

**CPA Risk Register (Updated 16 September 2011)**

**Updates and Revisions in Red Text**

Ref	Risk Title (description)	Cause & Effect	Risk Updated	Owner	Inherent Risk Rating	Controls & Mitigations	Residual Risk Rating	Residual Actions
PA1	<p><b>Consultation</b>                      Risk of failure to comply with legislative and technical requirements for Police Authorities in relation to public consultation.</p>	<p>Inability to provide the necessary resources (human, financial and required/planned consultation and communications workload.</p> <p>Consequent impact on the quality and relevance of the results, including feedback loops to the Policing Plan priorities. Potential for criticism from our partners and stakeholders (e.g. HMIC and CDRPs).</p>	16/9/11	CPA	Imp. 3 Lik. 3 = 9	<ol style="list-style-type: none"> <li>1. A joint Consultation Strategy, including a comprehensive Neighbourhood Survey.</li> <li>2. An established process for setting local policing priorities, starting with a Members' briefing and culminating in the production of a Three Year Policing Plan.</li> <li>3. <b>Co-ordination of roadshow events for thematic consultation within Cleveland districts.</b></li> <li>4. Contingency plan to cope with staff shortage within CPA.</li> </ol>	Imp. 3 Lik. 2 = 6	<ol style="list-style-type: none"> <li>1. Continue to work with the Force and partners to maintain a robust consultation service with greater citizen focus.</li> <li>2. Work with the Force to ensure that the Neighbourhood Survey covers all consultation and engagement requirements.</li> </ol>

Ref	Risk Title (description)	Cause & Effect	Risk Updated	Owner	Inherent Risk Rating	Controls & Mitigations	Residual Risk Rating	Residual Actions
PA2	<p><b>Effectiveness, VFM and the funding of services.</b></p> <p>Risk of failure to provide effectiveness and value for money in policing services and to achieve the efficiency saving necessary to enable core front line services to be protected against a backdrop of significant cuts in government funding.</p>	<ol style="list-style-type: none"> <li>As part of the 2010 Comprehensive Spending Review, CPA will see a reduction in Grant Funding of 5.1% (2011/12) and 6.7% (2012/13)</li> <li>Funding cuts will lead to the CPA receiving £12.7m, in cash terms, less Government Grant by 2012-13.</li> <li>These cuts combined with reductions in Partnership and other funding and in conjunction with high levels of inflation require the delivery of the following savings across the next 4 years: 2011/12 (£12m), 2012/13 (£19.1m), 2013/14 (£21.8m) and 2014/15 (£24.6m)</li> <li>The could lead to a possible deterioration in frontline services as budgets are balanced, which in turn results in adverse assessments from HMIC / Audit Commission / Home Office.</li> <li>This could also lead to the requirement to make significant changes to the current strategy to enable a balanced and legal budget to be developed for 2012/13 and beyond.</li> <li><b>There will be a cost impact as a result of the investigation which is to be determined.</b></li> </ol>	21/2/11	CPA	Imp. 5 Lik. 5 = 25	<ol style="list-style-type: none"> <li>Long Term Financial Planning process.</li> <li>Efficiency planning and implementation processes.</li> <li>Initiatives to outsource, collaborate, re-engineer, civilianise and improve procurement processes.</li> <li>Value for Money analysis and benchmarking across Police Forces.</li> <li>Scrutiny of revenue and capital spend,</li> </ol>	Imp. 5 Lik. 5 = 25	<ol style="list-style-type: none"> <li>LTFP to identify the most up to date financial picture to include, projected financial challenge based on latest information, future sources of savings, and efficiencies required to meet funding gaps.</li> <li>Updates on developments in outsourcing, process re-engineering and workforce modernisation as part of 'wider scope' work being undertaken by the Force.</li> <li>Development and quantifying of savings deliverable from 'Futures Group' Workstreams.</li> <li>Further work on HMIC Value for Money indicators should be undertaken to highlight areas of 'outlying costs' and the strategy for addressing them or explaining how our strategy is driving these outliers.</li> <li>Further areas of outsourcing and workforce modernisation are developed, that look beyond the commitments within the initial Project I contract.</li> <li>Further areas for collaboration are explored.</li> </ol>

