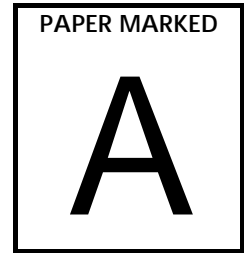


LEICESTERSHIRE POLICE AUTHORITY



Meeting **AUDIT AND RISK COMMITTEE**

Date **TUESDAY 10 JANUARY 2012 – 1.00 P.M.**

Report of **CHIEF EXECUTIVE & TREASURER**

Subject **POLICE AUTHORITY RISK REGISTER**

Summary

1. The Police Authority specific Risk Register has been updated following the last meeting of the Committee and each risk has been reviewed in terms of assurance, impact and likelihood. Work is ongoing to align the significant risks of the Police Authority and the Constabulary and a verbal update will be provided at this meeting.

Recommendation

2. Members are recommended to scrutinise and amend as necessary the risks listed at Appendix 1.

Commentary

3. The latest version of the Register is attached at Appendix 1. Risk numbers are allocated automatically by the ORCHID risk management system.
4. The Committee is invited to scrutinise the register and consider whether any changes should be made, including whether any new risks should be added.

Implications

Financial: none. Legal: none. Diversity: none. Risk Management: within the report.

Background Papers

None

Officers to Contact

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APPENDIX 1

Risk Score Allocation	
IMPACT: Minimal (1)	Minor service delivery disruption / Adverse public comment / No injury / Low financial cost
Noticeable (2)	Some service disruption / Reduced public confidence / Minor injury / Unplanned financial cost
Major (3)	Significant service disruption / Serious public criticism / Serious injury / Large financial cost
Disaster (4)	Significant service failure / Total loss of public confidence / Fatality / Major financial crisis
LIKELIHOOD: Low (1) Medium (2) High (3) Very High (4)	

	LOW	MEDIUM	HIGH	VERY HIGH
MINIMAL	1	2	3	4
NOTICEABLE	2	4	6	8
MAJOR	3	6	9	12
DISASTER	4	8	12	16

LEICESTERSHIRE POLICE AUTHORITY: RISK REGISTER AS AT 16 DECEMBER 2011

Priority 1:

Set our vision for the future of policing in Leicester, Leicestershire and Rutland, set clear strategic priorities for reducing crime and hold the Chief Constable to account.

Responsible Officer: Chief Executive/Treasurer

RISK DESCRIPTION	CONTROLS
<p>(Risk PA 583) Available funding proves inadequate to deliver the Authority's programme to acceptable levels of quality.</p> <p><i>Priority Rating</i> 12</p>	<ul style="list-style-type: none"> • "Delivering the Changes" programme. • SFPG Scrutiny • Four Year Financial Plan • Lobbying • Treasury Management Strategy Review – regular reviews to safeguard investments. • Partnership Working – maintaining focus through partnership working on securing external contributions including to PCSOs. • Review of PA support staff structure. • Recruitment of Project Manager. <p><i>Impact with controls</i> 4</p> <p><i>Likelihood with controls</i> 3</p>
<p>(Risk PA 582) The volume of activity and/or scale and rate of change impacts adversely on business delivery.</p> <p><i>Priority Rating</i> 12</p>	<ul style="list-style-type: none"> • PA Business Plan 2011/12 identifies key areas of work and timescales. • Review of PA support staff structure. • Recruitment of Project Manager. • Review of PA Committee/Meetings structure. <p><i>Impact with controls</i> 4</p> <p><i>Likelihood with controls</i> 3</p>

Priority 3:

Consult effectively so as to inform strategic planning that will respond to the policing needs of the diverse population of Leicester, Leicestershire and Rutland.

Responsible Officer: Chief Executive/Treasurer

RISK DESCRIPTION	CONTROLS
<p>(Risk PA 588) Our consultation process is not sufficiently embedded in our Business Plan nor is sufficient resource identified to deliver effective consultation and engagement.</p> <p><i>Priority rating</i> 6</p>	<ul style="list-style-type: none"> • Consultation Data – data from consultation and engagement is used in strategic planning. • CRAVE • CRAVE 2 development – less detailed but sufficient to deliver good outcomes. • PA Business Plan 2011/12 – clear identification of consultation as key area of business. • Community Based Survey – results utilised into setting of Force priorities for Policing Plan. <p><i>Impact with controls</i> 3</p> <p><i>Likelihood with controls</i> 2</p>

Priority 4:

Establish productive relationships with our diverse communities to deliver joint solutions to the crime and anti-social behaviour issues that matter to local people.

Responsible Officer: Chief Executive/Treasurer

RISK DESCRIPTION	CONTROLS
<p>(Risk PA 589) Use of resources in partnership working does not result in benefits to local communities.</p> <p><i>Priority rating</i> 4</p>	<ul style="list-style-type: none"> • Allocation of members to partnership boards. • Engagement with Leaders of upper tier authorities. • Collaboration Board/EMPAJC – opportunity to seek joint provision. • Co-ordination & Change Programme Group – scrutiny of partnerships, collaboration etc. <p><i>Impact with controls</i> 2</p> <p><i>Likelihood with controls</i> 2</p>

Priority 5:

Develop and maintain a team of members, PA officers, force and partners to support the delivery of effective, efficient and economic policing.

