POLICE AND CRIME COMMISSIONER FOR LINCOLNSHIRE
RISK REGISTER

NOT PROTECTIVELY MARKED

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	Status	Target Risk Score 1:Low….4:High: Like-lihood	Target Risk Score 1:Low….4:High: Impact	Overall Target Risk Score	Review Date
1	C09	1, 2, 3, C	Failure to ensure that **G4S 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)	4	4	16	•• Ongoing OPCC attendance at Performance and Delivery (P&D) Board - oversight of risks. • Links to Operational Delivery Monitoring Plan • Contract refresh (performance/financial model). CPT Manager to devise planning timeline and planning assumptions (reduce contract by £2M/annum by Sept 2015 and deliver further savings by April 2016), reinvigorate objectives. • G4S submitted ISOS (Dec 2014) 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 • *External Assurance* : Int Audit. G4S Governance (Green) • Change Programme - majority of change complete (Dec 2014)	CPT/CFO CFO CE/CFO CPT Force CE/CFO CFO	3	4	12	⇔	• Internal audit plan - governance of partnerships (G4S) • Financial and operational pressures (March 2015) • Finance review (ToR). G4S Programme Director in place. • CSP 3 year plans in place or in development • Watching brief: stability G4S leadership. • G4S Dialogue • *External Assurance:* Int Audit. G4S Governance (draft report: Satisfactory Oct 2015).	CE CE CE CFO CE	2012 March 2013 April 2014 Dec 2016	ongoing ongoing TBD TBC	Good	3	4	12	Internal Management Meeting
2	C06	1, 2, 3, A	**Lack of resilience** 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 • Channel Board - oversight of victims project • DCFO appointed April 2015 • RPO post - recruitment and selection completed in Dec 2015. 2 x interns recruited Jan 2017 (12 months) Contract in place for Comms and Media support services to PCC - Dec 2016. **Admin Apprentice appointed - Jan 2017**	CE CAO OPCC RPO CAO CE/CAO DCE/CAO CAO CFO DCE DCE PCC CE CFO	3	4	12	⇔	• Watching brief: victims service •Transition Planning - post election • OPCC Operational Delivery Monitoring Plan, exception reporting **• Requirement for digital engagement role being explored - sept 2016** **• Commissioning oversight - involvement of partners / CPT being explored.**	CE CE CE CE	May 2015 Sept 15 Sept 2016 Sept 2016	ongoing ongoing ongoing ongoing		3	3	9	Internal Management Meeting
3	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	• HMIC visit (April 2014), Home Office/Treasury/Cab Office visit (May 2014). • Letter to Home Sec/Shadow HS re VtP4 'outstanding' report • Home Secretary letters (PCC/CC), response & letters of support (CSP, Panel)(Dec 2014) • Policing Minister visit, HS visit, civil servants visits • *External assurance* - Internal audit Financial management inc budget management (Amber/Green) April 2015 • CC report 'Structure of Police Finance' - informing the debate (July 2015) • NOTE: HO Consultation on Formula Funding (Summer 2015). Deadline 15 Sept 2015. Representation at HO events (Aug and Sept). • Respond to consultations (government reviews of formula) . • National Audit Office visit as part of Home Office audit (visit Feb 2015, publish June 2015) (VfM study looking at the financial sustainability of police forces)	CC/CFO DCE DCE CFO	4	4	16	⇔	• Funding formula being revisited by HO - recognition of unfairness of current formula. **• New approach to Reviewing funding formula put in place by Policing Minister.** **• Participation in Funding formula review as member of national technical reference group**	CFO CFO CFO	Jan 2015 Oct 2016 Nov 2016	November 2016 Ongoing Ongoing	Fair	2	4	8	Internal Management Meeting

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4	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) VfM RMU (Green) • *External assurance* - Ext Audit VfM conclusion = positive • External Audit - VfM self assessment completed prior to main audit • *External assurance* - 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 - PEEL EFFICIENCY Nov 2016 inspection grade = "GOOD" .** **• Int Audit Nov 2016- overtime / time recording = 'Satisfactory'** **• Int Audit June 2016- Payroll = 'Satisfactory'**	CE/CFO CE/CFO CFO CE 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 reports to PEEL Change Programme (Feb 2015) • Benefits realisation report. • Internal audit plan - benefits realisation evaluation 2015/16 Q4 • ACO working with PA Consulting, capabiliity and capacity to deliver benefits realisation, inc training (reporting to RGM) • Work in progress to develop the evidence base for delivery of VfM • Benefits realisation workshops - planning in progress. (Next steps still to be agreed) **• New 'change board' and "Senior management board" introduced by force with remit to monitor and manage benefits realisation elements of work.** **Business benefits strategy introduced by the Force.**	CFO CE CFO CFO PCC/DCC ACO ACO ACO DCC DCC DCC	2012 May 2013 Q2, 2013 Q2, 2013 Dec 2014 July 2015 March 2017 January 2017	ongoing ongoing ongoing March 2015 ongoing TBC Ongoing Ongoing	Fair	2	2	4	Internal Management Meeting
5	C036	1,2,3 B,C,D	Failure to deliver objectives of Tri-service **"Blue Light Projgramme".**	Leading to • Loss of grant (Police Innovation Fund) • Negative reputational consequences • Negative impact on Tri-service relationship • Negative impact on delivery of Police, Fire & Rescue and Ambulance services .	PCC (CE)	3	4	12	• Formal project management methodology applied (Prince II) • Qualified project manager in place • Governance structure (monitoring & oversight) • Full Business Case • Heads of terms agreement • Collaboration agreement	CE / CFO	4	4	16	↑	• Tri-service governance structure - (Steering Group / Programme Board,/ Project Group) • Financial governance • Links between Tri-service partners and key stakeholders • Organisational decision making **• Review of Governance (monitoring and oversight)** **• Specialist role to monitor project costs - under consideration / advertised.**	CE / CFO	May 2016 Jan 2017 Feb 2017	Dec 2018 Ongoing Ongoing		2	4	8	Internal Management Meeting
6	C033	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* • *External assurance - Internal Audit review 'Cash, Banking and Treasury Management' Conclusion: Amber/green* • Financial governance report to Resources Governance meeting June 2015 includes TM. • Treasury management plan 2015/16 part of Financial Strategy, published Feb 2015	CFO CFO CFO/RPO CFO CFO	1	4	4	⇔					Good	1	4	4	Internal Management Meeting

Likelihood		Impact: Low 1	Medium 2	High 3	Very High 4
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.

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

⇩ Risk reducing
⇔ No change/stable
↑ Risk increasing