Ref	Risk Title (description)	Cause & Effect	Risk Updated	Owner	Inherent Risk Rating	Controls & Mitigations	Residual Risk Rating	Residual Actions
PA3	<p><b><u>Diversity &amp; Equality</u></b></p> <p>Risk of failure to comply with legal requirements regarding the promotion of diversity and equal opportunities.</p>	<p>1. Failure to comply with legal requirements regarding equality schemes and impact assessments. Lack of resources/training in this respect.</p> <p>2. Failure to monitor force procedures and practices to ensure similar compliance.</p> <p>3. Ineffective recruitment, development and retention of BME officers and staff.</p> <p>8. Consequent risk to reputation if enforcement action or legal action is forthcoming.</p> <p>9. Failure to implement requirements of the Equality Act 2010 and the Equality Act 2010 (Specific Duties) Regulations 2011 (which pertains to police forces).</p>	1/4/07	CPA	<p>Imp. 3 Lik. 3 = 9</p>	<p>1. CPA Single Equality Scheme with details of Action Plan and Equality Impact Assessments.</p> <p>2. Force Single Equality Scheme and work to implement new Equality Standard for Policing. This includes BME recruitment and retention considerations.</p> <p>3. Ongoing diversity, equality and human rights training for Members and staff.</p>	<p>Imp. 3 Lik. 2 = 6</p>	<p>1. Implement Equality Standard for Policing.</p> <p>2. Improve recruitment, development and retention of BME officers and staff.</p> <p>3. Monitor the effectiveness of Equality Impact Assessments.</p> <p>4. Monitor requirements from the Equality Act.</p> <p>5. Recruitment procedures must ensure national guidance for BME levels are met.</p> <p>6. CPA Single Equality Schemes for the CPA and Force to be presented at Policy &amp; Resources Panel in December 2011.</p>

Ref	Risk Title (description)	Cause & Effect	Risk Updated	Owner	Inherent Risk Rating	Controls & Mitigations	Residual Risk Rating	Residual Actions
<b>PA4</b>	<p><b>Partnerships</b></p> <p>1. Risk of failure to establish effective representation on local area partnerships (e.g. CDRPs, LSPs, Children's Trust Boards)</p> <p>2. Risk of withdrawal of partnership funding for SARC.</p> <p>3. With any removal of partnership funding, will this impact on partnership services? (e.g. BCU Funding, Local Area Agreement funding, PCSO financial support)</p>	<p>A lack of effective representation on the statutory partnerships and no direct representation on 3 of 4 Local Strategic Partnerships could result in insufficient influence over partnership strategies, policies and funding, including collaborative working. This in turn leads to criticism from partners and stakeholders (e.g. HMIC).</p> <p>Public sector spending cuts and restructuring.</p> <p>With removal of certain local services due to funding cuts (e.g. street cleaning, criminal damage repair), perceptions of area deprivation may be affected and have a negative impact on crime and anti-social behaviour levels.</p>	16/9/11	CPA	<p>Imp. 3 Lik. 4 = 12</p>	<p>1. Maintenance of effective representation on statutory partnerships by Members and officers.</p> <p>2. Long Term Financial Plan contingencies for the funding of Neighbourhood Policing.</p> <p>3. CPA Officer and/or Member attendance at Strategic Safety Partnerships.</p> <p>4. District Commanders represent CPA strategies and policies at Local Strategic Partnerships.</p> <p>5. Partnership Strategy and Code of Practice.</p> <p>6. SARC review to focus on future funding, noting Coalition Government's indication that SARC funding will be protected long term.</p>	<p>Imp. 3 Lik. 3 = 9</p>	<p>1. Authority and Force dialogue with partners to protect shared funding from 2011.</p> <p>2. Aim to represent CPA strategies and policies within the various partnerships.</p> <p>3. Establish formalised reporting to CPA panels on partnership arrangements.</p> <p>4. Continue to press for representation on Local Strategic Partnerships.</p> <p>5. Closely monitor Coalition Government's plans for partnerships - adjust strategies and policies accordingly.</p> <p>6. Monitor effect of introduction of Police &amp; Crime Commissioners on partnership arrangements.</p>

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PA5	<p><b><u>Governance</u></b></p> <p>1. Risk of failure to comply with the provisions of the Code of Corporate Governance and the relevant Acts/Orders/Regulations.</p>	<p>The legal requirements of the Police Authority, its Members and officers and the delegated authorities may not be fully understood and followed by all concerned.</p> <p>A lack of adherence to the Code or Acts/Orders/Regulations on an individual or corporate level could lead to bad publicity, loss of reputation, financial loss and possible legal sanction.</p>	16/09/11	CPA	<p>Imp. 4 Lik. 5 = 20</p> <p>(Change from Imp. 4 Lik. 3 = 12)</p>	<p>1. Code of Corporate Governance is annually updated and disseminated.</p> <p>2. Members sign Code of Conduct (2007) Regulations and submit declarations of interests and notification of gifts every year.</p> <p>3. Annual Governance Statement process.</p> <p>4. Baseline Risk Assessment Jan 2010 identified risks. (e.g. CRB checks for Members, public meetings notices deadlines and timescales for authorising budgets and precepts.)</p>	<p>Imp. 4 Lik. 5 = 20</p> <p>(Change from Imp. 4 Lik. 3 = 12)</p>	<p>1. Ongoing environmental scanning for new regulatory requirements.</p> <p>2. Assess the training requirements for compliance by Members and staff. Then deliver training required.</p> <p>3. Refresh Code of Corporate Governance to reflect disciplinary and business continuity arrangements.</p> <p>4. Ensure possible interim Governance arrangements satisfy auditors and Home Office.</p>