Responsible Officer: Chief Executive/Treasurer

RISK DESCRIPTION	CONTROLS
<p>(Risk PA 591) As a result of statutory and financial pressures appropriate candidates are not attracted, retained and developed.</p> <p><i>Priority rating</i> 2</p>	<ul style="list-style-type: none"> • No recruitment – no further recruitment for remainder of PAs existence. • Rigorous recruitment process. • Induction regime. • Training and development programmes. • Annual appraisals. • Members' skills audits. • Motivational benefits package. • Terms of Office extended – the terms of office for PA members which will expire before November 2012 will have these extended until the date of abolition. <p><i>Impact with controls</i> 1</p> <p><i>Likelihood with controls</i> 2</p>
<p>(Risk PCC 593) Lack of resources may lead to inadequate handover to an elected Police & Crime Commissioner (PCC).</p> <p><i>Priority rating</i> 12</p>	<ul style="list-style-type: none"> • Transition Board – internal board chaired by Chief Executive and membership includes PA and Force. • Home Office Transition Working Group – Chief Executive a member of several work stream groups. • Recruitment of Project Manager. • Leicestershire Strategic Transition Board. <p><i>Impact with controls</i> 4</p> <p><i>Likelihood with controls</i> 3</p>

<p>(Risk PA 602) Leadership, management and/or the proportion of staff recruited/retained with limited skills and/or experience of the business impacts adversely on delivery. Impact of Secretariat Review on short term performance levels.</p> <p><i>Priority rating</i> 9</p>	<ul style="list-style-type: none"> • Rigorous recruitment process. • Induction regime. • Training and development programmes. • Annual appraisals. • Secretariat Review – Chief Executive undertaken review of skills needed to deliver a modern, business-like resource. <p><i>Impact with controls</i> 3</p> <p><i>Likelihood with controls</i> 3</p>
<p>(Risk PA 603) Member or officer impropriety which affects the reputation of the organisation. Economic climate may put pressure on individuals.</p> <p><i>Priority rating</i> 6</p>	<ul style="list-style-type: none"> • Standards Committee. • Induction training. • Codes of Conduct for members and senior officers. • Internal audit work – opportunity to undertake audits and inspections. • Voluntary Standards Regime – introduction of voluntary standards regime following abolition of statutory framework by Localism Act. <p><i>Impact with controls</i> 3</p> <p><i>Likelihood with controls</i> 2</p>

Priority 7:

Ensure effective protective services are provided in accordance with a professional assessment of threat, risk and harm.

Responsible Officer: Chief Executive/Treasurer

RISK DESCRIPTION	CONTROLS
<p>(Risk PA 606) Insufficient governance to give the PA assurance that the level of service is appropriate and correct procedures are in place.</p> <p><i>Priority rating</i> 6</p>	<ul style="list-style-type: none">• Robust Audit & Risk Committee.• Critical Incident Governance.• Protective Services Governance.• Business Plan 2011/12.• Assurance Framework – critical incidents and high reputational risks identified. <p><i>Impact with controls</i> 3</p> <p><i>Likelihood with controls</i> 2</p>

POLICE AND CRIME COMMISSIONER RISKS

Responsible Officer: Chief Executive/Treasurer

RISK DESCRIPTION	CONTROLS
<p>(Risk PCC 980) Content of schemes to transfer assets (people and non people) from employ/ownership of Police Authority to either Office of Chief Constable or Office of Commissioner is deemed unacceptable by Home Secretary leading to the arrangements for the transfer being prescribed by Home Secretary</p> <p>Priority rating 4</p>	<ul style="list-style-type: none"> • Work with Home Office to negotiate and develop transfer scheme order <p>Impact with controls 2</p> <p>Likelihood with controls 2</p>
<p>(Risk PCC 979) Failure of Police Authority to co-ordinate with key stakeholders (eg Chief Constable, Local Authorities etc.) during transition process.</p> <p>Priority rating 6</p>	<ul style="list-style-type: none"> • Leicestershire Strategic Transition Board – containing representation from all agencies affected by transition to new arrangements. <p>Impact with controls 3</p> <p>Likelihood with controls 2</p>
<p>(Risk PCC 981) Failure to provide adequate revenue and capital funding for start up and transition costs. Lack of funding could prevent the facilitation of transferring assets, any training induction for PCC, etc.</p> <p>Priority rating 6</p>	<p>Budget setting - include provision for PCC start up and transition in budget setting process for Police Authority.</p> <p>Impact with controls 3</p> <p>Likelihood with controls 2</p>

(Risk PCC 978) That support staff will leave during the period of transition or utilised for other key tasks. This will be monitored and contingency arrangements made to utilise other staff (from within the Force or other agencies) to backfill in the event of this occurring.

Priority rating

4

- Back fill using Chief Constable's staff – when any member of police staff in the Police Authority leaves, their workload will be temporarily covered by police staff within the line management of the Chief Constable until such time as the Police Authority is abolished.

Impact with controls

2

Likelihood with controls

2