

**LINCOLNSHIRE POLICE AUTHORITY
NON-CRITICAL RISK REGISTER**

(current overall score of 4 and below)

SPONSOR: CHAIRMAN OF AUDIT, RISK AND GOVERNANCE
CO-ORDINATOR: RESEARCH & PERFORMANCE OFFICER



VISION *working with communities and partners to secure the best policing for all the people of Lincolnshire'*

- KEY
STATUTORY DUTIES
- Secure the maintenance of an effective and efficient police force
 - achieve continuous improvements in policing performance
 - obtain the views of local people on policing matters
 - agree the police budget and set the precept

- OBJECTIVES
1. Trust and Confidence (needs of people at centre of all that we do)
 2. Community and Partnership Engagement
 3. Resource Management
 4. Governance

ID	Linked to Objective (O) or Aim (A)	Description of Risk		Risk Sponsor	Inherent Risk Score		Overall Inherent Risk Score	Existing Controls	Owner (the do-er)	Current Risk Score		Direction of travel	New/Developing Controls	Owner (responsible for new and developing controls)	Start Date	End date	Target Risk Score		Overall Target Risk Score	Review Date	
		Source (Lack of....Failure to)	Consequences (Results inLeads to)		Likelihood	Impact				Likelihood	Impact						Likelihood	Impact			Likelihood
A	Obj 4 Governance	Failure to comply with statutory duties (including contractual regulations and financial obligations such as the International Financial Reporting Standards) with effective overview mechanisms	leading to negative reputation consequences and interventions from the Home Office/other organisations	Chairman AR&G			6	<ul style="list-style-type: none"> • Legal and financial regulations in place • Legal and financial advice provided • Equality scheme published and monitored • ECM framework in place and monitored • Monitoring officer in place • APA briefings • Ethical Standards Committee • Code of Conduct • Training • CIPFA governance framework • Development of procedures and structures to comply with standards regulations and office toolkit for dealing with media (developed by the Standards Board) • Committee Terms of Reference reviewed and updated • APA GEMS (Global Emails) provide information, guidance and opportunity to comment on national consultations/policy making. • Audit Commission IFRS 'Preparedness' Report • Authority's Business Continuity Scrutiny Report (AR&G 19/11/09) • Code of Conduct refresher training for all Members (27/11/09) • Training session on local assessment framework for all Members of Ethical standards Committee on 2/12/09 	CE/T CE/T RPO/ECO RPO/C&P DCE DCE CAO DCE DCE T CAO			4	↔	<ul style="list-style-type: none"> • Structured training programme (Members) • Review effectiveness of new Committee structure 	DCE CE/SPC	01/04/2008 19/7/09	17/07/2009 Mar 2010	1	2	2	Feb 2010 Feb 2010
B	Obj 3 Resource Management	Failure to identify the risks that would prevent or disrupt the Authority's objectives	leading to ineffective strategic decision making and business planning	Chairman AR&G			6	<ul style="list-style-type: none"> • Outcomes of Risk Review Group work in place - new format risk register, updated risks related to strategic objectives 2009 - 2011 • Risk is considered by all Committees through reporting process • Horizon scanning/emerging risks considered at Authority Away Day Oct 2009 (developing new vision) • Risks to achieving vision reviewed during risk training sessions and at SPC (3/12/09) • Risks to achieving revised objectives considered by Policing Plan T&F Group (18/11/09) • Risk Management Strategy refreshed and approved (AR&G 19/11/09) 	CE/T SSO RPO RPO RPO			4	↔	<ul style="list-style-type: none"> • Risks to achieving revised objectives to be identified/assessed 	RPO	01-Feb-10	Mar-10	1	2	2	01 March 2010
C	Obj 4	Failure to co-operate and engage with partnership scrutiny work	leading to negative reputation and failure to engage with partners	Chairman AR&G			6	<ul style="list-style-type: none"> • Liaison and good relationships with county and district scrutiny officers • Chair of AR&G involved in District scrutiny of PCSOs • Involvement and contribution to Communities Scrutiny Committee (Scrutiny of CDRP matters) (John Walker & DCE) 	RPO Chair AR&G DCE/RPO			4	↓	<ul style="list-style-type: none"> • agree links and any actions from Authority's Partnership Strategy 				1	2	2	21 February 2010

