otherwise as a member of the Force), or carries on any business, or; b) being a member of a police force or a relative included in such a member's family, the person holds or possesses a pecuniary interest in a licence or permit granted in pursuance of the law relating to liquor licensing, refreshment houses or betting and gaming or regulating places of entertainment in the area of the police force in question.

'Relative' in relation to a member of the police force means:

1. a spouse or civil partner who is not separated from that member;
2. a person living with the member as if they were the member's spouse or civil partner; or
3. a parent, son, daughter, brother or sister of the member.

Although police staff are not covered by police regulations, the same definition of business interest and relative applies to police staff and volunteers.

If you provide any additional assistance on a voluntary basis, in any capacity, to any person, club, activity or even outside of the organisation which has a direct involvement in any persons under the age of 18, OR any other vulnerable individuals, either paid or unpaid, you must submit a business interest application.

This procedure not only covers 'traditional work', but activities undertaken solely, or significantly, online. This could include if you have a social media or other online platform which induces financial or other gain (e.g. gifted products).

If you use online selling platforms to sell products or services (such as Patreon or Etsy for example) you should also submit a business interest.

Officer / Staff / Volunteer

- If you propose to have a business interest, you must give written notice of the business interest.
- Completed application forms should be forwarded to your line manager for consideration and then onto area command or departmental Senior Leadership Team (SLT) for endorsement.
- Your application form will be reviewed and considered within 14 days by the area command/department.
- Following consideration by line managers and SLTs, endorsed application forms should be forwarded to the appropriate officer via the Business Interest Mailbox for review and consideration by PSD.

The application form incorporates a declaration indemnifying Northumbria Police against injury or personal loss incurred as a result of the business interest.

In determining whether or not a prospective business interest is compatible with you remaining a member of Northumbria Police, and to identify and assess any risk to the Force or service reputation, the appropriate officer will take into account any commentary made by your line manager and SLT lead as to the compatibility with your role, duties and responsibilities of the proposed business interest.

The following additional considerations will be made for volunteer reserve force applications:

1. percentage of the workforce establishment authorised to serve within the volunteer reserve forces where abstractions for mobilisation is likely;
2. applicant's role;
3. applicant's location;
4. applicant's key skills.

In determining whether to approve an application for a business interest, the appropriate officer will consider each case on its own merits.

In order to allow a business interest to be granted which would otherwise be rejected, the appropriate officer may consider the imposition of conditions. Such conditions may facilitate the granting of a business interest which might otherwise not be approved or may set an appropriate framework in which your business interest must operate. In such cases the rationale for each condition imposed will be fully recorded.

Where an appropriate officer is minded to decide that your application for a business interest should not be authorised, or should be authorised only subject to conditions, you will be notified in writing and provided with an opportunity to make oral and written representations (and in doing so may be assisted or accompanied by a police friend/trade union/staff association representative) before a final decision is made. It is good practice for the appropriate officer to discuss informally with you any issues pertaining to the application prior to forming a preliminary view.

After receiving any such representations, the appropriate officer may either approve your original application, approve the application subject to conditions, or decide approval should not be granted. The reasoning behind any rejection of an application or the imposed conditions must be fully recorded and communicated to you.

A right of appeal to the Chief Officer exists. The appeal process is available in the Resources section.

Where an application is granted, the appropriate officer should provide you with written authority to undertake a business interest together with any conditions should they apply.

A number of police staff posts are politically restricted in accordance with The Local Government and Housing Act 1989 which means the political activities of these members of staff are restricted. Therefore staff in these posts cannot apply for a business interest to undertake specific political activities as their role means they would be ineligible. Further information about politically restricted posts is available in the Resources section.

If Northumbria Police has information that indicates you are undertaking a business interest (e.g. through the vetting process), you will be directed and must complete a business interest application.

Compliance for the completion of business interest applications will be managed by the relevant SLT leads. If a business interest application is refused, your line manager will be emailed 28 days following the refusal to inform you and place a requirement on your line manager to engage with you regarding the refusal. An entry into your P&DR should be completed by your line manager.

It is your responsibility to notify HM Revenue and Customs or any other relevant agency of any additional income or employment and to appropriately discharge any liabilities and/or satisfy any requirements.

It is your responsibility to report any changes in circumstances between reviews of an approved business interest to the Chief Officer via their line manager and PSD. The Chief Officer may ask for any additional information deemed necessary. Failure to do so will lead to consideration of the approval being rescinded.