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<b>PA6</b>	<u>Employment Law</u> Risk of costs and litigation in relation to current workforce policies and the failure to apply effective employment law practices.	Possible failure to apply correct employment law procedures with respect to the Equal Pay Act, the Employment Rights Act and other pieces of legislation, associated regulations and codes of practice.  This could lead to claims for equal pay, unfair dismissal, constructive dismissal and grievances, with a consequent effect on reputation and financial loss.	16/9/11	CPA	Imp. 4 Lik. 3 = 12	<ol style="list-style-type: none"> <li>Current HR policies and procedures, with associated training.</li> <li>Limited equal pay audit in 2008.</li> <li>Established grading panel.</li> <li>Workforce review and job evaluation to be scoped for consideration 2010.</li> <li>The CPA has an HR Advisor.</li> <li>The CPA has a Consultant Legal Adviser.</li> <li>Job Evaluation Assessment 2011</li> </ol>	<p>Imp. 4 Lik. 3 = 12  (Change from Imp 4 Lik 2 = 8)</p>	<ol style="list-style-type: none"> <li>Review HR policies and procedures for effectiveness and compliance.</li> <li>Carry out a comprehensive equal pay audit and job evaluation exercise.</li> <li>Consider the need for further training in grievance and discipline procedures.</li> <li>Consider TUPE, within the outsourcing process.</li> <li>Assess staff conditions in light of proposed dissolution of Police Authorities and change to Police &amp; Crime Commissioner Office.</li> </ol>
<b>PA7</b>	<u>Replace HQ</u> Risk of the current HQ becoming increasingly expensive and unfit for purpose.	The current economic and regulatory (buildings) climate may render the replacement of the Force HQ unaffordable in the short to medium term.	10/8/10	CPA	Imp. 4 Lik. 3 = 12	<ol style="list-style-type: none"> <li>Police Authority Executive to oversee the sourcing of a new HQ.</li> <li>Processes in place to commence the sale and purchases required to provide a new police HQ.</li> </ol>	<p>Imp. 4 Lik. 2 = 8</p>	<ol style="list-style-type: none"> <li>Develop costed options for a new HQ (Authority approved progressing with a proposal to relocate to Hemington Grange subject to being financially feasible).</li> <li>Effectively manage the Local Authority planning process, including public consultation.</li> <li>Deliver an affordable and fit for purpose HQ.</li> </ol>

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PA8	<b>Fraud</b> Financial loss to the Authority as a consequence of acts of commission or omission by Members, staff or contractors.	No organisation is immune from the risk of fraud.	16/9/11	CPA and Force	Imp. 4 Lik. 4 = 16  (Change from Imp. 3 Lik. 3 = 9)	<ol style="list-style-type: none"> <li>1. Whistle-blowing Strategy.</li> <li>2. Counter Fraud and Corruption Strategy.</li> <li>3. Confidential e-mail system.</li> <li>4. Work of the Professional Standards Department.</li> <li>5. Work of the Internal Audit Services.</li> <li>6. Codes of Practice.</li> <li>7. Disciplinary codes.</li> <li>8. Police conduct regulations.</li> <li>9. Systems of management including Delegation Scheme.</li> <li>10. Financial Standing Orders (including Contract Standing Orders).</li> <li>11. Compliance is monitored by the Audit &amp; Internal Control Panel.</li> <li>12. Force Standing Financial Instructions embodying arrangements including separation of duties, which are supported by disciplinary codes of practice.</li> <li>12. Budgetary control system with monthly analysis and review.</li> </ol>	Imp. 3 Lik. 4 = 12  (Change from Imp. 3, Lik. 2 = 6)	<ol style="list-style-type: none"> <li>1. Annual review of effectiveness.</li> <li>2. Cyclical review of Counter Fraud and Corruption arrangements by Internal Audit</li> <li>3. Force internal standing orders instructions to be re-written and updated to reflect outstanding arrangements.</li> <li>4. <b>Ensure compliance with recommendations from any auditors' reports.</b></li> </ol>

