POLICE AND CRIME COMMISSIONER FOR LINCOLNSHIRE
CRITICAL RISK REGISTER
(current overall score of 6 and above)

SPONSOR: PCC
CO-ORDINATOR: RESEARCH & PERFORMANCE OFFICER

OBJECTIVES (Police & Crime Plan 2013 - 17)
1. Reduce crime
2. A fair deal for the people of Lincolnshire
3. Police and services that are there when you need them

OBJECTIVES (OPCC Operational Plan 2013/14)
A. Internal
B. Force Organisation/Transformation
C. External Delivery
D. Collaboration

ID	Unique Ref No.	Linked to Objective	Description of Risk: Source (Lack of….Failure to ….)	Description of Risk: Consequences (Results in ….Leads to ….)	Risk Sponsor	Inherent Risk Score 1:Low…4:High: Like-lihood	Inherent Risk Score 1:Low…4:High: Impact	Overall Inherent Risk Score	Existing Controls	Owner (the do-er)	Current Risk Score 1:Low….4:High: Like-lihood	Current Risk Score 1:Low….4:High: Impact	Overall Current Risk Score	Direction of travel	New/Developing Controls	Owner (responsible for new and developing controls)	Start Date	End date	Review Date
1	C01	2, A	Failure to persuade Government of Lincolnshire's case for a fairer share of **national funding**, including lack of recognition of the rural costs in the formula; compounded by potential budget cuts presented by HM Treasury in next spending review period (2014/15 – 2017/18)	• leading to more pressure on local council tax precept • and/or resulting in the PCC's inability to provide sufficient resources to deliver services.	PCC (CFO)	4	4	16	• Case made to Policing Minister (Nov 2012) - rural grant • Key objective in Police and Crime Plan • **Response made to proposals for 2013/14.**	CFO CFO	4	3	12	⇔	• Respond to consultations (government reviews of formula) • Develop & implement approach to lobbying • Financial and strategic planning (2013/14) in progress (Spending Review announcement 26 June 2013)	CFO CE/CFO	2012 Jan 2013	ongoing ongoing	Internal Management Meeting
2	C02	1,2,3, B, C, D	Failure to achieve and demonstrate **efficiencies, value for money** (VfM) and optimum workforce **productivity**	leading to: • PCC's inability to provide sufficient resources to deliver policing services • negative reputational consequences through media coverage. • deterioration in performance • poor use of resources • effectiveness and efficiency of policing in Lincolnshire is reduced or not improved.	PCC (CE)	4	4	16	• VfM considered at Force Transformation Board (CE/CFO attend) • Savings Tracker/Resources Gov Meeting • VfM Strategy • *External assurance* - HMIC review of workforce • *External assurance* - Internal Audit review 'HR [workforce]' (green), Efficiency savings (amber-green) • *External assurance* - Ext Audit VfM conclusion = positive • **External Audit - VfM self assessment completed prior to main audit (June 2013)**	CE/CFO CE/CFO CFO CE CFO CFO CFO	3	4	12	⇔	• Productivity Review **- work in progress. Plan and ToR in place.** • Benefits realisation plan • Delivery of transformational change • T police – watching brief • HMIC Valuing the Police 3 • ***External assurance* - Internal Audit review 'Resource Management'** • ***External assurance* - Internal Audit review 'Benefits Realisation (G4S)'** • ***External assurance* - Internal Audit review 'T Police Implementation'**	CFO CFO CE CFO CE CFO CFO	July 2013 2012 20 May 2013 2012 May 2013 Q1, 2013 Q2, 2013 Q2, 2013	tbc tbc ongoing ongoing ?? 2013 July 2013 Q2 2013 Q2, 2013	Internal Management Meeting
3	C03	3 A, B	Lack of **Business Continuity**/Disaster Recovery plans/processes for Force	leading to: • Vulnerabilities to system/infrastructure/people	PCC	4	4	16	• CFO/RPO representation on Force Risk Management Board (BC risk monitoring) • Business Impact Analysis complete/in place. 'Max tolerable periods of disruption' work in place. • BC Briefing to PCC after BC Board by ACC (PS), exceptions based. • Testing exercise (14 March 2013) **& de-brief** • Report to Audit Committee (March 2013) • *External assurance* - Internal Audit review 'BC/DR (non IT). Opinion = Red rating. ACC (PS) addressed issues, all 7 recs complete. IT DR (Amber/Green). • **Guidance on the occurence of a vacancy/absence, incapacity or suspension in OPCC**	CFO/RPO Force Force Force ACC (PS) Force CE/CAO	3	4	12	⇩	• **Force and G4S plans completion deadline: 12 June 2013. All completed, bar ICT & Legal: sign off imminent.** • Terms of G4S contract - BC/DR arrangements [cross ref to Benefits realisation risk]. Integrated into BCM process. Full engagement. • Regional work - BCM in progress • BC Officer to identify the cross overs within the force level plans by mid July 2013 • Risk assessment and detailed analysis of the high risk/impact areas be carried out and presented to the BCM Board. • **OPCC Business Continuity plan - refresh** • **Emergency Planning table top exercise**	ACC (PS) CE CE ACC (PS) ACC (PS) CE/CAO ACC (PS)	Jan 2012 April 2012 2011 March 2013 March 2013 May 2013 6 Sept 2013	June 2013 2013 2013 July 2013 Oct 2013 July 2013 6 Sept 2013	Internal Management Meeting
