

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

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ID	Unique Ref No.	Linked to Objective	Description of Risk		Risk Sponsor	Inherent Risk Score 1:Low...4:High		Overall Inherent Risk Score	Existing Controls	Owner (the do-er)	Current Risk Score 1:Low 4:High		Overall Current Risk Score	Direction of travel	New/Developing Controls	Owner (responsible for new and developing controls)	Start Date	End date	Target Risk Score 1:Low....4:High		Overall Target Risk Score	Review Date
						Like-lihood	Impact				Like-lihood	Impact							Like-lihood	Impact		
			Source (Lack of....Failure to ....)	Consequences (Results in ....Leads to ....)																		
5	C02	1,2,3, B, C, D	Failure to achieve and demonstrate <b>efficiencies, value for money</b> (VfM) and optimum workforce <b>productivity</b>	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 • <b>External assurance</b> - HMIC review of workforce • <b>External assurance</b> - Internal Audit review 'HR [workforce]' (green), Efficiency savings (amber-green) VfM RMU (Green) • <b>External assurance</b> - Ext Audit VfM conclusion = positive • External Audit - VfM self assessment completed prior to main audit • <b>External assurance</b> - Internal Audit review 'T Police Implementation' Amber/Green • Valuing the Police 4 (fieldwork Mar/April 2014, results published in Aug 2014 (outstanding/good x2). • HMIC Core Business; inspection in to crime prevention, police attendance, use of police time. Published Sept 2014. (National thematic report). • <b>PEEL Interim Annual Assessment - 27 Nov 2014</b>	CE/CFO  CE/CFO CFO  CFO CFO CFO CE	3	4	12	↔	• Benefits realisation plan • Delivery of transformational change • Force 'Make a difference' campaign (innovation and productivity). Monitoring Reports to Resources Governance meeting. • Policing Transformation Programme Board (reports to RGM and P&S) - <b>move to PEEL Change Programme (Feb 2015)</b> • <b>Benefits realisation report.</b> • <b>Internal audit plan - benefits realisation evaluation (draft) 2015/16 Q4</b>	CFO CE CFO  PCC/DCC	2012 May 2013 Q2, 2013  Q2, 2013 Dec 2014	ongoing ongoing ongoing  ongoing	2	2	4	Internal Management Meeting
6	C08	1, 2, 3, D	Failure to deliver and demonstrate value for money in regional <b>collaboration</b> 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 • Performance governance structure in place - assessment by KPIs/Pls • EMPCC Board to provide overarching strategic objectives/financial reporting • Regional Efficiency Board, Regional Financial strategy • <b>External assurance</b> - Internal Audit Benefits Realisation. Opinion: Amber/Red • <b>External assurance</b> - Internal Audit: Collaboration (joint) Opinion: Amber/Red (Dec 2013) 5 med, 3 low recs. • Regional PCCs visit HO • HMIC review on Collaboration (published Nov 2013) (largely positive)	CE CE  CE  CFO CFO  CE CE	3	4	12	↔	• 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) • <b>External assurance</b> Ext Audit checks (CIPFA code of practice, correct partnership accounting arrangements) Cross ref to 'VfM' risk • Efficiency review (report in Dec 2013) to Efficiency Board. Implementation in progress. • <b>Criminal Justice Collaboration Project</b> • <b>Joint EM Internal Audit Review - Collaboration Efficiency Savings Plans</b> • <b>EM collaboration Assurance map in development (Baker Tilly)</b>	CE/CFO  CE/CFO CFO  CFO CE/ACO CFO  CFO	17/12/2008  1/6/09 annually  Sept 2013 April 2014 Q3 2014 Nov 2014	ongoing  ongoing ongoing  TBC ongoing Q4 2014 TBC	1	3	3	Internal Management Meeting
7	C04	1, 2, 3 A, B, (D)	Failure to manage finances effectively (arrangements are not in place for strategic financial planning, <b>financial management/governance</b> , 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 • AGS (assured via external audit) • Anti-fraud & corruption policy/monitoring. • Risk management strategies and registers • Joint Independent Audit Committee • Financial regulations in place. • Code of Corporate Governance - reviewed by Audit Committee (June 2013) • <b>External assurance</b> - IA 'MTF Planning' (Green) Nov 2013. 'Risk management' (Amber/Green) Feb 2014, Governance framework (Green) Oct 2013 • <b>External assurance</b> - IA 'Payroll' (Green) (Jan 2014) 'Cash, Banking and Treasury Management' (Amber/Red) May 2014, Processing income and expenditure (Amber/Red) Dec 2013. Recs monitored via Flag Report at Transactional Management Board • <b>External assurance</b> - IA 'T-police implementation' (Amber Green), General Ledger (Amber Green), Payments and Creditors (Red), Income and debtors (Amber/Red) - all May 2014. • <b>External assurance</b> - IA financial management (amber/green, Jan 2015), data returns (finance - Green, HR - Amber/Red, Mar 2015)	CFO  CE/CFO DCE/CFO CFO/RPO CFO/RPO CFO CFO CFO CFO  CFO  CFO	3	4	12	↑	• Links to t-Police • Develop strategic planning approach to extend plans to 2017/18. • Seek assurance re continuing payroll issues • T-Police Benefits Realisation report • Commission further audit on payroll system • Develop governance mechanisms via P&D Board (managing service recovery)  • <b>Watching brief: T Police (embedding)</b>	CFO/FCFO CFO  CFO CFO CFO	March 2013 Q2, 2013 June 2014 2013 July 2014	ongoing Sept 2016 ongoing Dec 2014 March 2015	1	2	2	Internal Management Meeting
8	C34	2, 3, B, C	Inability of PCC to meet statutory obligation to commission local services for <b>victims of crime</b>	leading to: • Negative media coverage and reputational damage • Police and crime objectives not achieved • Public confidence in PCC and force is undermined. • Negative impact on local communities • Non compliance (and consequences thereof) with the Victims' Code of Practice, the EU Victims' Directive, the Witness Charter, conditions of the MoJ Victims' Services Grant	PCC (DCE)	4	3	12	• Preparatory work (Victims and Witnesses Lead Officer and support) • Action plan in place • Links with Force and partnership contacts • Strategic Lead Officer V&W in place (Feb 2015) • <b>PID in place</b> • <b>V&amp;W Channel Management Board</b> • <b>Highlight reports to PEEL Board</b>	VWPLO  SLOWV SLOWV  SLOWV SLOWV DCE SLOWV	4	3	12	new risk	• <b>SLO V&amp;W implementing plan</b> • <b>Internal audit plans - V&amp;W/Code/Compliance July 2015</b>  <b>Review risk score - April 2015</b>	SLOWV	Feb 2015	tbd	1	1	1	Internal Management Meeting

