

APPENDIX 2

Risk Reference	Risk Identified	Category	Existing Controls	Impact	Likelihood *	Priority Rating	Responsible Officer for Risk	Risk Status: Controlled (C) Awaiting Control (A) or Managed (M)
PA107	<p>Implementation of 2008 precept decision</p> <p><i>9-Sept-08: on 7 February 2008 the Police Authority resolved to increase the precept for 2008/09 by 15.43% in order to recruit 105 additional police officers and 22 police staff. The Government threatened to cap the increase but withdrew the threat on 26 June 2008. As a result there has been a delay in implementing the growth, with the result that an underspend will occur in 2008/09.</i></p> <p><i>There is a risk if that underspend is publicised that public confidence in the Authority will be affected. The likelihood of an underspend is very high and the likelihood of that leading to a reduction in public confidence is high.</i></p> <p><i>The impact of such an event is major (serious public criticism).</i></p> <p><i>The scores allocated are impact 3 and likelihood 4 = 12.</i></p>	Stakeholders/Reputation	Strategic Financial Planning Group Implementation group chaired by FFD HR and FGP Committee overview	3	4	12	Chris Smith	Controlled
PA75	<p>Inability to recruit and retain suitable Chief Officers</p> <p><i>3-Nov-08: it is crucial for the effective running of a police force that a high calibre chief officer team is in place. The Authority can ensure this because it appoints ACPO officers. Retention and recruitment practices relating to ACPO officers are therefore the issue regarding this risk.</i></p>	Governance	Reputation of force and police authority Contribution to national manpower planning Appropriate motivational package benefits package agreed by Remuneration Committee 21 April 08	4	3	12	Robert Swinfield	Controlled

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PA72	Ineffective partnership working. <i>3-Nov-08: This risk recognises that in order to carry out its duties, in particular consultation, the Authority needs to have effective partnership working.</i>	Stakeholders/Reputation	Employment of full time Engagement and Communications Officer PA represented on SARCOG Members allocated to CDRPs	3	3	9	Robert Swinfield	Controlled
PA154	Loss of investments due to failure in the banking system	Finance	Review of Treasury Management Policy	4	2	8	Chris Smith	Controlled
PA76	Lack of control over appointment of externally appointed Police Authority Members <i>3-Nov-08: The Police Authority itself appoints the 8 Independent Members of the Authority and from the community. In doing so it devises person specifications and can ensure in its recruitment practices that it recruits the people with the right qualifications and experience. Councillor Members are appointed by the Joint Authority Appointments Committee made up of Councillors from Leicestershire County Council, Rutland County Council and Leicester City Council. This risk reflects the fact that the Authority therefore cannot select those Members.</i>	Governance		2	3	6	Robert Swinfield	Controlled

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PA59	<p>Ineffective Secretariat</p> <p><i>3-Nov-08: This risk reflects the fact that the secretariat is made up of 6.5 full time equivalents therefore effective recruitment and retention and performance processes need to be in place.</i></p>	Operations / Performance	Regular staff meetings Programme of appraisals	3	2	6	Robert Swinfield	Controlled
PA61	<p>Performance Information not linked to planning process and resource allocation</p> <p><i>3-Nov-08: This risk reflects the fact that resource and demand planning requires access to up to date and appropriate performance information.</i></p>	Operational/Performance		2	3	6	Robert Swinfield	Controlled
PA64	<p>Failure to retain local council contributions to PCSOs.</p> <p><i>3-Nov-08: Although councils contribute to funding of PCSOs, the Authority is the employer. Therefore if at any stage that funding was withdrawn the Authority would face all the risks associated with that shortfall.</i></p>	Finance	Communication with local councillors CDRP membership	2	3	6	Robert Swinfield	Controlled