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<b>PA9</b>	<u>Member &amp; Staff Issues</u>	<ol style="list-style-type: none"> <li>1. Risk of losing significant experience at four yearly elections. May lead to poor scrutiny and service levels.</li> <li>2. Risk of a more politicised governing body in the medium term through legislative changes. Could impact on fairness and public confidence issues.</li> <li>3. Risk of non-attendance at meetings due to over-commitment or lack of commitment.</li> <li>4. Risk of losing experience and knowledge through absence or loss of staff or because of CPA future uncertainty.</li> </ol>	16/9/11	CPA	<p>Imp. 3 Lik. 4 = 12</p>	<ol style="list-style-type: none"> <li>1. Induction training regime already in place.</li> <li>2. Experienced officers in place to assist new Members.</li> <li>3. Code of Corporate Governance and other management systems well established.</li> <li>4. Existing Membership Regulations cover attendance issues.</li> <li>5. Succession planning in places to oversee skills affected by absence or staff loss.</li> </ol>	<p>Imp. 3 Lik. 3 = 9</p>	<ol style="list-style-type: none"> <li>1. Ongoing monitoring of the introduction of Police Crime Commissioners bringing issues to the Leadership Panel, as appropriate.</li> <li>2. <b>Ensure alignment of Members availability and CPA meetings and briefings to guarantee maximum attendance.</b></li> <li>3. <b>Possible managerial appointment in light of investigation.</b></li> </ol>
<b>PA10</b>	<u>Scrutiny Issues</u>	<ol style="list-style-type: none"> <li>1. Risk that scrutiny cannot be evidenced against CPA's statutory requirements.</li> <li>2. Risk that reporting and monitoring is not to an acceptable standard and within an acceptable timescale.</li> <li>3. Risk that Protective Services are not scrutinised by the CPA to an acceptable level.</li> </ol>	10/8/10	CPA	<p>Imp. 3 Lik. 3 = 9</p>	<ol style="list-style-type: none"> <li>1. Minutes of meetings fully reflect scrutiny of reports by Members.</li> <li>2. Outline schedule of reports ensures that timely and regular monitoring takes place.</li> <li>3. Protocols in place to brief Members and officers and to send out relevant notes and minutes.</li> <li>4. At least one member to be vetted to the appropriate level to effectively scrutinise Protective Services.</li> </ol>	<p>Imp. 3 Lik. 2 = 6</p>	<ol style="list-style-type: none"> <li>1. Examine findings from Police Authority Inspection – amend processes and procedures as required. For example, consider scrutiny reports on protective services from vetted member(s).</li> <li>2. Ongoing monitoring of the situation, bringing issues to the Leadership Panel, as appropriate.</li> </ol>

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PA11	<u>Investigation</u>	This risk has been identified subject to the ongoing investigation surrounding Cleveland Police Authority.	16/9/11	CPA	Imp. 5 Lik. 5 = 25	<p><u>Operational / Organisational</u></p> <ol style="list-style-type: none"> <li>Code of Corporate Governance.</li> <li>Creation of Professional Standards Sub Committee to assess and mitigate effects of investigation on CPA (assessing organisational, financial, reputational and legal risks and actions)</li> <li>Regular Members Briefings to keep Authority abreast of upcoming issues.</li> <li>Assistance from North Yorkshire Police Authority for business continuity</li> </ol> <p><u>Financial</u></p> <ol style="list-style-type: none"> <li>Auditors Reports &amp; Meetings with Auditors</li> <li>Annual Governance Statements</li> <li>Financial updates at each Policy &amp; Resources Panel</li> </ol> <p><u>Reputational</u></p> <ol style="list-style-type: none"> <li>Press releases to provide assurance in the event of negative publicity of investigation procedures.</li> <li>Provide interviews where appropriate</li> </ol> <p><u>Legal / Liabilities</u></p> <ol style="list-style-type: none"> <li>Assistance from North Yorkshire Police Authority to assess additional legal requirements in light of investigation.</li> </ol>	Imp. 4 Lik. 5 = 20	<ol style="list-style-type: none"> <li>Amend Code of Corporate Governance to provide further assurance regarding disciplinary procedures.</li> <li>Ensure governance arrangements are in place to provide assurance to the public</li> <li>Ensure regular meetings of CPA Treasurer with ACO (Finance &amp; Commissioning) to regulate financial impact of investigation costs.</li> <li>Schedule special Leadership Panel and Professional Standards Sub Committee meetings as required to assess and mitigate effects of investigation on Force &amp; CPA.</li> <li>Possible appointment of Temporary Chief Officers in Force and Authority (where required).</li> </ol>