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			Source (Lack of...Failure to ...)	Consequences (Results in ...Leads to ...)		Like-likelihood	Impact				Like-likelihood	Impact							Like-likelihood	Impact		
9	C35	2, 3, B, C	Failure to deliver in accordance with the approved Home Office <b>Innovation Fund Grants</b>	leading to: • Loss of grant • Negative media coverage and reputational damage	PCC (CE and CFO)	3	4	12	• Project managers in place (CE, ACO for NICHE, HoSD for Live Links. • Links to Strategic Partner (complex arrangements)	CE  CE/CFO	3	4	12	new risk	• Governance structure (monitoring and oversight) • Financial governance (spending the money) • Links to Strategic Partner (framework/contract changes) work in progress • Internal audit plan - management of IF (draft) 2015/16 Q3	CE/CFO  CFO  CE/CFO	tbd		1	4	4	Internal Management Meeting
10	C05	1, 2, 3 B	Failure to ensure that <b>Force objectives are delivered</b> (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 • Effective leadership • Support strategies • Effective relationship with force • Decision notices for Plans and associated strategies • Oversight - progress against objectives in Operational Delivery Plan/Control strategy (PGM) • Outline Planning and Budget timetable • Supporting plans (finance and resources) in place. • <i>External Assurance</i> : Int Audit. Governance (Green) August 2014 • CE review governance structure, Police and Crime Strategic Board structure in place 2/12/14 • P&CS Board - CC Operational Plan/Control strategy	CE/CFO RPO RPO CE  CE CE/CFO CE/CFO CE  CFO CE/CFO  CE  CE	3	3	9		• OPCC Operational Delivery Monitoring Plan • <i>External Assurance</i> : Int Audit. Police and Crime Plan Dec 2014	CE DCE	01/02/2013 Q3 2014	ongoing Q4 2015	2	2	4	Internal Management Meeting
11	C07	1, 2, 3, A	Lack of effective <b>reputation management</b>	• 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 • Lessons learned • Transparency section on website in place • Expenditure over £500 published • PCC expenses published • Joint media team - additional resilience • <b>Implementation of Engagement and Campaigns Plan</b> • <b>Confidence Drivers matrix - actions</b>	ECO PCC OPCC OPCC RPO CAO DCE DCE	2	4	8		• Links to Operational Delivery Monitoring Plan  <b>NOTE: potential reputational damage of fairer funding lobbying strategy (Dec 2014)</b>	CE	01/02/2013	ongoing	2	2	4	Internal Management Meeting
12	C10	1, 2, 3 B, C, D	Lack of <b>strategic alignment</b> with partners (failure to focus on the priorities on behalf of local communities)	leading 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) • Management of funding streams for victims (increased amount) • DCE involved/engaged with Substance Misuse Board • <b>Objective setting event (Jan 2015)</b>	PCC/CE  PCC CE/CFO RPO  ECO  VWPO	2	3	6		• Development of strong partnerships • Links to Joint Strategic Threat & Risk Assessment event • Links to OPCC Operational Delivery Monitoring Plan • Consultation events - regular reviews of engagement, consultation and survey data • <b>Force Operational Delivery Plan - ACC lead. P&amp;CSBoard oversight.</b>	CE CE  CE DCE/ECO CE	Nov 2012 Oct Feb 2013 March 2013 Dec 2014	ongoing Jan ongoing ongoing Feb 2015	1	3	3	Internal Management Meeting
13	C032	1, 2, 3, A	Failure to ensure effective <b>governance, transparency</b> 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 RMB • JIAC oversight risk arrangements/developments (quarterly), governance & internal control • PCC RMS, force RMS • Effective Corporate governance (inc AGS) • Monitoring Officer in place • Code of Conduct (O/PCC) • AF&C policy/Annual survey (inc qty update) • Assurance framework • Expenditure over £500 published • <i>External assurance</i> - IA 'RM' 2013/14 (A/Green), 'Governance framework' (Green) • Code of Corp Gov reviewed (AGS) • Leadership, standards and ethics statement • New Integrated Scheme of Governance (Decision notice) July 2014 • <i>External assurance</i> - IA 'Governance - decision making/integrity' (Green) Aug 2014 • <i>External assurance</i> - External Audit (AGS, Audit letter) June/Sept 2014 • <b>Compliance with Elected Local Policing Bodies (Specified Information) Order 2011, ICO model and publication scheme (transparency/publishing information)</b>	PCC/OPCC CFO/RPO Audit  CFO/RPO CFO CE All CFO CE/RPO RPO Force/RPO  CFO/RPO RPO  CFO/RPO  DCE  CFO  CAO	2	2	4		• <i>External assurance</i> - Internal Audit review 'Risk Management'	CFO/RPO	Q4, 2014/5	Q4 2014/15	1	2	2	Internal Management Meeting

