



Title: Risk Register

Date of Review - May 2011

Authorising Officer: - Mike Campbell, T/Chief Executive

Assessor: - Laura Steward, Policy Officer

THE MANAGEMENT OF RISK WITHIN THE KPA
CONTENTS

The following documents are included with the Risk Register:

- 1 A Changes Log that details all changes made to the Risk Register.
- 3 A Horizon Scanning list that highlights issues that may develop into risks but which have not been properly assessed (i.e. too early to do so or not enough information on which to base an assessment). This is updated with the Risk Register and filled in by Officers as required.
- 4 The Risk Register.
- 5 The relevant Action Sheets containing Risk Action Plans for risks with a residual risk of High or above. All other risks will be managed through day to day business.
- 6 A Scoring Summary showing the Scoring Criteria and their allocated scores

Further details of the Risk Management process can be found in the KPA Risk Management Strategy.

Log of Changes			
Date	By Whom	Change	Details
13.01.2009	Susie Latta	Addition	Addition of PO retention and Employee relations to Horizon Scanning
09.03.09	Susie Latta	deletion	KPA 14 KPA is not a member of the Kent Partnership limiting influence over LAA governance potentially leading to disputes over priorities
Changes made after PA Inspection and Internal Audit Recommendations			
14.05.09	Susie Latta	addition	Likelihood score definition in line with the force and review likelihood scores
14.05.09	Susie Latta	addition	separate scoring for inherent and residual risk
14.05.09	Susie Latta	change	inclusion of controls on risk register and deletion of controls statement
14.05.09	Susie Latta	change	clarification of risks
14.05.09	Susie Latta	addition	risks aligned to KPA committees
14.05.09	Susie Latta	deletion	KPA 13 The extent of KPA scrutiny of protective services may be insufficient to ensure value for money from PS investment deleted as similar to KPA 01
14.05.09	Susie Latta	deletion	deletion of Children's Trust from horizon scanning as significant progress made
14.05.09	Susie Latta	deletion	FCC roof discharged from issues log
04.08.09	Susie Latta	Addition	Addition of business plan objectives and sort in order of highest residual risk first
04.08.09	Susie Latta	Formatting	Sort risks by committee
10/18/2009	Susie Latta / Treasurer/ Chief Exec	Change	Items added to Horizon scanning
			minor change to controls KPA 23
			KPA 08 Risk increased from 12 to 16 and residual risk increased from 8 to 12 (medium) and risk action sheet completed
			KPA 12 risk increased from 12 to 16 and residual from 6 to 8 (low)
11/18/2009	Susie Latta	addition	KPA 08 highest risk and moved to top of register
11/18/2009	Susie Latta	addition	PCSO funding added to horizon scanning
11/24/2009	Susie Latta	deletion	PCSO funding moved from Horizon Scanning to risk register (KPA 27)
1/18/2010	susie Latta	Addition	Employee dissatisfaction moved from Horizon Scanning to risk register (KPA 26)
1/18/2010	Susie Latta	Addition	Lack of staff turnover to Horizon scanning
3/5/2010	Susie Latta	Addition	merger of Issues log and horizon scanning
5/26/2010	Susie Latta	deletion	CAA from horizon scanning as CAA abolished by new government
		deletion	KPA 16 - lack of resilience in KPA media comms - removed after recruitment of asst
		Changes	KPA 06 changed to update the nature of collaboration risk
		addition	KPA 26, 27, 28, 29, 30,
		increase	KPA 8, KPA 24, KPA 20
		decrease	KPA 5, KPA12, KPA 03, KPA 15,
		Controls changed o	KPA 12 , KPA 24, KPA 01, KPA 19, KPA 21
		Move	PCSO funding moved from Horizon Scanning to risk register (KPA 27)
		Move	Employee dissatisfaction moved from Horizon Scanning to risk register (KPA 26)
		Addition	Lack of staff turnover to Horizon scanning
Merger	merger of Issues log and horizon scanning		
22.07.10	Susie Latta	deletion	Removal of KPA 30 (single confidence measure) and KPA 25 Policing Pledge
		Addition	Update of controls on KPA 18 to add lead member role for Olympics
29.10.10	Penny Rowland/Chief Executive/ Graham Hodkinson	increase	KPA 08, 20, 24 - changed to reflect budget cuts
		increase	KPA 23 & 18 (Olympics), KPA 04 (low performance figures)
		Merger	KPA 17 (del) & 23, KPA 12(del) & 24, KPA 09 (del) & 11
		Deletion	KPA 27(overtaken by events - for Chief Constable's decision)
		Deletion	KPA 03 different inspection and regulation environment
		Addition	KPA 31, 32
		Controls amended	KPA 04, 05, 06, 07, 11, 18, 22, 26, 15, 02
24.11.10	A&G Committee	Increase	KPA 18
Date	By Whom	Change	Details