You should submit an application for renewal/review when prompted to do so. Failure to do so will also lead to consideration of the approval being rescinded.

You must give written notice to PSD should you wish to terminate your business interest at any time. This also includes if you stop a voluntary role.

Enquiries might be made in certain circumstances (i.e. where intelligence appears to suggest) to ensure that the business interest has not been embarked upon without approval being sought or

in spite of the refusal.

Following the approval of your business interest there may be circumstances that lead to a review of the approval. These may include performance and attendance issues, conduct, health, welfare and wellbeing or any change in role. Northumbria Police reserves the right to investigate any cases where you have failed to declare, or failed to declare accurately any detail in your application which would otherwise have altered the decision making process regarding suitability and any potential conflict. This also includes circumstances where any conditions placed on the business interest are not complied with.

Approval may be made subject to conditions or withdrawn due to a revision of standards relating to business interests. In such circumstances you will not be subject to disciplinary proceedings or any other action for having conducted a previously approved business interest prior to the review.

For approved volunteer reserve force applications, you must notify your line manager and PSD if there are any changes to any of the following: role, location, variations in training commitments, working hours and/or deployment notice periods within the reservist role.

Manager

- Be aware that individuals may only operate a business interest with the permission of Northumbria Police. Conduct of a business interest without permission will be dealt with as a breach of the standards of professional behaviour under the misconduct procedures.
- Be aware that there are specified activities which will never be permitted. These are the holding of a licence or permit granted in pursuance of the law relating to liquor licensing, refreshment houses or betting and gaming or regulating places of entertainment within the Force area (all of which are activities specifically covered by Regulation 7 of the Police Regulations 2003).

Whilst each case will be considered on its own merits, a number of factors covering the following areas must be taken into account in determining whether to approve an application for a business interest:

1. Impartiality - predicted, expected or evidenced;
2. Impact on the Force - potential and perceptions;
3. The applicant's current performance;
4. Proportionality - in relation to seniority and role;
5. Equality and diversity;
6. Health, safety and wellbeing.

These six areas are expanded on in more detail below to assist in identifying specific issues relevant to each application. This list is not exhaustive and there may be considerations which apply to individual cases.

Impartiality - relates to the risk of the business interest interfering with the individual's ability to impartially discharge their duties or the extent to which the public would be likely to perceive or form an impression that it would so interfere:

- Whether the activity is one regulated by the police or where the police are involved in the licensing of the activity;
- Whether the business interest is merely an extension of an individual's duty or extent to which training, skill and experience provided by the Force are relied upon;
- Whether the office of constable or being an employee of the Force could be used to promote the business or additional employment or a product of the business or additional employment, or would allow other organisations or commercial interests to do so;
- Whether an individual's fairness or impartiality in their dealings with the public or colleagues might be compromised.

Impact on Northumbria Police or the service - relates to the risk of the business interest either discrediting Northumbria Police or undermining confidence in the police service:

- The nature of the business interest - how reputable it is in its own right in the eyes of the public and in association with the police service;
- Whether the activity could lead to the public losing confidence in the honesty and integrity of the individual or of the police service or if it would likely cause confusion in the minds of the public as to whether the individual was operating in an official or unofficial capacity;
- Where the activity could lead to the individual being improperly beholden to any person, organisation or institution;
- Whether the business interest could lead to conflicting contractual commitments to a third party e.g. providing advice to a training company which is contracted to work for Northumbria Police.

Current performance - relates to the risk of decline in performance of the individual evidenced by their current suitability through performance monitoring. Unsatisfactory attendance and misconduct should not necessarily be the reason for refusal unless either has a direct bearing on the business interest. An example of a business interest that may be accommodated with performance issues is allowance for a rental accommodation that provides income without incurring additional work pressures.

- Attendance: When an individual is absent from work on sick leave or returns to work on restricted or recuperative duties, line managers should give consideration (in consultation with their own SLT and PSD) to suspending approval of the business interest, providing the medical issue is related to the business interest so as to make it relevant.
- Misconduct and performance: PSD will consider any current or previous misconduct and the impact or risk of any relevant misconduct on the approval of any business interest. Line managers and SLTs should consider any current or previous performance issues within the workplace. If it is considered that the misconduct/performance relates directly to the business interest, approval may be modified or withdrawn. Where a member with an existing approved business interest is subject to police performance procedures, police misconduct procedures or managing performance procedures for police staff, current approved business interests should be reviewed by the appropriate officer, provided the conduct or performance is

directly related to the business interest.