# Appendix 2

## CPA Risk Register Action Plan (updated 16 September 2011)

## Updates and Revisions in Red Text

Risk Item	Required Actions and Controls	CPA Risk Owner	Status	Comments
<b>PA1. Consultation.</b> Risk of failure to comply with legislative requirements for Police Authorities in relation to public consultation.	1. Agree and implement a joint consultation strategy with the Force, including the introduction of a Neighbourhood Survey that meets the basic requirements for consultation, including confidence and perception measures.	Strategy Manager / Consultation & Performance Officer	COMPLETED	Joint strategy is now complete. The Neighbourhood Survey commenced April 2009 and was revised in February 2011 to take into account future performance regime.
	2. Continue to support the Corporate Planning and Governance function to integrate the financial, workforce and business planning processes and strengthen the Force's corporate governance arrangements.	Treasurer	ANNUAL UPDATE	There are annual scheduled briefings to discuss these issues. Further scrutiny of strategic performance, financial and workforce plans takes place at scheduled Police Authority panels and briefings.
<b>PA2. Effectiveness, Value for Money and the funding of services.</b> Risk of failure to provide effectiveness and value for money in policing services and to achieve the efficiency saving necessary to enable core front line services to be protected against a backdrop of significant cuts in government funding.	1. LTFP to identify most up to date financial picture to include, projected financial challenge based on latest information, future sources of savings, and efficiencies required to meet funding gaps.	Treasurer	ANNUAL UPDATE	Joint report of the Chief Executive and Chief Constable is provided at the February Police Authority Executive. Updates are provided at each quarterly Police Authority Executive thereafter.
	2. Updates on developments in outsourcing, process reengineering and workforce modernisation as part of the 'wider scope' work.	Acting Chief Executive / Treasurer	ONGOING	The second phase of Project 1 commenced 1 September 2011 with further units transferring to Steria and Reliance. The Authority will continue to assess and develop further opportunities for savings as the outsourcing contracts continue.  There is continued work being undertaken by the Futures Group to deliver further opportunities for savings.

Risk Item	Required Actions and Controls	CPA Risk Owner	Status	Comments
<p><b>PA3. Diversity and Equality</b></p> <p>Risk of failure to comply with legal requirements regarding the promotion of diversity and equality.</p>	<p>3. Development and quantifying of savings deliverable from the 'Futures Group' Workstreams. There are £6.7m worth of savings required within the LTFP for 2012/13 that sit outside of the 'Wider Scope' review for which there is no defined and quantified plan to deliver.</p>	Treasurer	ONGOING	The work of the Futures Group, which reports to the DCC and ACO, is ongoing and needs to be done in conjunction with and reported to Members at the same time as any proposals are put forward around a 'wider scope' solution. It will not be possible to make a decision on the Wider Scope if there is no solution to the 2012/13 saving requirements.
	<p>4. Further work on HMIC Value for Money indicators should be undertaken to highlight areas of 'outlying' costs and the strategy for addressing them or explaining how our strategy is driving these outliers.</p>	Treasurer / Service Improvement Manager	ONGOING	Updated reports are brought to Members to highlight how savings plans and strategies are linking in with benchmarking information of other forces and therefore looking at the impact of the proposals on performance.
	<p>5. Further areas of outsourcing and workforce modernisation are developed, that look beyond the commitments within the initial Project 1 contract.</p>	Treasurer	ONGOING	The core contract in relation to Project 1 has a commitment to look to civilise further Police Officer roles. The scale of the financial challenges faced by the Authority will require this process to continue beyond this to balance the budget in future years.
	<p>6. Further areas for collaboration are explored.</p>	Police Authority Executive	ONGOING	Cleveland and now undertake collaborative duties for roads policing and armed response vehicles. Other areas of collaboration should be explored to see if further savings can be made while maintaining current service levels.
	<p>1. Continue to scrutinise the Force and Authority processes and procedures for Single Equality Scheme management and equality impact assessments to ensure that they are robust and compliant.</p>	Strategy Manager	ONGOING	A CPA Single Equality scheme update was presented at Policy & Resources Panel in August 2011. A revised Single Equality scheme is being drafted together with the Force which will be presented at the Policy & Resources Panel in
	<p>2. Ensure that the Force and Authority Action Plans are monitored and reviewed.</p>	Treasurer	CONTINUED ASSESSMENT	CPA Business Plan and Risk Register Action Plans are reviewed periodically and reported at the Leadership Panel
<p>3. Continue to monitor for new legislation to be included within the Single Equality Scheme</p>	Strategy Manager	ONGOING	A review of the impact of Equality Act 2010 is currently ongoing. The Single Equality Scheme will be amended and presented to the CPA on completion (see PA3 Action 1).	