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14	C033	2 A, B	<b>Financial loss</b> (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	<ul style="list-style-type: none"><li>• Reserves policy</li><li>• Treasury Management strategy</li><li>• Risk management</li></ul> <i>Links to financial governance risk</i>  <ul style="list-style-type: none"><li>• <a href="#">External assurance</a> - Internal Audit review 'Cash, Banking and Treasury Management' Conclusion: Amber/green</li><li>• Financial governance report to Resources Governance meeting 28 May 2014 includes TM.</li><li>• <b>Treasury management plan 2015/16 part of Financial Strategy, published Feb 2015</b></li></ul>	CFO CFO CFO/RPO  CFO  CFO	1	4	4						1	4	4	Internal Management Meeting
15	C11	1, 2, 3, A	Failure to establish appropriate relationships and mechanisms with <b>Police and Crime Panel</b>	<ul style="list-style-type: none"><li>• Statutory duties are not fulfilled (police and crime plan, precept, annual report, appointments).</li><li>• Lack of scrutiny of Commissioner's performance (undermining public confidence)</li></ul>	PCC (CE)	3	4	12	<ul style="list-style-type: none"><li>• Briefings for PCC and Panel</li><li>• Liaison with Panel support officers</li><li>• Forward Plan/planning cycle</li><li>• Clear lines of communications and understanding of roles</li><li>• Agenda planning meetings with officers in place</li><li>• Memorandum of Understanding agreed at Panel meeting Sept 2014</li><li>• PCC/OPCC attend PC&amp;P training (shared understanding roles/challenges, information requirements) 21 Oct 2014</li><li>• <b>Financial briefing provided for Panel (Jan 2015)</b></li></ul>	CE/CFO CE/CFO/CAO CAO/RPO CE/CAO  CE/CAO  CE  CE  CFO	1	3	3		<ul style="list-style-type: none"><li>• <b>Panel support for PCC over fairer funding.</b></li><li>• <b>Additional Briefings planned for 2015.</b></li></ul>	CE  CAO	01/12/2014  2015		1	3	3	Internal Management Meeting

		Impact			
		Low 1	Medium 2	High 3	Very High 4
Likelihood					
Very High	4	AMBER 4	AMBER 8	RED 12	RED 16
High	3	GREEN 3	AMBER 6	AMBER 9	RED 12
Medium	2	GREEN 2	AMBER 4	AMBER 6	AMBER 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 <sup>10</sup> 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 indicators	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 medical 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 indicators	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

Direction of Travel

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

- ↓ Risk reducing
- ↔ No change/stable
- ↑ Risk increasing