4	C08	1, 2, 3, D	Failure to deliver and demonstrate value for money in regional **collaboration** initiatives (service and performance improvements, increased capacity, efficiency benefits and making better use of technology)	leading to: • negative media coverage and negative reputational consequences that may impact on the public and partners trust and confidence of the PCC • financial loss associated with collaboration costs • Potential savings are not achieved • Resilience of services cannot be maintained	PCC (CE)	3	4	12	• Governance structure in place • Regional team produced MTFS, budget, strategic objectives. Approved Jan 2012 • Final joint Collaboration Plan to HMIC by Sept 2011 (inc savings) • Performance governance structure in place - assessment by KPIs/PIs • EMPCC Board to provide overarching strategic objectives/financial reporting • Regional Efficicency Board, Regional Financial strategy • *External assurance* - Internal Audit Benefits Realisation. Opinion: Amber/Red	CE CE CE CE CE	3	4	12	⇔	• Regular updates • Evidence of successes shared (evidence of financial/performance outcomes that demonstrate savings), public, press and partners • Evidence of value shared with community (links to Comms Plan) • *External assurance* - Ext Audit checks (CIPFA code of practice, correct partnership accounting arrangements) • *External assurance* **- Internal Audit Collaboration** Cross ref to 'VfM' risk	CE/CFO CE/CFO CE/CFO CFO CFO	May 2010? 17/12/2008 1/6/09 annually tbc	Ongoing ongoing ongoing ongoing tbc	Internal Management Meeting
5	C05	1, 2, 3 B	Failure to ensure that **Force objectives are delivered** (with available resources)	leading to: • Public confidence in PCC and force is undermined. • Negative media coverage and long term reputational damage • Policing and crime objectives not achieved • Ineffective allocation of funding and issuing of crime and disorder reduction grants • inability to discharge statutory duties • negative impact on local communities	PCC (CE)	3	4	12	• Governance framework • Agreed set of SKPIs and KPIs • Quarterly Performance Update - published • Annual report - media releases/feeding back • *External assurance* - Internal Audit review 'Service Expectations - RJ' (opinion: Amber-Green) • Effective leadership • Support strategies • Effective relationship with force • Decision notices for Plans and associated strategies (published 25 March 2013) • Planning and Strategy meetings in place (oversight/direction)	CE/CFO RPO RPO CE CFO CE CE/CFO PCC CE CE/CFO	3	3	9	⇔	• OPCC Operational Delivery Monitoring Plan • Development of Outline Planning and Budget timetable	CE CFO	01/02/2013 March 2013	end June 13 ongoing	Internal Management Meeting
6	C06	1, 2, 3, A	Lack of **resilience** of PCC (deputy not appointed) and in the Office of Police and Crime Commissioner	• **Instability, lack of leadership in short term and need to invoke contingency plans (through Police and Crime Panel)** • Inability to achieve objectives stated in Police and Crime Plan • Individual and team is vulnerable • Capacity and capability related performance issues. • Negative media coverage/reputational consequences (trust and confidence in PCC is undermined)	PCC (CE)	3	4	12	• BC plan • Policies and procedures • Information management • Scheme of arrangements (CE) - covers temporary appointment of PCC if required. • BC testing (Force wide including OPCC) • **Police and Crime Panel in place with procedures as required.** • **Guidance on the occurence of a vacancy/absence, incapacity or suspension in OPCC**	DCE CE CAO OPCC RPO CAO CE/CAO	2	4	8	⇔	• Joint Planning Day • OPCC Operational Delivery Monitoring Plan • **OPCC Business Continuity plan - refresh**	CE CE CE/CAO	March 2013 Feb 2013 April 2013	July 2013 June 2013 July 2013	Internal Management Meeting