Risk Item	Required Actions and Controls	CPA Risk Owner	Status	Comments
	4. Work with the Force to increase the recruitment, development and retention of BME officers and staff.	Policy & Resources Panel	ONGOING	An interim recruitment freeze has made this difficult to achieve in the medium to longer term.
<b>PA4. Partnerships</b>	1. Police Authority and Force to continue dialogue with partners to try to protect shared funding.	Strategy Manager	ONGOING	A SARC review by the CPA to highlight need to secure funding for the SARC service.
	2. Establish Strategy and a Code of Practice for Partnership Working.	Strategy Manager	COMPLETED	A review of the Code of Practice for Partnership Working was reported in January 2010 to the Policy & Resources Panel.
	3. Establish annual reporting to the Operational Policing Panel on partnership and collaboration issues.	Strategy Manager	COMPLETED	This has been included in the Schedule of Reports for CPA Panels in 2011/12
	4. CPA to press for representation on the 3 Local Strategic Partnerships (LSPs).	Chairman / Acting Chief Executive / Strategy Manager	ONGOING	Ongoing requests by Members and officers. (Note: The PCC will have a position on the LSPs upon transition.)
	5. Authority to continue to monitor the Force in the development of collaboration and partnership projects, with a view to achieving cost savings and service improvements.	Acting Chief Executive / Treasurer	COMPLETED	This has been included in the Schedule of Reports for CPA Panels in 2011/12
	6. Monitor effect of introduction of Police & Crime Commissioners on partnership arrangements.	Strategy Manager / PCC Transition Group	ONGOING	Attend district Strategic Partnership meetings, briefing Members of developments periodically. Involve representatives of Partnerships in the PCC Transition Group.
<b>PA5. Governance</b>	1. Provide training for stakeholders in the provisions of the Code of Corporate Governance and ensure that this forms part of induction training for all Members and officers of CPA	Treasurer / Acting Chief Executive	COMPLETED	A refresh of Code of Governance Training took place on 6 September 2011.
Risk of failure to comply with the provisions of the Code of Corporate Governance and the relevant Acts,				

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Orders and Regulations. This could entail anything from personal misconduct to incorrect exercise of delegated authorities or a corporate failure to apply legal procedures.	<ol style="list-style-type: none"> <li>Check on compliance with the provisions of the Code of Corporate Governance via internal control; for example, checking that the Code of Conduct, Contract Standing Orders and Registers of Interests and Gifts are being adhered to, reporting on such as part of the Annual Governance Statement process.</li> <li>Maintain arrangements for compliance with the requirements of the National Fraud Initiative and Whistle-Blowing regulations, reporting on such as part of the Annual Governance Statement process.</li> <li>Environmental scanning for new legal requirements, reporting to the relevant panel.</li> <li>Plan for future inspections of the CPA, regularly reporting on progress to Members.</li> </ol>	Treasurer / Service Improvement Manager	ONGOING	Ongoing annual AGS process and Annual Audit Report. Contract Standing Orders were reviewed and presented in February 2011 at the Audit & Internal Control Panel in light of the Steria partnership.
	<ol style="list-style-type: none"> <li>Maintain arrangements for compliance with the requirements of the National Fraud Initiative and Whistle-Blowing regulations, reporting on such as part of the Annual Governance Statement process.</li> </ol>	Treasurer / Service Improvement Manager	ONGOING	Ongoing annual AGS process and Annual Audit Report. A supplementary Counter Fraud Strategy is to be published in 2011/12
	<ol style="list-style-type: none"> <li>Environmental scanning for new legal requirements, reporting to the relevant panel.</li> </ol>	Service Improvement Manager	PERIODIC UPDATE	Legislative updates reported through the APA and Home Office are presented at the Policy & Resources Panel
	<ol style="list-style-type: none"> <li>Plan for future inspections of the CPA, regularly reporting on progress to Members.</li> </ol>	Service Improvement Manager	PERIODIC UPDATE	CPA will be notified and will plan in line with any national timetable.
	<ol style="list-style-type: none"> <li>Refresh Code of Corporate Governance to reflect disciplinary and business continuity arrangements.</li> </ol>	Professional Standards Sub Committee / North Yorkshire Police Authority Representatives	ONGOING	Agreed at Leadership Panel on 3 August 2011 and Police Authority Executive 4 August 2011. Further amendments to be agreed at Police Authority Executive 28 September 2011.
	<ol style="list-style-type: none"> <li>Ensure possible interim Governance arrangements satisfy auditors and Home Office.</li> </ol>	Professional Standards Sub Committee / North Yorkshire Police Authority Representatives	ONGOING	Meetings scheduled for Leadership Panel and Professional Standards Sup Committee as and when required.
<b>PA6. Employment Law</b>	<ol style="list-style-type: none"> <li>Review the need for an equal pay audit of whole establishment.</li> </ol>	Treasurer	ONGOING	Workforce and job evaluation review in progress. Update reports at the Policy & Resources Panels in December 2011 and July 2012
Risk of costs and litigation in relation to current workforce policies and the failure to apply effective employment law practices.	<ol style="list-style-type: none"> <li>Follow pay audit with a job evaluation exercise in order to establish a fair system of remuneration.</li> </ol>	Treasurer	ONGOING	A paper on Job Evaluation was presented at the Policy & Resources Panel on 28 <sup>th</sup> April 2011. Update reports at the Policy & Resources Panels in December 2011 and July 2012