03.02.11	Penny Rowland / Chief Executive / Graham Hodkinson	Decrease	KPA 20,
		Increase	KPA 2, 18
		Addition	KPA 33, KPA 34
		Deletion	KPA 32 (replaced by KPA 34)
		Amendment	KPA 05 - amendment to risk description
		Amendment	KPA 29 - amendment to controls
		Amendment	Changes to Horizon Scanning
10.03.11	Graham Hodkinson (A&G Committee)	Amendment	KPA 34 - amendment to risk description
		Amendment	KPA 26 - amendment to risk description
		Increase	KPA 15 & 26
26.05.11	Chief Executive/Laura Steward	Deletion	From horizon scanning/issues log - performance ambition, PCC buy-in, KPA/force tension over ASB
		Amendment	Amendment to wording on horizon/issues log around EIA
		Amendment	KPA 33 - amendment to controls and adequacy of controls
		Amendment	KPA 23 - amendment to risk description
		Amendment	KPA 31 - amendment to controls
		Amendment	KPA 26 - amendment to risk description
		Decrease	KPA 08, KPA 31
		Update to action plan	KPA 08, KPA 20, KPA 33, KPA 34
		Formatting	Re-order according to residual scores (highest first)
		Amendment	Criteria for creating Action Sheets containing Risk Action Plans changed from risk with a residual risk of medium and above to high and above
		Amendment	Action Sheet for KPA 20 removed in accordance with the change in criteria (see above)

Risk - Horizon Scanning			
Area/Statement of Concern	Potential Owner	Action to assess level of concern	Action By
Kent Partnership and Total Place Initiative / Community Based Budgeting	Mark Gilmartin, Chief Executive	Monitor and Review, membership of Total Place Representation Group	Mark Gilmartin, Chief Executive
Expansion of airport facilities in Kent	Mark Gilmartin, Chief Executive	Monitor and Review	Mark Gilmartin, Chief Executive
Lack of retirement/ staff turnover leads to lack of career development opportunities for staff	Mike Campbell HR Policy Officer	Monitor in force. Plan to provide alternative opportunities	Mike Campbell HR Policy Officer
Change to complaints processes i) resource implications and ii) its ability to meet public expectations.	Laura Steward, Policy Officer	<i>Monitor and Review (APA national assessment November 2010)</i>	Laura Steward, Policy Officer
Recommendations from the publication of the Winsor and Hutton reviews (particularly in relation to pensions) could lead to large numbers of police officers leaving the Force	Mike Campbell HR Policy Officer	Monitor and Review.	Mike Campbell HR Policy Officer
The potential loss of Partnership funding may have an effect on the ability of CSUs to provide support for Neighbourhood Policing.	Mark Gilmartin, Chief Executive	Scoping exercise undertaken by HQ P&SCRD; report to A&G Committee 24 November 2010; partner workshop with Chief Executives on 13 December 2010.	Mark Gilmartin, Chief Executive
Reduction in service delivery	Mark Gilmartin, Chief Executive	Monitor and Review.	Mark Gilmartin, Chief Executive
Over staffing during restructuring	Mike Campbell HR Policy Officer	Monitor and Review.	Mike Campbell HR Policy Officer
Adverse effect on Equality Impact Assessment workforce profile as a result of cuts and restructuring	Laura Steward, Policy Officer	Monitor and Review.	Laura Steward, Policy Officer
Achieving the phasing of the savings over four years and delivery	David Lewis Treasurer	Monitor and Review.	David Lewis Treasurer
The uncertain economic outlook with potential public and private sector job losses, could lead to less affluent communities and dissatisfaction/increased pressure on public services.	Mark Gilmartin, Chief Executive	Monitor and Review.	Mark Gilmartin, Chief Executive

