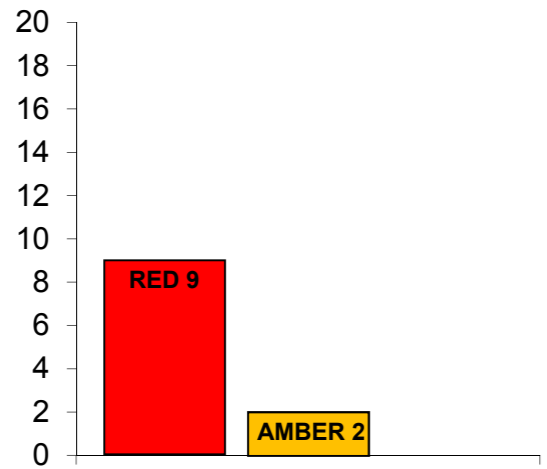


# POLICE AND CRIME COMMISSIONER FOR LINCOLNSHIRE

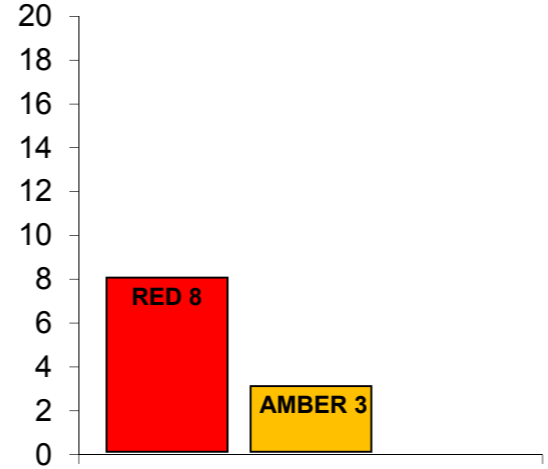
## RISK REGISTER

### EXECUTIVE SUMMARY

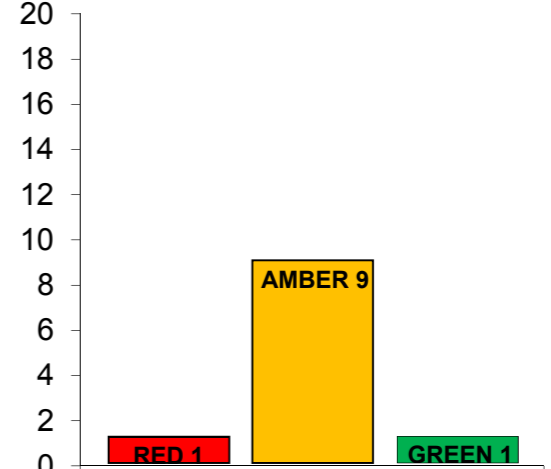
**INHERENT EXPOSURE (Number of Risks)**



**CURRENT EXPOSURE (Number of Risks)**



**TARGET EXPOSURE (Number of Risks)**



**INHERENT EXPOSURE (Risk Distribution)**

LIKELIHOOD	4				3
	3			1	6
	2				1
	1				
		1	2	3	4
		IMPACT			

**CURRENT EXPOSURE (Risk Distribution)**

LIKELIHOOD	4				3
	3			2	5
	2				
	1				1
		1	2	3	4
		IMPACT			

**TARGET EXPOSURE (Risk Distribution)**

LIKELIHOOD	4				
	3			1	1
	2		1	2	2
	1			1	3
		1	2	3	4
		IMPACT			

ID	RISK DESCRIPTIONS	SPONSOR	Current Rating
1	Failure to Ensure that G4S objectives are delivered (with available resources)	PCC (CFO)	
2	Lack of Capacity & Resilience in the Office of Police and Crime Commissioner	PCC (CE)	
3	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)	PCC (CFO)	
4	Failure to achieve and demonstrate efficiencies, value for money (VfM) and optimum workforce productivity	PCC (CE)	
5	Failure to deliver objectives of Tri-service "Blue Light Programme".	PCC (CE)	
6	Financial loss (default on investments, bad debt, major incident)	PCC (CFO)	
7	"Resilience & Instability in Force Chief Officer team (Recent significant changes in Chief Officer team)	PCC (CE)	
8	Lack of effective service commissioning capacity (limited OPCC capacity / capability to deliver full service)	PCC (CE)	

