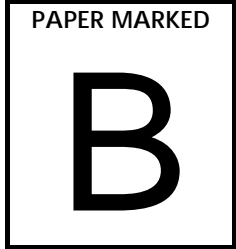


LEICESTERSHIRE POLICE AUTHORITY



Meeting **AUDIT AND RISK COMMITTEE**

Date **TUESDAY 21 JUNE 2011 – 1.00 P.M.**

Report of **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. Since the last meeting of this Committee work has been undertaken in identifying all risks relating to transition.

Recommendation

2. Members are recommended to scrutinise and amend as necessary the risks listed at Appendix 1;
3. Members are asked to review the detailed list of transition risks, as identified by the Transition Board, and recommend which of these should be labelled "significant" and entered onto ORCHID for future reporting purposes. The risks shown in ***bold italic*** have been identified by some APACE members as significant in their own deliberations.

Commentary

4. The latest version of the Register is at Appendix 1. Risk numbers are allocated automatically by the Orchid risk management system.
5. The Committee is invited to scrutinise the register and consider whether any changes should be made, including whether any new risks should be added.
6. Work has been ongoing with APACE to identify those risks which can realistically be associated with the transition to a Police and Crime Commissioner-led organisation. Appendix B to this report details all of the risks currently discussed at APACE transition groups and it is necessary for this Committee to agree which of these risks should be placed on ORCHID for future scrutiny and reporting. These risks will also be taken to the LPA Transition Board on a regular basis and linked to the Implementation Plan as this develops.

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 13 JUNE 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 and communication • Treasury Management Strategy Review – regular reviews to safeguard investments. • Partnership Working – maintaining focus through partnership working on securing external contributions including to PCSOs. <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> 9</p>	<ul style="list-style-type: none"> • The PA Development Programme 2010 aims to shape an organisation better able to respond to these pressures via the following outcomes; <ul style="list-style-type: none"> - an effective and efficient governance structure - an improved process for assessing "lessons learned" publications and inspection reports - an improved process for working with the Force on strategic issues leading to the preparation of the Local Policing Plan - a Business Plan that will guide the work of the Authority <p><i>Impact with controls</i> 3</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/information from consultation and engagement is used in strategic planning. • CRAVE • CRAVE 2 development – less detailed but sufficient to deliver good outcomes. • PA Development Programme 2010. • PA Business Plan 2011/12 – clear identification of consultation as key area of business. <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> 6</p>	<ul style="list-style-type: none"> • Rigorous recruitment process. (All) • Induction regime on joining. (All) • Training and development programmes. (All) • Annual appraisals. (All) • Members' skills audits. (Members) • Motivational benefits package (ACPO) <p><i>Impact with controls</i> 3</p> <p><i>Likelihood with controls</i> 2</p>
<p>(Risk PA 593) Lack of resources leads to inadequate handover to an elected Police & Crime Commissioner (PCC). Develop and maintain a team of members, PA officers, Force and partners to support the delivery of effective, efficient and economic policing.</p> <p><i>Priority rating</i> 9</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. • APACE national work streams <p><i>Impact with controls</i> 3</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</p>	<ul style="list-style-type: none"> • Standards Committee. • Induction training.

organisation. Economic climate may put pressure on individuals.

- Codes of Conduct for members and senior officers.
- Internal audit work – opportunity to undertake audits and inspections.

Priority rating

6

Impact with controls

3

Likelihood with controls

2

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 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 incidents 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>