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PA62	<p>Lack of Resources</p> <p><i>9-Sept-08: the Government continues to apply damping to annual grant allocations with the result that Leicestershire Police Authority loses approx £3m grant each year to which it is entitled under the formula. The result has been a 15.43% permitted increase in the 2008/09 precept but a 3% cap imposed for the two subsequent years. That cap, and the general principle of capping adopted by government, means that the budget needed to meet local risks and pressures cannot be balanced by income. Although sufficient reserves exist to balance the budget in 2008/09 (and probably 2009/10 depending on pay inflation), the problem will re-emerge shortly thereafter. Unless the budget is cut again, or the grant allocation formula is applied in full, the books cannot be balanced. Whilst government will continue to be lobbied on grant, it has to be assumed that council tax capping will remain. The likelihood of lack of resources in the medium term is medium, the impact should it happen would be major (significant service reduction).</i></p> <p><i>The scores allocated are impact 3 and likelihood 2 = 6.</i></p>	Finance	Detailed scrutiny of planned spending In year management of planned underspends	3	2	6	Chris Smith	Controlled

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PA54	<p>Reputational Damage to the Police Authority due to Member impropriety</p> <p><i>3-Nov-08: Should an individual member misbehave or breach the code of conduct, such an incident would have an effect on the reputation of the Police Authority as a whole.</i></p>	Stakeholders/Reputation	<p>Standards Committee</p> <p>Members Access to Advice</p> <p>Legal Officer</p> <p>Working Relationships</p> <p>Code of Conduct</p>	3	2	6	Robert Swinfield	Controlled
PA55	<p>Police Authority Strategy</p> <p><i>3-Nov-08: This risk is there to remind members that the Authority needs to keep its focus on Strategic issues.</i></p>	Operational/Performance	<p>Recruitment process</p> <p>Strategic Planning</p>	3	2	6	Robert Swinfield	Controlled
PA69	<p>Inability to capitalise on improved community engagement through the role out of neighbourhood policing</p> <p><i>3-Nov-08: The risk here recognises that the Police Authority must be at the forefront of pushing neighbourhood policing forward.</i></p>	Stakeholders/Reputation	<p>Members allocated to LPU's</p> <p>Neighbourhood policing</p>	3	2	6	Robert Swinfield	Controlled
PA70	<p>Failure to use political influence and political process</p> <p><i>3-Nov-08: This risk is designed to remind members that good relationships with politicians locally and nationally help the Authority undertake its business and prevent unhelpful interventions and negative media attention.</i></p>	Governance	<p>Nine local authority members on the Authority</p> <p>Close working relationship with Force Media team</p> <p>Guidance received from APA</p>	3	2	6	Robert Swinfield	Controlled

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PA68	<p>Failure to publish information</p> <p><i>3-Nov-08: The Authority has a number of statutory duties relating to the publication of agendas and reports of its meetings, and responding to freedom of information requests. If it failed to achieve these it could be liable to legal challenge and its reputation may be harmed.</i></p>	Governance	Access to reliable web service	2	2	4	Robert Swinfield	Controlled
PA71	<p>Ineffective feedback arrangements</p> <p><i>3-Nov-08: This risk reflects the fact that the public need to receive feedback in relation to matters on which they have been consulted to avoid the perception that their views are being disregarded.</i></p>	Governance	Consultation feedback	2	2	4	Robert Swinfield	Controlled
PA95	<p>Operation Task Reimbursement</p> <p><i>9-Sept-08: this enquiry (Madeleine McCann) has resulted in a large unplanned cost (£585,000 to end June 2008 - with more to come). Under normal Government policy this would be met from the Authority's General Reserve (currently £3,581,000). However, because this incident occurred overseas Ministers were persuaded to meet the first claim of £525,000, but there is no firm commitment yet to meet the rest.</i></p> <p><i>If not met, this unplanned financial cost will fall on the Authority.</i></p> <p><i>The scores allocated are impact 2 and likelihood 2 = 4.</i></p>	Finance	<p>FD talking to HMIC</p> <p>Submit 07-08 Op Task claim by 31 July</p> <p>Claim submitted 06 Aug 08</p>	2	2	4	Chris Smith	Controlled