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<b>PA7. Replace Police HQ</b> Risk of the current HQ becoming increasingly expensive and unfit for purpose.	3. Fully risk-assess any proposals for workforce modernisation, job restructuring or outsourcing in light of recent legislation, litigation and cost issues experienced by the public sector, reporting to the Police Authority.	Chief Constable / Acting Chief Executive	PERIODIC REVIEW	An assessment is provided on receipt of proposals or environmental scanning of legislation.
	4. Review HR policies around grievance and discipline for efficacy and effectiveness, changing and providing further training, as necessary.	Chief Constable / Acting Chief Executive	PERIODIC REVIEW	With any new policies introduced, training is provided by the CPA where necessary.
	5. Assess staff conditions in light of proposed dissolution of Police Authorities and change to Police & Crime Commissioner Office	Acting Chief Executive / Chairman / PCC Transition Group	ONGOING	A PCC Transition Group has been created to lead on the transition arrangements as a result of the Police Reform and Social Responsibility Act 2011.
	1. Assess and cost the requirements and options for a replacement Police Headquarters ahead of any commitment to proceed with sale or purchase.	Treasurer	ONGOING	Design and specifications have been submitted for planning permission.
	2. Appoint a professional project management team to oversee the project, linking regularly to the Police Authority on progress	Acting Chief Executive	COMPLETED	External estates adviser appointed in November 2010.
<b>PA8. Fraud</b> Financial loss to the Authority as a consequence of acts of commission or omission by Members, staff or contractors.	3. Obtain outline planning permission for the Ladgate Lane site and any relocation site, as required and within appropriate timescales.	Acting Chief Executive	ONGOING	Design and specifications have been submitted for planning permission.
	1. Annual review of effectiveness.	Treasurer	ANNUAL REVIEW	Part of the AGS process overseen by the Audit & Internal Control Panel
	2. Cyclical review of counter Fraud and Corruption arrangements by Internal Audit	Treasurer	PERIODIC REVIEW	A Counter Fraud Strategy is to be published in 2011/12
	3. Ensure compliance with recommendations from any auditors' reports.	Treasurer / Leadership Panel / Professional Standards Sub Committee	ONGOING	Regular meetings with auditors together with scheduled Audit & Internal Control Panels. Special meetings of the Leadership Panel and Professional Standards Sub Committee are scheduled as required to deal with prominent issues.