KENT POLICE AUTHORITY - RISK REGISTER

Register Version		Risk Assessor		Date of Review											
May-11		Mike Campbell		26.05.11											
RISK ASSESSMENT															
Risk Ref	DESCRIPTION OF RISK	Link to KPA Business Plan Objectives	Inherent Risk				Residual risk after controls								
			Consequences (C)	Likelihood (L)	Risk Rating (CxL)	Risk Ranking	Controls to eliminate, reduce or transfer risk	Adequacy of controls	Consequences C	Likelihood (L)	Risk Rating (CxL)	Risk Ranking	Date Risk Identified	Date Last Changed	Committee Aligned to
KPA 08	Revenue budget is insufficient to meet operational policing requirements and the costs of restructuring, leading to cuts in services	Delivering Value for Money and Productivity	5	5	25	Very High	Prudent Financial Management Reasonable reserves A&G oversight Budget Review Group Efficiency strategy Lean and Collaboration Savings Savings pretty much delivered for 2011/12 through vacancy management	A	4	4	16	High	29.5.07	26.05.11	Audit and Governance
KPA 33	Force restructure and the new policing model - Potential for deterioration in performance (or elements of performance) and service delivery and a failure to deliver the change management programme will pose a risk to the Authority	Delivering Value for Money and Productivity	5	4	20	Very High	Greater representation on Force Development Board (HR, A&G, PPC) Authority representation on the Joint Authority/Force Change Board. CE attendance at nKPM Implementation Board Reports to KPA	A	4	4	16	High	02.02.11	26.05.11	Full KPA/ Policing Performance Committee/ Audit & Governance
KPA 34	Potential risks highlighted during the Parliamentary scrutiny of the Police Reform & Social Responsibility Bill around the transfer to new governance arrangements will impact negatively on the Authority and, possibly, the public.	Setting strategic direction and priorities	4	5	20	Very High	Careful handling & monitoring of transition Seek guidance from the APA Maintain comms function (Policing Kent Magazine) Modify terms of reference for Budget Review Group and Policing Plan Group Staff and Members meetings / briefings	U	4	4	16	High	02.02.11	10.03.11	Full KPA
KPA 20	Changes in Home Office DSP Funding could leave the Authority financially exposed	Delivering Value for Money and Productivity	4	5	20	Very High	Monitoring of policing developments from Home Offices and through APA Influence policy making directly and through APA KPA Chair on NCA Border Policing Group	U	4	3	12	Medium	08.10.08	03.02.11	Full Authority

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KPA 24	Increased demands on policing resources combined with inadequate budgetary control leads to overspending and depletion of reserves with implications for the Authority's duty to ensure an efficient and effective force.	Delivering Value for Money and Productivity	4	5	20	Very High	Reinforced budget monitoring adequate level of resources and reserves as starting point Audit and Governance Committee monitoring Effective internal Audit Members and officers financial management skills Development of new policing model (Focus Programme)	A	4	3	12	Medium	14.05.09	01.11.2010	Audit and Governance
KPA 23	The policing of a major event or series of events such as the climate camp Open Golf Championship puts a strain on financial (including reserves), physical and human resources, resilience and reputation.	Delivering Value for Money and Productivity	4	4	16	High	Adequate starting point for reserves KPA oversight of event planning and lead member scrutiny Continual environmental scanning to monitor risks Force Resourcing Unit	A	4	3	12	Medium	06.11.08	26.05.11	Full Authority
KPA 18	Providing policing support for the Olympics, together with the continuing policing of the county, will impact negatively on the finances and reputation of the Authority	Delivering Value for Money and Productivity	4	4	16	High	General reserves maintained Monitor all Olympic planning process directly and through the force and APA Take all opportunities to influence policy making Identify and maximise benefits and opportunities for Kent Regular member briefings Lead member for Olympics Lead Member also KPA representative on NOSOG	A	4	3	12	Medium	08.10.08	03.02.11	Full Authority / Audit & Governance Committee

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KPA 04	Inadequate performance management arrangements in place between authority and force leads to fall in performance and threatens confidence in the police.	Supporting Performance Improvement	3	4	12	Medium	KPA Policing Performance Committee Performance Pack Policing Plan Group Area Member / Lead Member arrangements Role for Chair and Chief Officer Committee	A	3	3	9	Medium	29.5.07	01.11.2010	Policing Performance/ Chief Officer Committee
KPA 06	Collaboration with Essex fails to realise expected benefits causing budget shortfalls, fall in service standards or employee relations issues	Achieving results through consultation, collaboration and partnership	3	4	12	Medium	Joint statutory committee Strong leadership Strategic plan, performance monitoring and oversight Joint Kent & Essex Police Authorities meetings Policing Plan savings target. Specialist legal and HR advice	A	3	3	9	Medium	29.5.07	01.11.2010	Full Authority
KPA 15	Turnover / unplanned Secretariat absence hinders effective support to the Authority	Setting strategic direction and priorities	3	4	12	Medium	Effective staff management processes/ working environment/ Work life balance Briefing of Members Chair / Vice Chair involvement Use of force Positive Attendance management (PAM)	A	3	3	9	Medium	04.02.08	10.03.2011	Full Authority
KPA 26	Industrial action or working to rule by Force employees disrupt service delivery to the public	Delivering Value for Money and Productivity	3	4	12	Medium	KPA involvement in staff consultation. Relationship with Staff Associations Authority oversight of Force changes and plans Staff engagement	A	3	3	9	Medium	26.05.10	10.03.2011	HR Committee