Proportionality in relation to seniority and role - relates to the requirement to take account of the seniority, role and nature of the duties of the individual. For example, it would be sensible to reflect on the nature of the work carried out by the individual, the different employment status of police officers and police staff, and the public impact of their proposed business interest prior to making a decision. There should be 'no one size fits all' approach to decision making on business interests.

Equality and diversity - decisions on business interests must take full cognisance of equality and diversity considerations. Northumbria Police must ensure that all decisions can be justified by reference to relevant equality legislation and the duty on police forces under the Equality Act 2010 to actively promote equality.

Health, safety and wellbeing - relates to the duty of care to the individual and the risk of injury or increased stress and fatigue which could impact on their ability to perform duties to a satisfactory standard. As part of any consideration of a business interest it is essential that the applicant identifies the number of hours dedicated to the business interest per week and that line managers monitor the total number of hours a member will be working to comply with the duty to protect their health and safety. This will ensure that the total demands of the jobs do not pose a risk to the health of the member concerned or their ability to work safely, either as an individual or part of a team. A sensible starting point for these purposes would be to consider the requirements of the Working Time Regulations (1998) which state that hours worked as part of the business interest and role within Northumbria police do not exceed a maximum of 48 hours per week over a continuous period of 17 weeks.

More specific guidance on those business interests which are likely to be incompatible with the interests of the police service and will have a high probability of raising questions as to the ability of the member of Northumbria Police to discharge their duties with impartiality and the standard of integrity expected is provided in the Resource section

The list is by no means exhaustive. The fact that an activity for which approval is sought is on the list may not in itself justify rejection without full consideration of the risk and impact factors. Equally, the absence of any proposed interest or employment from this framework should not give rise to an assumption of reasonableness.

Received applications will be numerically referenced on a searchable database and forwarded to the appropriate officer for consideration. All such data will be processed in accordance with the Data Protection Act 2018 and disclosed in accordance with Northumbria Police statutory obligations under the Freedom of Information Act 2000.

The appropriate officer will provide an applicant with a written rationale for any decision to either not authorise an application or to impose limiting conditions on an application.

The business interest will be approved initially for a period of up to 36 months as decided by the appropriate officer and a review date will be agreed at the time of approval and at each subsequent review.

PSD will inform the individual prior to their review deadline that a review is imminent and they will be asked to resubmit a new application form via their respective line manager.

Northumbria Police will undertake the publication of a register of types or categories of activities being undertaken as business interests to provide transparency and to promote public confidence in the system. The published information will describe ranks of police officers and bands of police staff and police support volunteers but not details that could identify individuals. The published register should be updated periodically and at least annually.

Business interests should be declared on all applications for promotions, specialist posts, secondments and training courses requiring commitment in terms of private study, and attendance on residential modules out of Force. It is also recommended that business interests be declared in all changes of role or posting. This should not prejudice any application but, for successful applications, the implications of a business interest may require further consideration and discussion with the member.

Once authorised, business interests should also be reviewed as part of the Annual Integrity and Vetting Review (AIVR), taking into consideration:

- If the business interest still current and relevant, and
- Any identified risk to the individual concerned or to the organisation.

Any change in the risk associated with the business interest should be notified to PSD via the Business Interests Mailbox.

Resources

EIA - Business Interests

- Business Interest Application Form
- Business Interest Appeals Form
- Business Interest Appeals Process
- Business Interest Flow Chart
- Further Information on Politically Restricted Posts
- Incompatible Business Interests and Additional Occupations
- Career Break Procedure – Police Officers
- Police Misconduct - Police Staff
- Police Staff Handbook
- Standards of Professional Behaviour for Police Staff

- Unmanageable Debts Procedure
- Volunteer Reserve Forces Procedure
- Working Time Regulations

This procedure does not form part of any contract of employment, and we may amend it at any time.

This procedure should be applied in line with the ethical policing principles.

If you are subject to inappropriate behaviour, or witness it happening to someone else, you have an ethical obligation to report it.