ID	RISK DESCRIPTIONS	SPONSOR	Current Rating
9	Ineffective relationships with Local Partners (Inc LCC, District Councils, Health services, Fire/ Ambulance)	PCC (CE)	
10	Failure to plan for effective transition from current Commercial Contract arrangements.(Contract ends in 2021/22)	PCC (CE)	
11	Failure to maintain or develop beneficial regional collaborations. (Following significant changes in regional leadership landscape - PCCs and Chief Officers)	PCC (CE)	

RISK REGISTER POLICE & CRIME COMISSIONER FOR LINCOLNSHIRE														OBJECTIVES A. INTERNAL B. FORCE ORGANISATION/TRANSFORMATION C. EXTERNAL DELIVERY D. COLLABORATION				NOT PROTECTIVELY MARKED	
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		Current Risk Score	New/Developing Controls (Inc Date)	Owner (responsible for controls)	Target Risk Score 1:Low 4:High		Overall Target Risk Score	Review Date
			Source (Lack of... Failure to...)	Consequences (Results in ... Leads to ...)		Likelihood	Impact				Likelihood	Impact				Likelihood	Impact		
1	C09	A B C	Failure to ensure that <b>G4S objectives</b> are delivered (with available resources)	<ul style="list-style-type: none"><li>• Policing and crime objectives not achieved</li><li>• Public confidence in PCC, force and criminal justice partners is undermined.</li><li>• Ineffective allocation of funding and issuing of crime and disorder reduction grants</li><li>• poor use of resources</li><li>• Negative media and reputational consequences regarding the public's trust and confidence in policing.</li></ul>	CFO	4	4	16	<ul style="list-style-type: none"><li>• Ongoing OPCC attendance at Performance and Delivery (P&amp;D) Board - oversight of risks.</li><li>• 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),</li><li>• G4S 10 year contract (SDA) in place, inc Governance framework, Commercial Partnership team (CPT) i to monitor performance and delivery of contract</li><li>• Risk management - CPT Risk register reviewed via P&amp;D Board - escalation process in place if any serious risks are identified</li><li>• Monthly Transactional Management board in place</li><li>• Performance management of contract/SKPIs/KPIs/PIs/MIs</li><li>• Partnership briefings</li><li>• Internal Audit Programme</li><li>• G4S Programme Director in place.</li></ul>	CPT/ CFO  CE/ CFO CPT  Force CE/ CFO	3	4	12	<ul style="list-style-type: none"><li>• Watching brief: stability G4S leadership.</li><li>• G4S Dialogue</li><li>• Contract review scheduled</li><li>• G4S Integrated support strategy 2017 - 2020 (awaiting ratification)</li><li>• Review of contractual performance indicators being planned (Finance and CPT)</li></ul>	CE CE  CFO	3	4	12	Internal Management Meeting