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KPA 21	Prevent strategy is not monitored correctly and fully leading to damage to community relations or an attack by a Kent terrorist	Achieving results through consultation, collaboration and partnership	4	3	12	Medium	Lead member for CT and briefings with Head of CT Area members briefing with BCU commanders All members security cleared Develop action plan for KPA - linked to force action plan Prevent Partners Steering Board	A	4	2	8	Low	08.10.08	01.11.2010	Full Authority	
KPA 29	That police information is not managed correctly leading to incident , financial or legal sanction or reputational damage	Setting strategic direction and priorities	4	2	8	Low	Oversight by Protective Services Review Board and Intel Board, both with Member involvement Oversight by Professional Standards Committee Information sharing agreements Information Compliance Board (Chief Officer leadership) Previously MoPI Compliance - review due in one year)	A	4	2	8	Low	26.05.10	03.02.11	Professional Standards Committee	
KPA 31	Focus Programme fails to deliver the financial savings	Delivering Value for Money and Productivity	4	3	12	Medium	Engagement with the Focus Implementation Team Chief Constable Briefings Members continued commitment Engagement with Restructuring Implementation Board	A	4	2	8	Low	29.10.10	26.05.11	Full Authority	

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KPA 01	The Authority does not monitor the force and they fail to meet protective services standard set by HMIC risking sanction or lack of resilience	Supporting Performance Improvement	3	3	9	Medium	KPA representation on PS Review Board PS performance monitoring PS lead members PS policing plan measure NPIA Recognition Headline compliance rate at 90.57% (PPC Sept 10)	A	3	2	6	Low	29.5.07	01.11.2010	Policing Performance
KPA 02	Poor overview and scrutiny of the Chief Officer Team by the KPA leads to financial, legal or Reputational damage.	Setting strategic direction and priorities	3	3	9	Medium	Full KPA meetings Advisory board meetings Chief/ Chair and Chief Exec/ DCC meetings Structured PDR process delegation to Chief Constable for direction & control	A	3	2	6	Low	29.5.07	03.02.11	Full Authority / COC
KPA 05	Authority fails/performs poorly in inspection from HMIC/external auditors threatening the credibility and reputation of the Authority	Setting strategic direction and priorities	3	3	9	Medium	Sharing experience with peers PA stakeholder group Business planning and continuous improvement Focus on VFM and policing in 21st century	A	3	2	6	Low	29.5.07	03.02.11	Full Authority
KPA 07	Capital budget is insufficient to support operational policing requirements leading to need to cut capital programme.	Delivering Value for Money and Productivity	2	4	8	Low	A&G oversight Capital Review Board Full review in Feb 2011 Budget Review Group Focus Programme - force restructure will have a sizeable impact on capital budget	A	2	3	6	Low	29.5.07	01.11.2010	Audit and Governance

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KPA 11	Failure to undertake adequate community engagement and consultation limits the Authority knowledge of public demand and may lead to policing plans insufficiently reflecting views and aspiration of the public.	Achieving results through consultation, collaboration and partnership	3	3	9	Medium	Citizens' Panel and KCVS KPA consultation KPA publications Stakeholder consultation Joint Force - Authority Community Engagement Strategy Public engagement meetings KPA representatives on CSP Boards Strategic direction as detailed in Policing Plan	A	3	2	6	Low	29.5.07	01.11.2010	Full Authority	
KPA 19	Lack of succession planning for the chief officer team reduces the force resilience	Setting strategic direction and priorities	3	3	9	Medium	Leadership and high potential development within force Promotion of PDR process to develop talent Be aware of senior management ambitions, needs, skills and opportunities Carry out a succession planning and development exercise Manage the reputation of Kent to attract high calibre managers	A	3	2	6	Low	08.10.08	01.11.2010	HR Committee / Chief Officer Committee	
KPA 22	Credit crunch and the associated freezing of KPA deposits in Icelandic banks will have an impact on the adequacy and level of reserves	Delivering Value for Money and Productivity	3	3	9	Medium	Oversight by A&G and full KPA Regular liaison with KCC and political lobbying Medium term treasury management	A	3	2	6	Low	22.10.08	01.11.2010	Audit and Governance	

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KPA 28	Possible legal action which might be taken against the Authority will threaten resources available incl under Health and Safety legislation.	Setting strategic direction and priorities	3	3	9	Medium	Legal reserve and insurance Legal Advisor joint with Essex PA Oversight by HR Committee and Full Authority Delegated authority to Chief Constable H&S included in Sect 23 Collaboration agreements	A	3	2	6	Low	26.05.10	01.11.2010	Full Authority / HR	