Feedback

Source page: [https://northumbriapolice.sharepoint.com/sites/IIS/SitePages/Business](https://northumbriapolice.sharepoint.com/sites/IIS/SitePages/Business%20Interests,%20Additional%20Employment%20and%20Positions%20Held%20Outside%20of%20Northumbria%20Police.aspx) Interests, Additional Employment and Positions Held Outside of Northumbria Police.aspx

Gifts, Gratuities and Hospitality

Printable copy generated from SharePoint page

Field	Value
Instruction type	Procedure
Security classification	Official
Status	Pending
Review date due	31/08/2026
Last modified	15/06/2026 10:39

Key information

What is this procedure about?

To inform you of the considerations to be made and controls necessary when accepting and/or offering gifts and hospitality.

To protect you against the risk of, and accusations of, being unduly influenced by offers.

In order to minimise risk, it is a requirement of the Police and Crime Commissioner that a register of gifts including hospitality is maintained. This includes those gifts including hospitality both offered to and given by staff.

Who is this procedure for?

Police officers, police staff, volunteers and line managers.

Gifts, Gratuities and Hospitality at a glance

- There is a risk you may be unduly influenced by the receipt of gifts including hospitality, or alternatively could be open to accusations of being unduly influenced.
- The acceptance of gifts for services rendered to the public in the course of ordinary duties may conflict with the values of propriety and professionalism expected of you.
- In circumstances where refusal to accept a gift would or could cause embarrassment or offence, the gift may be accepted in accordance with the below.
- It is accepted as part of everyday engagement duties some officers may be provided with light refreshments, which is acceptable.
- To minimise the risk, a register of gifts including hospitality is maintained. This includes those gifts including hospitality both offered to and given by staff; however, does not apply where the recording of the gift including hospitality will breach operational confidentiality.
- Northumbria Police acknowledges the rights of its staff to protection of property in

accordance with the first protocol of Article 1 of the Human Rights Act 1998.

Officer / Staff - What you need to do

Officer / Staff / Volunteer

What you need to do

- Be aware you are subject to standards of professional behaviour, which specifically state that you are honest, act with integrity and do not compromise or abuse your position. Some volunteer roles are also bound by these standards.
- Decline an offer of any gifts, hospitality and any other forms of gratuities, as acceptance may compromise your impartiality or create a perception of such compromise.
- Be aware there are some occasions when to decline would cause offence or embarrassment to the organisation or the individual making the offer. The below provides details on the boundaries of acceptability.
- If you have any doubt seek advice from Professional Standards Department (PSD).

Acceptance of Gifts, Hospitality or Gratuities

The following should be considered to assist you and others in determining the boundaries of acceptability of any gift or hospitality:

- **Genuine:** Is this offer made for reasons of genuine appreciation for something I have done? Why is the offer being made, what are the circumstances, have I solicited this offer in any way or does the donor feel obliged to make this offer?
- **Independent:** Would the offer or acceptance be seen as reasonable in the eyes of the public? Would a reasonable bystander be confident I could remain impartial and independent in all of the circumstances?
- **Free:** Could I always feel free of any obligation to do something in return? How do I feel about the propriety of the offer? What are the donor's expectations of me should I accept?
- **Transparent:** Would I be comfortable if my acceptance of this offer was transparent to my Force, colleagues, and to the public or was reported publicly? What could be the outcome for the Force if this offer was accepted or declined?

Gifts

A gift may be accepted if it is:

- Of a trivial or inexpensive nature (for example, marketing materials e.g. diaries, calendars, stationery or other small items offered during a courtesy visit or conference) - **no requirement to declare on the Force register.**
- A small commemorative item from visiting overseas law enforcement or governmental

agencies or similar organisations - **no requirement to declare on the Force register; **and

- A** *bona fide, unsolicited and inexpensive gift*, including personalised gifts of thanks from members of the public or victims of crime, offered to individual officers or teams in genuine appreciation of outstanding levels of service - **details should be declared on the Force register.**

*Where the value of any gift is perceived to be over £30 it should be respectfully declined. Where it is genuinely believed this may cause offence to the person(s) giving the gift then the gift should be accepted with the intention of donating it to an appropriately identified charity and the person informed of this intention.

A gift should **not** be accepted if it is:

- From external contractors or companies tendering for work with the Force or wider service;
- A cash payment, voucher or money in kind (**other than donations to specific police charities or police supported charities – details of which should be recorded on the Force register and forwarded to the appropriate charity**); and
- A financial reward resulting from the publication of articles, provision of a product or service or delivery of presentations relating to the intended recipient's role or duties as a member of a police force (unless covered by an approved business interest application).