ID	Unique Ref No.	Linked to Objective	Description of Risk: Source (Lack of….Failure to ….)	Description of Risk: Consequences (Results in ….Leads to ….)	Risk Sponsor	Inherent Risk Score 1:Low…4:High: Like-lihood	Inherent Risk Score 1:Low…4:High: Impact	Overall Inherent Risk Score	Existing Controls	Owner (the do-er)	Current Risk Score 1:Low….4:High: Like-lihood	Current Risk Score 1:Low….4:High: Impact	Overall Current Risk Score	Direction of travel	New/Developing Controls	Owner (responsible for new and developing controls)	Start Date	End date	Review Date
7	C07	1, 2, 3, A	Lack of effective **reputation management**	• Policing needs of communities are not represented/voice of the public is not heard • Reduced levels of confidence (perceptions) in how crime is being cut and policing delivered • Accountability of PCC is compromised (2 way communication channels) • Negative media coverage	PCC (CE)	3	4	12	• Engagement strategy and plan • Positive links with media **• Lesson learned** **• Transparency section on website in place** **• Expenditure over £500 published** **• PCC expenses published**	ECO PCC OPCC OPCC	2	4	8	⇔	• Links to Operational Delivery Monitoring Plan	CE	Feb-13	ongoing	Internal Management Meeting
8	C09	1, 2, 3, C	Failure to ensure that **Strategic Partner/Partners' objectives are delivered** (with available resources)	• Policing and crime objectives not achieved • Public confidence in PCC, force and criminal justice partners is undermined. • Ineffective allocation of funding and issuing of crime and disorder reduction grants • poor use of resources • negative media interventions and reputational consequences regarding the public's trust and confidence in policing	PCC (CE)	3	3	9	**• 10 year contract in place, inc Governance framework, Commercial Partnership team (CPT) in place to monitor performance and delivery of contract** **• Risk management - CPT Risk register reviewed via P&D Board - escalation process in place if any serious risks are identified** **• Monthly Transactional Management board in place** **• Performance management of contract/SKPIs/KPIs/PIs/MIs** **• Partnership briefings** **• Force Transformation Board** **• *External Assurance* : Int Audit. G4S Governance (Green)**	CPT/CFO CFO CE/CFO CPT Force CE/CFO CFO	3	3	9	⇔	**• Ongoing OPCC attendance at Performance and Delivery (P&D) Board - oversight of risks (watching brief on t-Police). Project Risk Register for t-Police. Increased scrutiny and QA process by CPT.** **• Links to Operational Delivery Monitoring Plan**	CE/CFO CE	2012 March 2013	ongoing June 2013	Internal Management Meeting
9	C04	1, 2, 3 A, B, (D)	Failure to manage finances effectively (arrangements are not in place for strategic financial planning, **financial management/governance**, accounting and auditing, monitoring value for money, setting the police precept, allocation of grants and funds)	• Deterioration of performance and inability to safeguard service delivery standards • Inability to achieve objectives stated in Police and Crime Plan • Negative media coverage/reputational consequences • Accounts are qualified by external auditors • Inability to set balanced budget	PCC (CFO)	3	4	12	• Strong financial governance and oversight (CFO, Resources Governance meeting) • Internal Audit Strategy and Plan in place • Annual governance statement (assured via external audit) • Anti-fraud and corruption policy and monitoring. • Risk management strategies and registers in place. • Independent Audit Committee • Financial regulations in place.	CFO CE/CFO DCE/CFO CFO/RPO CFO/RPO CFO CFO	2	3	6	⇔	• Links to t-Police • Develop strategic planning approach to extend plans to 2015/16 and 2016/17. **• Code of Corporate Governance - reviewed by Audit Committee (June 2013)** **• *External assurance* - Internal Audit review 'Medium Term Financial Planning'**	CFO CFO/Force CFO CFO CFO	ongoing Feb 2013 March 2013 June 2013 Q2, 2013	ongoing review July 2013 June 2013	Internal Management Meeting