D	Obj 4 A 4.6 aim to be in the highest category of performance within HMIC inspection programme	Insufficient preparation and plans	leading to poor inspection results and negative reputational consequences	Chairman of AR&G	2	3	6	<ul style="list-style-type: none"> Police Authority Inspections Working Group in place Initial self assessment carried out Inspection workshop attended by CE/Mr Cooke and information fed back to Members, staff and force Lessons learned/other PA Inspection reports shared with Members 	DCE IWG DCE DCE	2	2	4	<p>↑ Suggest that AR&G maintain a 'watching brief'</p>	<ul style="list-style-type: none"> Police Authority Inspections Working Group to meet as required 	DCE	16-Sep-09	Spring 2010	1	2	2	07-Jul-10	
E	Obj 3 A3.2 linkage between performance outcomes and financial allocations	Performance and resources are not considered together	leading to uninformed and ineffective decision making and strategic planning	Chairman F&P Chairman AR&G	2	3	6	<ul style="list-style-type: none"> Performance Management Sub Group set up in interim period between Finance and Strategy Committee/Scrutiny and Audit Committee and Finance and Performance Committee RPO attends the Force Performance Managers Group, keeping up to date on developments regarding the 'Dashboard' (move to a 'Balanced Scorecard' approach) FPA received presentation on Force 'Dashboard' on 29 Nov 09. Performance Task and Finish Group meeting 7 Dec 09 'Finance and performance linkages' mtg on 4/11/09 & 7/1/10 (T, RPO, Strategic Development, Finance and Performance departments represented plus the Use of Resources Accountant). Aim to link performance outcomes and financial allocations to aid decision making. Action plan (research, score card mock up, benefits realisation, objective analysis) in place to move forward. 	DCE/T/RPO RPO DCE T/RPO T/RPO	2	2	4	<p>↔</p>	<ul style="list-style-type: none"> Process monitored and reviewed 'Linking Finance and Performance' work continues (next meeting 16 March 2010) 	T/RPO T/RPO	30/09/2009 Nov 09	Feb 2010 Jan 2010	1	2	2	12 Feb 2010 12 Feb 2010	
F	Obj 4/A4.1 Set rigorous challenges for force performance	Inability to set or articulate meaningful rigorous challenges around Force performance	leading to Authority inability to add value to the process and the loss of respect and co-operation of the Force.	Chairman F&P	2	3	6	<ul style="list-style-type: none"> Business Project - Strategic Planning workstream in place addressing some issues Strategic Planning training carried out Performance Management Sub Group reviewing processes Authority engagement via Force 'Forum' Advanced 'Can you manage it' training delivered (Members/Officers) Nov 09 Performance Task and Finish Group met (9/12/09) to conduct 6 month performance review and to develop the Authority's approach to performance monitoring. Additional F&P Committee meetings scheduled to enable agendas to be prioritised according to performance matters. Performance Task and Finish Group members informal self assessment and review (Dec 09/Jan 10) 	CE/T & RPO T PMSG CE/T/RPO Chair RPO RPO T/RPO/SSO T/DCE/RPO	2	2	4	<p>↔</p>	<ul style="list-style-type: none"> F&P better prepared and briefed to carry out performance management Continue to review effectiveness of Authority monitoring of Force performance F&P Training needs assessment feeding into Culture T&F Group (wider training needs assessment/Member development strategy) 	Chairman F&P Chairman F&P Chairman F&P	June 2009 9/12/09 Dec 2009	March 2010 28/9/10 Jan 2010	1	2	2	9/2/10 28/9/10	
G	Obj 4 A 4.6 aim to be in the highest category of performance within HMIC inspection programme	Lack of effective Member learning and development programme	leading to inadequately skilled Members and damage to reputation to credibility	Chairman HR	2	3	6	<ul style="list-style-type: none"> Member Training database maintained Skills audit carried out as part of Business Project Review A range of training delivered or planned (Oct 09 - Jan 2010) eg Introduction to Risk Management - Oct 09, Chairmanship training Oct 09, Leadership Capability - Oct 09, Risk Refresher Training - Nov 09, Media Training - Nov 09, Code of Conduct Training - Nov 09, Performance management training - Nov 09, Ethical Standards committee training - Dec 09, Diversity training - 2010. Training days reserved in members calendar 	Secretariat Secretariat Secretariat	2	2	4	<p>↓</p>	<ul style="list-style-type: none"> Training needs analysis to be carried out for new members Training programme to be drafted Establish links between member skills and training and the self assessment framework (HR action plan) Consider setting up a Task and Finish Group to consider the learning and development requirements of both new and existing Members In house evaluation of training courses to be improved. Culture T&F Group progressing Member Development Strategy & Member Reviews 	DCE DCE DCE Chairman HR Team VC/CAO	25/09/2009	01/09/2009	TBC TBC TBC TBC	1	2	2	

Risk scoring

DEFINITION OF IMPACT		DEFINITION OF LIKELIHOOD	
Impact	Likelihood	Impact	Likelihood
Extreme 4	<ul style="list-style-type: none"> Financial impact greater than €¼ million National media attention Government/Home Office intervention Total service disruption Exceptional and long term damage to the reputation of the Authority 	Almost certain 4	<ul style="list-style-type: none"> Frequent occurrence More than 90% chance This will occur in most circumstances
High 3	<ul style="list-style-type: none"> Financial impact greater than €¼ million Regional media attention Adverse comment by Minister/external auditor Significant service disruption Significant reputational challenge or damage 	Likely 3	<ul style="list-style-type: none"> Regular occurrence More than 50% chance Expected to happen
Medium 2	<ul style="list-style-type: none"> Financial impact greater than €100,000 Local media attention Some service disruption Some negative consequences relating to reputation 	Possible 2	<ul style="list-style-type: none"> Occasional occurrence More than 10% chance
Low 1	<ul style="list-style-type: none"> Low level financial loss Isolated complaints Minor service disruption Minor/contained negative consequences relating to reputation 	Unlikely 1	<ul style="list-style-type: none"> Has never occurred Less than 10% chance An event that is not expected to happen

Risk Matrix

Likelihood		Impact			
		Low 1	Medium 2	High 3	Extreme 4
Almost certain	4	AMBER 4	RED 8	RED 12	RED 16
Likely	3	GREEN 3	AMBER 6	RED 9	RED 12
Possible	2	GREEN 2	AMBER 4	AMBER 6	RED 8
Unlikely	1	GREEN 1	GREEN 2	GREEN 3	AMBER 4

Key to Abbreviations

Committees	Staff
ARG Audit, Risk & Governance Committee	CE Chief Executive
C&P Community & Partnership Committee	CAO Committees & Admin Officer
ES Ethical Standards Committee	DCE Deputy Chief Executive
FPA Full Police Authority	ECO Engagement & Communications Officer
F&P Finance and Performance Committee	RPO Research & Performance Officer
HR Human Resources Committee	SSO Support Services Officer
PS Professional Standards Committee	T Treasurer
SP Strategic Planning Committee	

Direction of Travel
(overall judgement based on the controls in place/planned)