Risk Item	Required Actions and Controls	CPA Risk Owner	Status	Comments	
<p><b>PA9 Member Issues</b></p> <p>1. Risk of losing significant experience at the 4 yearly elections. May lead to poor scrutiny and service levels.</p> <p>2. Risk of a more politicised governing body in the medium term through legislative changes. Could impact on fairness and public confidence issues.</p> <p>3. Risk of non-attendance at meetings due to over-commitment or lack of commitment.</p>	<ol style="list-style-type: none"> <li>1. Comprehensive induction training in place.</li> <li>2. Experienced officers in place to guide new Members.</li> <li>3. Code of Corporate Governance and other management systems in place.</li> <li>4. Potential to lobby the Government on the risks involved with their proposed approach to police governance.</li> <li>5. Membership Regulations cover non-attendance issues.</li> <li>6. Ensure alignment of Members availability and CPA meetings and briefings to guarantee maximum attendance.</li> <li>7. Possible managerial appointment in light of investigation.</li> </ol>	<p>Acting Chief Executive / CPA Executive Officers</p> <p>Chairman / Chief Constable / Acting Chief Executive</p> <p>Acting Chief Executive</p> <p>Acting Chief Executive</p> <p>Police Authority Executive</p>	<p>ONGOING</p> <p>ONGOING</p> <p>COMPLETED</p> <p>COMPLETED</p> <p>ONGOING</p>	<p>Fully document induction training still to be completed for new CPA Members</p> <p>Updated copies of the CPA Members Handbook and Code of Corporate Governance were distributed to all CPA Members in August 2011.</p> <p>Awaiting final decision on policy and royal assent. Assisting APA where necessary</p> <p>These regulations are In place.</p> <p>Meeting schedule agreed, email updates/reminders and flexibility of members assist any attendance issues.</p> <p>The Authority will determine if possible additional managerial support is required in the CPA for business continuity.</p>	
	<ol style="list-style-type: none"> <li>1. Ensure that minutes of meetings fully reflect the scrutiny of reports by members.</li> <li>2. Create comprehensive outline schedule of reports in advance.</li> <li>3. Consider scrutiny reports from vetted Member(s) to relevant Panel(s).</li> </ol>	<p>Acting Chief Executive / All CPA Executive Officers</p>	<p>COMPLETED</p>	<p>Minutes are truly reflective of meeting content and scrutiny.</p> <p>Outline Schedule of reports for 2011/12 was agreed at the police Authority Executive on 4 August 2011.</p>	
	<p>Put protocols in place to brief Members and officers and to ensure that relevant minutes and notes are sent out to all concerned.</p>	<p>All CPA Executive Officers</p>	<p>COMPLETED</p>	<p>Minutes of all Panels are distributed and agreed at all Police Authority Executive meetings.</p> <p>Notes and briefing notes are provided by CPA officers on upcoming legislation, Force performance and Partnership meetings.</p>	
	<p>Discuss Protective Service updates with CPA "below the line"</p>	<p>Chairman</p>	<p>COMPLETED</p>	<p>Opportunities are given to discuss sensitive policing issues at CPA panels and briefings.</p>	
	<p><b>PA10 Scrutiny Issues</b></p> <p>1. Risk that scrutiny can't be evidenced against CPA's statutory requirements.</p> <p>2. Risk that reporting and monitoring is not to an acceptable standard and within an acceptable timescale.</p> <p>3. Risk that Protective Services are not scrutinised by the CPA to an acceptable level.</p>				

Risk Item	Required Actions and Controls	CPA Risk Owner	Status	Comments
<p><b>PA11 Ongoing Investigation</b></p> <p>This risk has been identified subject to the ongoing investigation surrounding Cleveland Police Authority.</p>	<p>1. Amend Code of Corporate Governance to provide further assurance regarding disciplinary procedures.</p>	<p>Chairman / Treasurer / Professional Standards Sub Committee / North Yorkshire Police Authority Representatives</p>	<p>ONGOING</p>	<p>Agreed at Leadership Panel 3/8/11 and Police Authority Executive 4/8/11.</p> <p>Further amendments to be agreed at Police Authority Executive 28/9/11</p>
	<p>2. Ensure governance arrangements are in place to provide assurance to the public</p>	<p>Chairman / Treasurer / Professional Standards Sub Committee / North Yorkshire Police Authority Representatives</p>	<p>ONGOING</p>	<p>Press releases and opportunities to provide reassurance are utilised if and when required.</p> <p>Meetings of the Leadership Panel and Professional Standards Sub Committee are scheduled as required to deal with prominent issues.</p>
	<p>3. Ensure regular meetings of CPA Treasurer with ACO (Finance &amp; Commissioning) to regulate financial impact of investigation.</p>	<p>Treasurer</p>	<p>ONGOING</p>	<p>Regular scheduled assessment of investigation costs takes place as required.</p>
	<p>4. Schedule special Leadership Panel and Professional Standards Sub Committee meetings as required assessing and mitigating effects of investigation on Force &amp; CPA.</p>	<p>Chairman / Treasurer / Professional Standards Sub Committee / North Yorkshire Police Authority Representatives</p>	<p>ONGOING</p>	<p>Meetings of the Leadership Panel and Professional Standards Sub Committee are scheduled as required to deal with prominent issues.</p>
	<p>3. Possible appointment of Temporary Chief Officers in Force and Authority (where required).</p>	<p>Chairman / Treasurer / Professional Standards Sub Committee / North Yorkshire Police Authority Representatives</p>	<p>ONGOING</p>	<p>Agreement was given by the Home Office In September 2011 to appoint a Temporary Deputy Chief Constable.</p> <p>The application and interview process is ongoing.</p>