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PA108	<p>New independent member appointments</p> <p><i>3-Nov-08: This risk relates to the vacancies of four member positions with effect from 30Sept08, the loss of experience to the organisation as a result, and the settling in of new members through an induction process.</i></p>	Governance	Induction ahead of 1 October 08	2	2	4	Robert Swinfield	Controlled
PA67	<p>Local Community Consultation</p> <p><i>3-Nov-08: This risk reflects the fact that consultation where the community needs to be effective in order to ensure that people's views on policing are being included when strategic decisions are being made as to resource and demand planning.</i></p>	Stakeholders/Reputation	Annual consultation strategy	2	2	4	Robert Swinfield	Controlled
PA63	<p>Poor planning, control and monitoring</p> <p><i>9-Sept-08: with an annual revenue budget in excess of £170m, and a capital programme of £7m, it is vital that robust arrangements exist to both plan and monitor expenditure and income. The process starts with a 3 year plan (updated annually), an annual revenue budget and capital programme, and in-year monitoring each month. A sophisticated financial model exists to track the impact of changes, overseen by the Strategic Financial Planning Group. The Authority ensures that its borrowing is prudent and sustainable, and checks that viable charges are levied for special policing services.</i></p>	Finance	<p>Medium term financial plan</p> <p>Detailed scrutiny</p> <p>Ensure an adequate capital programme</p> <p>Maintain Assets</p> <p>Ensure borrowing is affordable and sustainable</p> <p>Policy for Special Constabulary</p>	3	1	3	Chris Smith	Controlled

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PA53	<p>Inspection Performance</p> <p><i>9-Sept-08: each year the Authority is subject to inspection by HMIC (Baseline Assessment) and the Audit Commission (PURE and Final Accounts). The Authority's reputation would be damaged if poor results were recorded. Recent scores have been both good and improving, and there are no reasons to believe that this will change. The scores allocated are impact 3 (serious public criticism) and likelihood 1 = 3.</i></p>	Stakeholders/Reputation	<p>Financial Action Plan</p> <p>Audit Committee</p> <p>Officer Liaison</p> <p>External Profile</p> <p>Media Strategy</p>	3	1	3	Chris Smith	Controlled
PA66	<p>Lack of awareness of Police Authority and role</p> <p><i>3-Nov-08: This risk tries to quantify the consequences of the role of Police Authorities not being clearly understood.</i></p>	Governance	<p>Press releases</p> <p>Good working relationship with media</p>	1	3	3	Robert Swinfield	Controlled
PA60	<p>Force Performance</p> <p><i>3-Nov-08: It is a crucial part of the Authority's work to monitor the effectiveness of Force performance.</i></p>	Operational/Performance	<p>Direct access to IQuanta, MIG Data</p> <p>APA training on Performance Data</p> <p>Performance Panel</p> <p>Member involvement in Force Boards</p> <p>Regular reports to Police Authority</p>	1	3	3	Robert Swinfield	Controlled

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PA73	Ineffective collaboration with East Midlands Police Authorities <i>3-Nov-08: The collaboration agenda in the region is important to the Authority and this risk reflects on the consequences should that not be the case in future.</i>	Stakeholders/Reputation	Collaboration Board and Joint Committee Network of Officers and Chairs Joint training EMSOU	2	1	2	Robert Swinfield	Controlled
PA56	Ineffective Partnership Working with Force and/or Partners <i>3-Nov-08: Relationships with the Force and with local stakeholders are crucial in order for the Authority to undertake its role effectively.</i>	Operational/Performance	Strategic Financial Planning Group Multi Agency Meetings Regular Meetings Chair on LSP (County)	1	2	2	Robert Swinfield	Controlled
PA57	Misaligned Strategic Plans between the Force and Authority <i>3-Nov-08: Self explanatory.</i>	Operational/Performance	Policing Plan Strategic Planning	1	2	2	Robert Swinfield	Controlled
PA58	Poor PURE Assessment <i>3-Nov-08: Any inspection report that makes strong criticisms could have a detrimental effect on the reputation of the Authority and/or the Force.</i>	Operational/Performance	PURE Action Plan Audit Committee Liaison Protocol	2	1	2	Chris Smith	Controlled

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PA74	<p>Failure to comply with corporate governance requirements</p> <p><i>3-Nov-08: This risk relates to the statutory and other duties the Authority has to ensure it has sound corporate governance systems in place such as Diversity, Professional Standards, Health and Safety and all legal obligations.</i></p>	Governance	<p>Chief Executive is solicitor</p> <p>Strong peer network</p> <p>APA support</p> <p>Annual Governance statement and policy</p> <p>Agreed 23 June 08</p>	2	1	2	Robert Swinfield	Controlled