Such offers should still be declared on the Force register.

In general, alcohol should not be accepted as a gift; however, where the gift of alcohol appears reasonable in the circumstances and there is a genuine belief that the person giving the gift would be caused offence by it not being accepted then it is permissible to accept and retain the gift. If the value of the alcoholic gift appears to be over £30, refer to the note above.

Details of all gifts of alcohol, regardless of outcome, must be declared on the Force register.

Gratuities

A gratuity may be accepted if it is:

- An offer or discount negotiated through the Police Federation, the Superintendents' Association, other staff association or trade union, Sports and Social Club or other recognised body acting on behalf of the police service
- A discount to public service workers including members of the police service offered on the basis that the organisation in question has a large customer base of a trivial or inexpensive nature (and the Force has given explicit approval for such an offer); and
- Free travel arrangements for officers and staff if approved and formally negotiated through the Force.

****There is no requirement to declare any such gratuity on the Force register. ****

Gratuities which amount to individual gain from a points scheme when purchasing items, fuel, travel or accommodation for business purposes are not acceptable, but mechanisms are in place for these to be captured corporately.

Hospitality

Hospitality may be accepted if it:

- Extends to the impromptu provision of light refreshments during the course of policing duties – **no requirement to declare on the Force register;**
- Is a conventional meal provided during the course of a working day by another police force or partner agency in either law enforcement or community safety - **no requirement to declare on the Force register;** and
- Is a conventional meal and is in accordance with the recipient's duties, for example attendees at meeting, seminar or conference organised by an external body; the annual dinner of a representative association or local authority which are limited to isolated or infrequent occasions and can be demonstrable in the interests of the Force to attend - **details should be declared on the Force register.**

Hospitality will ****not ****be acceptable if it:

- Amounts to regular free or discounted food or refreshments (unless a discount has been negotiated in line with 5.1(I.) above) whether on or off duty that would not be available to the general public at that same time; or
- Includes a degree of lavishness which is outside of the industry norm or is beyond any sense of common courtesy or reasonableness.

Offers of such hospitality should still be declared on the Force register.

Administration

A Force register is held by the D/Superintendent PSD for the recording of offers of gifts, gratuities or hospitality irrespective of whether accepted or rejected by the recipient (subject to the exceptions previously stated).

This ensures scrutiny, auditing and governance of the register in line with wider corporate arrangements for integrity and counter corruption. Details from the register are published on the Force website on a monthly basis.

You should record the following on the Declaration of Offers of Gifts including Hospitality form (see Forms section below):

- Date of receipt/offer of gift/hospitality;
- Who made the offer;
- Why was the offer made;
- What was offered; and
- Approximate value of the offer.

Once completed the form should be forwarded to your Area Commander/Head of Department for their consideration prior to accepting an offer.

If, due to the nature of the offer, the gift or hospitality has already been accepted or declined the form should still be completed detailing the circumstances and reasons for acceptance/declination. All finalised forms should be forwarded to the Professional Standards Mailbox.

The register will also include details of offers made to, and by, Chief Officers and will be open to inspection, at any time, by the Police and Crime Commissioner and will be subject to Freedom of Information requests.

Manager

What you need to do

- Ensure you comply with all of the above.
- Regularly remind your team members of their need to comply with this procedure.
- If you are made aware of a team member being offered and/or accepting any of the above, discuss the circumstances with them.
- Support your team member with their completion of the Declaration of Offers of Gifts including Hospitality form.
- Seek advice from PSD if necessary.

Resources

Equality impact assessment

- EIA - Gifts, Gratuities and Hospitality
(/b:/r/sites/IIS/Supporting%20Documents/Professional%20Standards/Gifts,%20Gratuities%20and%20Hospitality/EIA%20-%20Gifts,%20Gratuities%20and%20Hospitality.pdf)

Forms

- Declaration of Gifts including Hospitality (June 24)
(/w:/r/sites/IIS/Supporting%20Documents/Professional%20Standards/Gifts,%20Gratuities%20and%20Hospitality/Declaration%20of%20Offers%20of%20Gifts%20including%20Hospitality