RISK REGISTER														OBJECTIVES				NOT PROTECTIVELY MARKED			
POLICE & CRIME COMISSIONER FOR LINCOLNSHIRE														A. INTERNAL				B. FORCE ORGANISATION/TRANSFORMATION			
														C. EXTERNAL DELIVERY				D. COLLABORATION			
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			Source (Lack of... Failure to...)	Consequences (Results in ... Leads to ...)		Likelihood	Impact				Likelihood	Impact				Likelihood	Impact				
2	C06	A B C D	Lack of Capacity & 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 undermined)	PCC (CE)	3	4	12	• Policies and procedures • Scheme of arrangements (CE) • Police and Crime Panel in place with procedures as required. • Guidance on the occurrence of a vacancy/absence, incapacity or suspension in OPCC • OPCC Business Continuity plan • DCFO appointed April 2015 • RPO replaced - appointed Dec 2015. • 2 x interns recruited Sept 2017 (12 months) • Admin Apprentice appointed - Jan 2017 • Contract in place for Comms and Media support services to PCC - Dec 2016 – • Contract extended for 6 months on 20 April 2017. • 2 x new Interns recruited July 2017 - planned start date Sept 2017. (3 month overlap with existing Interns) • Collaborative work with Partners on Mental Health Strategy - (LPFT). • Full time CFO appointed to the force releasing some DCFO capacity for OPCC. • Use of external contractors eg creation of Victims Strategy by 'Inspiration' consultancy and secondment of NHS strategic manager for Mental Health strategy creation (Sept 2017).	CE	3	4	12	• EM Regional PCC secretariat being established – Interviews for 3 new positions October 2017 including Collaboration manager, Analyst, and Meetings administrator - .this Will reduce Lincs OPCC staff workload who currently support administration of these meetings).	CE CE CE CE RPO CFO	3 3	9	Internal Management Meeting			
3	CO1	A B C D	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	• Home Secretary letters (PCC/CC), response & letters of support • 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). • 2016 HMIC PEEL Efficiency report recognises Lincolnshire's funding / efficiency situation. • Policing Minister Visit to Force (Sept 2017)	CC/ CFO DCE DCE	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. • Participation in national (evidence based) response to HO regarding review of funding formula.	CFO CFO CFO	2 4	8	Internal Management Meeting			

RISK REGISTER										OBJECTIVES				NOT PROTECTIVELY MARKED					
POLICE & CRIME COMISSIONER FOR LINCOLNSHIRE										A. INTERNAL				B. FORCE ORGANISATION/TRANSFORMATION					
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			Source (Lack of... Failure to...)	Consequences (Results in ... Leads to ...)		Likelihood	Impact				Likelihood	Impact				Likelihood	Impact		
4	CO2	A 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	• Savings Tracker/Resources Gov Meeting • VfM Strategy • HMIC - PEEL EFFICIENCY Nov 2016 inspection grade = "GOOD". • Int Audit Nov 2016- overtime / time recording = 'Satisfactory' • Int Audit June 2016- Payroll = 'Satisfactory'. • Robust procurement process / arrangements in place • VfM / Efficiency plan 2017/18 - in place Feb 2017. • KPMG Audit includes VfM conclusion / opinion. • Benefits realisation strategy in place April 2017	CE/ CFO CE/ CFO CFO CE CFO CFO	3	4	12	• Benefits realisation plan • Internal audit plan - benefits realisation evaluation 2015/16 Q4 • New 'change board' and "Senior management board" introduced by force with remit to monitor and manage benefits realisation elements of work. • Force engaged with CIPFA benchmarking programme.	CFO CFO DCC CFO	2	2	4	Internal Management Meeting
5	CO36	A B C D	Failure to deliver objectives of Tri-service <b>"Blue Light Programme"</b> .	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	16	• 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 • Specialist role to monitor project costs (1/2 day per week utilising existing staff - till march 2018) • PCC regular 1-2-1 meetings with BL programme director.	CE/ CFO  FCFO  PCC	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 • Full grant allowance provided in 16-17 - (not spending in line with 2 yr grant period across 3 yr project. Request made to the HO to have the same dispensation for 2017/18).	CE / CFO  FCFO	2	4	8	Internal Management Meeting
6	CO33	A B C D	<b>Financial loss</b> (default on investments, bad debt, major incident)	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 (CFO)	2	4	8	• Reserves policy • Treasury Management strategy • Risk management  • <i>External assurance</i> - 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 • Audit of online banking / investment setup - