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	C11	1,2,3 A, B	Failure to agree and implement the **stage 2 transfer** in a way that is effective and legal (ie that provides value for money, minimises bureaucracy, takes account of appropriate dependencies, is well co-ordinated with access to the right HR, legal and finance advice and that is timely [implementation by 1 April 2014]).	leading to: • Transfer scheme not being agreed by the Home Secretary and any follow up actions • Financial consequences • Negative media coverage • Lack of role clarity of those charged with governance and those responsible for the delivery of operational policing • Lack of clear division of responsibility between PCC and CC.	PCC (CE)	4	4	16	• Agreement between PCC and CC Final submission to Policing Minister • Stage 2 Project/Corporate sole to deliver new target operating model forms part of Police Transformation Programme (Head of CPT lead) • Governance in place (Force Transformation Board, PTP Steering Gorup, Planning and Strategy meeting).	CE	4	4	16	NEW RISK	• Head of CPT to deliver project • HO to respond to stage 2 submission • Scheme of delegation to be revised (inc Scheme of consent) • Stage 2 project scope in development	CE CE CE/CFO CE/Head of CPT	Oct 2013 Nov 2013 Oct 2013 Nov 2013	March 2014 Nov 2013 Mar 2014 Nov 2013	Internal Management Meeting
2	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. **• Oxford Economics Review** **• Home Affairs Committee Briefing**	CFO CFO CFO 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). **Finance strategy in development.** **• Fairer Funding Action Plan (part of Finance project within Force Transformation Programme).** **• Working with ACPO Business lead and Home Office** **• Engagement options being considered**	CFO CE/CFO CFO CFO CFO/FCFO CC/FCFO CFO	2012 Jan 2013 July 2013 Nov 2013 Oct 2013 Nov 2013	ongoing ongoing Dec 2013 Dec 2013/ongoing ongoing ongoing	Internal Management Meeting
3	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) **• HMIC Valuing the Police 3 report and response**	CE/CFO CE/CFO CFO CE CFO CFO CFO	3	4	12	⇔	• Benefits realisation plan • Delivery of transformational change • T police – watching brief • *External assurance* - Internal Audit review 'Resource Management' • *External assurance* - Internal Audit review 'Benefits Realisation (G4S)' • *External assurance* - Internal Audit review 'T Police Implementation' **• Force 'Make a difference' campaign (innovation and productivity). Monitoring Reports to Resources Governance meeting, Force Transformation Board**	CFO CE CE CFO CFO CFO CFO	2012 20 May 2013 2012 Q1, 2013 Q2, 2013 Q2, 2013 June 2013	tbc ongoing ongoing July 2013 Q2 2013 Q2, 2013 Ongoing	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 Efficiency Board, Regional Financial strategy • *External assurance* - Internal Audit Benefits Realisation. Opinion: Amber/Red **• Regional PCCs visit HO** **• HMIC review on Collaboration (published Nov 2013)**	CE CE 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 (joint) report due end Sept** Cross ref to 'VfM' risk **• Await results of efficiency review (report in Sept) to Efficiency Board** **• Partnership Strategy (inc collaboration strategy) in development**	CE/CFO CE/CFO CE/CFO CFO CFO CFO Force	May 2010? 17/12/2008 1/6/09 annually tbc Sept 2013 July 2013	Ongoing ongoing ongoing ongoing tbc Sept 2013 by April 2014	Internal Management Meeting
5	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)	3	4	12	• Briefings for PCC and Panel • Liaison with Panel support officers • Forward Plan/planning cycle • Clear lines of communications and understanding of roles **• Agenda planning meetings with officers in place**	CE/CFO CE/CFO/CAO CAO/RPO CE/CAO CE/CAO	3	4	12	⇔	• Information Sharing Agreement to be drawn up (Panel, OPCC, Force)	DCE	01-Apr-13	TBD	Internal Management Meeting
6	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. **T-Police go live - Jan 2014.** Increased scrutiny and QA process by CPT. • Links to Operational Delivery Monitoring Plan	CE/CFO CE	2012 March 2013	ongoing ongoing	Internal Management Meeting