Related procedures

- Complaints and Recordable Conduct Handling
(/sites/IIS/SitePages/Complaints%20and%20Recordable%20Contact%20Handling.aspx#useful-links)
- Standards of Professional Behaviour for Police Staff
(/sites/IIS/SitePages/Standards%20of%20Professional%20Behaviour%20for%20Police%20Staff.aspx)

Useful links

- Bribery Act 2010 (<https://www.legislation.gov.uk/ukpga/2010/23/contents>)
- Police Act 1996/Police Regulations (<https://www.legislation.gov.uk/ukpga/1996/16/contents>)
- Prevention of Corruptions Acts 1906 (<https://www.legislation.gov.uk/ukpga/Edw7/6/34/enacted>) and 1916 (<https://www.legislation.gov.uk/ukpga/Geo5/6-7/64/enacted>)

Source page: /sites/IIS/SitePages/Gifts, Gratuities and Hospitality.aspx

Whistleblowing

Printable copy generated from SharePoint page

Field	Value
Instruction type	Procedure
Security classification	Official
Status	Pending
Review date due	17/12/2027
Last modified	27/03/2026 15:27

Key information

What is this procedure about?

This procedure** **provides you with the means to report wrongdoing under the protection of the Public Interest Disclosure Act 1998.

It outlines the process available to report integrity issues and aims to increase public confidence in Northumbria Police.

Who is this procedure for?

Police officers, police staff, volunteers, line managers or others acting on behalf of Northumbria Police (including agency staff and contractors).

Whistleblowing at a glance

- Whistleblowing is when an employee reports suspected past, present or imminent wrongdoing, or an attempt to conceal wrongdoing. Whistleblowing is important to safeguard the effective delivery of public services, and to ensure value for money. It serves to protect and reassure the workforce, increase public confidence, maintain a healthy working culture and promote an efficient organisation.
- Northumbria Police encourages you to share concerns about possible wrongful conduct of a fellow officer, member of staff, volunteer, client or any third party which has come to your attention through work.
- The following principles underpin this procedure:
- All members of the police are encouraged to speak up and raise any concerns they may have about wrongdoing as soon as they notice it.
- All members of the police raising a concern will be afforded protection against personal detriment wherever possible.
- All members of the police raising a concern will be listened to and treated with respect.

- All concerns will be handled responsibly, professionally and in a positive manner.
- Help and support will be provided to employees where concerns are raised under this policy.
- Supervisors will be supported in dealing appropriately with concerns which are raised with them.
- Northumbria Police recognises that at one time or another you may have a concern about what is happening at work and usually this is easily resolved. However, when the concern feels serious and affects others, such as other officers or staff, or the public, it is important to know what procedures are in place to bring such concerns to the Force's attention. The Public Interest Disclosure Act (PIDA) 1998 provides statutory protection to 'workers' disclosing this type of information to their employer or approved third parties.
- A qualifying disclosure under PIDA is defined as any of the following:

a) A criminal offence has been committed, is being committed or is likely to be committed.

b) A person has failed, is failing or is likely to fail to comply with any legal obligation to which they are subject.

c) A miscarriage of justice has occurred, is occurring or is likely to occur.

d) The health or safety of any individual has been, is being or is likely to be endangered.

e) The environment has been, is being or is likely to be damaged.

f) Information tending to show any matter falling within any one of the above has been, is being or is likely to be deliberately concealed.

This could include things like someone abusing their authority for a sexual purpose, an organisational breach of legal obligations or statutory guidance, significant health and safety failings, or an individual or organisationally caused miscarriage of justice.

- The Standards of Professional Behaviour and Code of Ethics places an obligation upon officers and staff to challenge and report improper conduct. Northumbria Police recognises the decision to report a concern can be challenging and difficult; however, it is important to note that 'blowing the whistle' (i.e. making a protected disclosure) must be done without fear of victimisation, subsequent discrimination or disadvantage. Northumbria Police will not tolerate harassment or victimisation and will take appropriate action to protect you when you raise a genuine concern.

Sexual Harassment

On 6th April 2026 under the worker protection Act 2023, further protections came into effect which extends whistleblowing safeguards to protect workers who report sexual harassment.

The law now makes it explicit that workers who raise concerns about sexual harassment will be protected under the whistleblowing legislation and afforded the protections outlined within this procedure.

Grievance or Procedure?