10	C10	1, 2, 3 B, C, D	Lack of **strategic alignment** with partners (failure to focus on the priorities on behalf of local communities)	eading to: • disengagement and inability to deliver joint objectives and outcomes for the public • inability to secure value for money in relation to community safety • conflicting strategic objectives • ineffective management of interdependencies	PCC (CE)	3	3	9	• Effective links with criminal justice partners (inc CPS) • PCC introductory meeting with partners. • Management of Community Safety Fund • Briefings • Links with Community Safety Partnership	PCC/CE PCC CE/CFO RPO	2	3	6	⇔	• Management of funding streams for victims (increased amount) • Development of strong partnerships **• Links to Joint Strategic Threat & Risk Assesment event** • Links to OPCC Operational Delivery Monitoring Plan **• Consultation events - proposed rural event in July, Alcohol in September, PCC surgeries, regular reviews of engagement, consultation and survey data**	CFO CE CE CE DCE/ECO	Nov 2012 Nov 2012 Nov 2013 Feb 2013 March 2013	ongoing ongoing Jan 2013 ongoing Sept 2013	Internal Management Meeting
11	C11	1, 2, 3, A	Failure to establish appropriate relationships and mechanisms with **Police and Crime Panel**	• Statutory duties are not fulfilled (police and crime plan, precept, annual report, appointments). • Lack of scrutiny of Commissioner's performance (undermining public confidence)	PCC (CE)	2	3	6	• Briefings for PCC and Panel • Liaison with Panel support officers • Forward Plan/planning cycle • Clear lines of communications and understanding of roles	CE/CFO CE/CFO/CAO CAO/RPO CE/CAO	2	3	6	⇔	**• Information Sharing Agreement to be drawn up (Panel, OPCC, Force)**	DCE	01-Apr-13	TBD	Internal Management Meeting
12	NC01	1, 2, 3, A	Failure to ensure effective **governance, transparency** and compliance with statutory duties with effective overview mechanisms	leading to: • negative reputation consequences and interventions from the Home Office/other organisations • relevant legal duties are not met • negative media interventions and reputational consequences regarding the public's trust and confidence in policing • public confidence is undermined • lack of effective corporate governance • Adverse comments from those scrutinising the PCC (the Police and Crime Panel, public) • Ability of PCC to be accountable to voters/public is compromised	PCC (CFO)	2	4	8	• Governance structure/oversight of risk • CFO/RPO represented on Force Risk Management Board/Confidential RMB • Audit Committe oversight Force risk arrangements/developments (quarterly), governance & internal control • PCC Risk management strategy, force risk management - continue to embed • Effective Corporate governance (inc Annual Governance Statement) • Monitoring Officer in place • Code of Conduct • Scheme of delegation/Financial & Contract Regs (published) • Anti-fraud & corruption policy/**Annual survey** (inc quarterly update) • Assurance framework **• Expenditure over £500 published** **• External assurance - Internal Audit review 'Risk management' 2012/13. RAG: Green**	PCC/OPCC CFO/RPO Audit CFO/RPO CFO CE All CFO/RPO CE/RPO Force/RPO CFO/RPO	2	2	4	⇔	• *External assurance* - External Audit (AGS, Audit letter) **• *External assurance* - Internal Audit review 'Governance'** **• *External assurance* - Internal Audit review 'Risk Management'** **Review Code of Corporate Governance as part of AGS**	CFO OPCC CFO/RPO CFO	2012/2013 Q4, 2013/4 Q4, 2013/4 Feb 2013	June 2013 June 2013	Internal Management Meeting
13	NC02	2 A, B	**Financial loss** (default on investments, bad debt, major incident)	Leading to • Reduced spend and inability to respond to operational demands • Negative reputational consequences		2	4	8	• Reserves policy • Treasury Management strategy • Risk management *Links to financial governance risk*	CFO CFO CFO/RPO	1	4	4	⇔	**• *External assurance* - Internal Audit review 'Cash, Banking and Treasury Management'**	CFO	Q3, 2013/14		Internal Management Meeting