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7	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) **• Oversight - progress against objectives in Operational Delivery Plan/Control strategy** **• PCC Assurance meetings with CC (quarterly)** **• Outline Planning and Budget timetable**	CE/CFO RPO RPO CE CFO CE CE/CFO PCC CE CE/CFO CE PCC/CE CE	3	3	9	⇔	• OPCC Operational Delivery Monitoring Plan • External Assurance: Int Audit. Governance arrangements (fieldwork in August 2013) **• Draft supporting strategies deadline: final draft P&C Plans: 19 Dec 2013, £ strategies: 13 Jan 2014, PCC consider precept proposals: 29 Jan 2014, feedback from P&C Panel: 13 Feb 2014, Final plans and precept: end March 2014.**	CE CFO	01/02/2013 March 2013	end June 13 ongoing	Internal Management Meeting
8	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	• 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 **• Mtg 26 July 2013 - discuss and agree procedures (Panel administrators/OPCC)** **• OPCC Business Continuity plan - refreshed** **• Joint Planning Day (July 2013)** **• Alcohol Strategy Officer recruited. Jan 2014 start.**	CE CAO OPCC RPO CAO CE/CAO DCE/CAO CAO DCE	2	4	8	⇔	• OPCC Operational Delivery Monitoring Plan **• Intern (Research & policy) post - JD in development**	CE CE/DCE	March 2013 Nov 2013	July 2013 2014	Internal Management Meeting
9	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 **• Engagement Strategy in development**	CE	01/02/2013 July 2013	ongoing Nov 2013	Internal Management Meeting
10	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. **• Code of Corporate Governance - reviewed by Audit Committee (June 2013)**	CFO CE/CFO DCE/CFO CFO/RPO CFO/RPO CFO CFO CFO	2	3	6	⇔	• Links to t-Police • Develop strategic planning approach to extend plans to 2015/16 and 2016/17. **• *External assurance* - Internal Audit review 'Medium Term Financial Planning' conclusion: Green. 0 recs.**	CFO CFO/FCFO CFO	ongoing March 2013 Q2, 2013	ongoing Sept 2013	Internal Management Meeting
11	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 **• Consultation event (rural crime)** **• Summer engagement events (Force and PCC)**	PCC/CE PCC CE/CFO RPO ECO ECO	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 - Alcohol event, 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
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 (CE & 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 AGS) • Monitoring Officer in place • Code of Conduct (PCC) • 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 **• Code of Corporate Governance reviewed as part of AGS** **• Leadership, standards and ethics statement**	PCC/OPCC CFO/RPO Audit CFO/RPO CFO CE All CFO CE/RPO Force/RPO CFO/RPO CFO/RPO DCE	2	2	4	⇔	• *External assurance* - External Audit (AGS, Audit letter) • *External assurance* - Internal Audit review 'Governance' • *External assurance* - Internal Audit review 'Risk Management' **• Public Accountability meetings** **• Code of Conduct (OPCC) in development**	CFO OPCC CFO/RPO CE/PCC CAO	2012/2013 Q2, 2013/4 Q4, 2013/4 Sept 2013 June 2013	June 2013 quarterly Dec 2013	Internal Management Meeting

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13	C03	3 A, B	Lack of **Business Continuity**/Disaster Recovery plans/processes for Force	leading to: • Vulnerabilities to system/infrastructure/people	PCC (CE)	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 (C&O), 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). • Emergency Planning table top exercise (non HQ Depts) 6 Sept 2013 **• BC Officer identified the cross overs within the force level plans - July 2013. Review schedule in place.** **• All Force and G4S dept BCM plans and BC Incident management plans completed/in place (Nov 2013).** **• Terms of G4S contract - BC/DR arrangements [cross ref to Benefits realisation risk]. Integrated into BCM process. Full engagement.**	CFO/RPO Force Force Force ACC (PS) Force CE/CAO Force ACC ACC/G4S	1	4	4	⇩	• Regional work - BCM in progress • Risk assessment and detailed analysis of the high risk/impact areas be carried out and presented to the BCM Board **• ICT Command and Control resilience issue (location of servers) - options being explored. BC Board to consider Jan/Feb 2014** **• Testing planned for 2014**	CE ACC ACC/EPO ACC/EPO	2011 March 2013 July 2013 Oct 2013	2014 Jan/Feb 2014 Jan/Feb 2014 2014	Internal Management Meeting
14	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	PCC (CFO)	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

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
Version 5.3 - updated for August IMM
Version 5.4 - updated following Sept IMM
Version 5.5 - updated Nov 2013

Direction of Travel

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

⇩ Risk reducing

⇔ No change/stable

⇧ Risk increasing