This procedure does not replace the Grievance procedure for dealing with personal grievances or issues that are not in the public interest. You must have a reasonable belief that raising the concern is in the public interest when using this procedure. Whilst there is no definition of public interest, the issue being raised should have significance beyond the individual whistleblower or their immediate colleagues. It should impact the public, the force, or a significant group of staff.

In contrast, a personal grievance is a complaint about your own employment situation, such as a concern or complaint about terms and condition, entitlements, management decisions or workplace bullying. Advice can be sought from the Professional Standards Department (PSD), Senior Leadership Team (SLT) or a Senior People Partner within the People Support Team if you are unsure which procedure applies.

This procedure is in place to reassure you that it is safe, acceptable and your duty to speak up. It will guide you if you need to raise any concerns you may have at an early stage and in the right way. You do not need to know whether your disclosure meets the threshold for protected disclosure; this is for the organisation to consider and determine which is the most appropriate procedure to follow. A protected disclosure may be identified during any process in which concerns are raised (e.g. informal management discussions, grievances, complaint or conduct matter).

Whilst not all disclosures meet the protected disclosure definition under PIDA, all reports of wrongdoing are dealt with seriously and sensitively.

Confidentiality

All concerns will be treated in confidence and every effort will be made not to disclose your identity where this is requested. If you ask us not to disclose your identity, we will not do so without your consent unless required by law. There may be times when the Force is unable to resolve a concern without revealing your identity, for example where your personal evidence is essential. In such cases, the Force will discuss with you whether and how the matter can best proceed.

False and Malicious Allegations

Where a concern is not genuine and it is shown that the allegation is made maliciously or for personal gain, an investigation will take place and consideration given to disciplinary / misconduct action.

Officer / Staff - What you need to do

****Officer / Staff / Volunteer ****

What you need to do

- You have a duty to raise your concerns in accordance with the Standards of Professional Behaviour. Managers also have a duty to listen and record your concerns, take them seriously and ensure they are dealt with thoroughly, fairly and promptly.
- Therefore, you are encouraged to raise any concerns internally in the first instance and there are a number of options available to you.

Raising a Concern - Internally

Reporting Directly to Management

Where possible you should challenge the improper conduct directly or report it to your line manager; however, depending on the seriousness and sensitivity of the issues, it may be more appropriate to raise concerns with a more senior manager.

Concerns may be raised verbally or in writing. If making a written report, the following details should be included: • background and history of the concern (including relevant dates); • the reason why you are concerned about the situation.

If the concern is raised verbally, a written note will be taken in line with the above.

Reporting to Professional Standards

You can report any concerns directly to Professional Standards via the Whistleblowing mailbox. Access to this mailbox is restricted. You can also speak to any member of PSD SLT to raise concerns or for advice.

Within the email to the Whistleblowing mailbox, you should include the following details:

- background and history of the concern (including relevant dates)
- the reason why you are concerned about the situation.

Independent Advice**

Independent advice can also be sought from the Police Federation, Superintendents' Association, police staff Trade Unions or Support Networks.

Raising a Concern - Externally

Police Integrity Line - Crimestoppers

As a police employee, you can use the Crimestoppers Police Integrity Line to report concerns. When making a report to Crimestoppers you can elect to remain 100% anonymous or provide your details should you wish to. Your IP address or location is not tracked. Either way, if you choose to report online, we would encourage you to select two way engagement so Crimestoppers operators can come back to you for more information.

Report your concerns by calling 0800 111 4444 or visit the Police Integrity Line website for more information.

Independent Office for Police Conduct

The Independent Office for Police Conduct (IOPC) report line provides a dedicated secure phone line and email address that enables police officers and staff to report concerns about a colleague or Force. These concerns could be about committing a criminal offence or behaving in a way that would justify disciplinary action.

The Report Line can be contacted between the hours of 9am and 5pm, Monday to Friday. Out of hours, an answerphone is available so a message can be left with contact details. The IOPC will return the call as soon as practicable.

The contact details are as follows:

**

- IOPC Report Line - 0845 877 0061
- Email: reportline@policeconduct.gov.uk

Independent Advice**

Advice can be sought from the Police Federation, Superintendents' Association, UNISON, GMB, or Support Networks.

Protect (formerly Public Concern at Work)

If you are unsure about raising a concern you can obtain independent advice from Protect, the independent whistleblowing charity.

Protect can be contacted either by telephone: 0203 117 2520 or online (see 'Resources').

Responding to a Concern

In order to protect you and any witnesses after you have reported your concern, initial enquiries will be made to decide whether an investigation is appropriate and if so, what form it should take.

The amount of contact between you and the person considering the issues will depend on the nature of the matters raised, the potential difficulties involved and the clarity of the information provided.

As part of these initial enquiries contact will be made with you to establish further information regarding the raised concerns. It will be discussed with you at the earliest opportunity the support can be offered. A contact contract will also be agreed with you.

Where appropriate a meeting may be arranged to discuss the disclosure and available support. You may bring a federation representative, union representative or police friend to any meetings that are arranged. We will seek to agree a suitable time and location for the meeting with you, recognising the sensitivities involved.

Where appropriate, updates on action taken will be provided to you. Depending on the circumstances, this may not always be possible. Whilst the Force cannot guarantee a response to all matters in the way you might wish, it will handle the matter fairly, impartially and properly.

Detriment

It is crucial that those who come forward with any genuine concerns and/or witnesses do not experience any form of detriment as a consequence. If at any stage you experience reprisal, harassment, victimisation or any form of detriment for raising a genuine concern please raise this with your line manager, PSD, People Department, Trade Union or Staff Association.

Support for Whistleblowers

All members of the police raising a concern will be listened to and treated with respect. Help and support will be provided to employees where concerns are raised.

Depending on the nature of the concern raised, you may be allocated a Welfare Support Officer (WSO) to provide dedicated support to you.

More information regarding general welfare support that the force offers can be found on NIK.

Employee Assistance Programme

Anyone can self-refer to the Employment Assistance Programme (EAP) service. This service is available 24 hours a day, seven days a week to all Police Officers, Staff, and members of their immediate families. The service is confidential and covers a wide range of issues with dedicated staff being on hand to provide information, advice and support to help individuals with on-going challenges. You can contact the service by telephone on 0800 688 8010 or from abroad: 01865 397 074.

If someone is seriously concerned about their immediate wellbeing or that of a colleague, they should seek urgent medical intervention by contacting a GP or attending Accident and

Emergency.

Manager

What you need to do

- If a concern is raised with you in the first instance and you are satisfied you are able to address that concern you should do so providing feedback to the person raising the concern and keep a record of the outcome.
- If you require any advice or support in relation to addressing the concern you can contact the Counter Corruption Unit (CCU) in PSD or People Department.
- It is particularly important that you seek advice if you become aware that anyone raising a concern and/or a witness is being subjected to any unfair treatment as a consequence.

Advice to Line Managers

We appreciate this area is complex and difficult and encourage supervisors to seek guidance from PSD SLT if any concerns are raised via the Whistleblowing mailbox or direct contact. PSD can provide advice on next steps. You do not have to determine whether a concern meets the criteria of a protected disclosure; however, you should make yourself aware of this procedure.

If a disclosure is made to you, you should:

- Ensure, so far as is possible, the environment in which you receive the disclosure is appropriate and private
- Consider whether the individual requires or requests anonymity
- Consider if there are any immediate risks to the organisation or the public which requires action
- Consider if the person requires support from the Federation, Superintendents' Association, trade union or support network.
- Consider if there are any immediate measures required to protect the individual from detriment (e.g. discretionary leave, working environment, workload etc.)
- Consider if the person requires welfare support
- Escalate to PSD via the Whistleblowing mailbox or by contacting PSD SLT

You must make a written record of the disclosure.

You must seek advice if you become aware that anyone raising a concern is being subjected to any unfair treatment as a consequence.

Resources

Equality impact assessment

- EIA - Whistleblowing
(/b:/r/sites/IIS/Supporting%20Documents/Professional%20Standards/Whistleblowing/EIA%20-%20Whistleblowing.pdf)

Related procedures

- Grievance (/sites/IIS/SitePages/Grievances.aspx)

Useful links

- Protect (<https://protect-advice.org.uk/contact-protect-advice-line/>)
- Police Integrity Line website (<https://forms.theiline.co.uk/policeintegrityline>)
- Public Interest Disclosure Act 1998 (<https://www.legislation.gov.uk/ukpga/1998/23/contents>)
- Standards of Professional Behaviour (https://assets.publishing.service.gov.uk/government/uploads/system/uploads/attachment_data/file/863820/Home_Office_Statutory_Guidance_0502.pdf)

Source page: /sites/IIS/SitePages/Whistleblowing (Reporting Wrongdoing).aspx