ID	Unique Ref No.	Linked to Objective	Description of Risk: Source (Lack of….Failure to ….)	Description of Risk: Consequences (Results in ….Leads to ….)	Risk Sponsor	Inherent Risk Score 1:Low…4:High: Like-lihood	Inherent Risk Score 1:Low…4:High: Impact	Overall Inherent Risk Score	Existing Controls	Owner (the do-er)	Current Risk Score 1:Low….4:High: Like-lihood	Current Risk Score 1:Low….4:High: Impact	Overall Current Risk Score	Direction of travel	New/Developing Controls	Owner (responsible for new and developing controls)	Start Date	End date	Review Date

Risk Matrix

Likelihood		Impact: Low 1	Medium 2	High 3	Very High 4
Very High	4	AMBER 4	RED 8	RED 12	RED 16
High	3	GREEN 3	AMBER 6	RED 9	RED 12
Medium	2	GREEN 2	AMBER 4	AMBER 6	RED 8
Low	1	GREEN 1	GREEN 2	GREEN 3	AMBER 4

Risk Appetite defined by thick black line

LIKELIHOOD

	Score	Description
Very High	4	More than a 75% chance of occurrence.
High	3	More than a 50% chance of occurrence.
Medium	2	More than a 25% chance of occurrence.
Low	1	Less than a 25% chance of occurrence.

IMPACT

	Score	Performance/ Service Delivery	Finance /Efficiency £	Confidence/ Reputation	Health & Safety	Environment	Strategic Direction
Very High	4	Major disruption to service delivery Major impact on performance indicators noticeable by stakeholders	Overall >1,000,000 Business Area >150,000	Major stakeholder/investigations /longer lasting community concerns Major reputational damage adverse national media coverage	Death or a life changing injury	Very high negative environmental impact (high amount of natural resources used, pollution produced, biodiversity affected)	Major impact on the ability to fulfil strategic objective
High	3	Serious disruption to service delivery Serious impact on performance indicators noticeable by stakeholders	Overall 251,000-1,000,000 Business Area 41,000-150,000	Serious stakeholder/investigations /prolonged specific section of community concerns Serious reputational damage adverse national media coverage	An injury requiring over 24-hours hospitalisation and /or more than 3 days off work or a major injury as defined by the RIDDOR[10] Regs	High negative environmental impact (medium amount of natural resources used, pollution produced, biodiversity affected)	Serious impact on the ability to fulfil strategic objective
Medium	2	Significant disruption to service delivery Noticeable impact on performance indictors	Overall 51,000-250,000 Business Area 11,000-40,000	Significant investigations/specific section of community concerns Significant reputational damage adverse local media coverage	An injury requiring hospital/professional m edical attention and/or between one day and three days off work with full recovery	Medium negative environmental impact (low amount of natural resources used, pollution produced, biodiversity affected)	Significant impact on the ability to fulfil strategic objective
Low	1	Minor disruption to service delivery Minor impact on performance indictors	Overall <50,000 Business Area <10,000	Complaints from individuals Minor impact on a specific section of the community	An injury involving no treatment or minor first aid with no time off work	Low negative environmental impact (limited amount of natural resources used, pollution produced, biodiversity affected)	Minor impact on the ability to fulfil strategic objective

VERSION CONTROL
Version 5.0 Full review - PCC
Version 5.1 - general updates in April 2013, updates from Audit Committee (March 2013)
Version 5.2 - preparation for June meetings

Direction of Travel

(Overall judgement based on the controls in place/planned)

- Risk reducing
- No change/stable
- Risk increasing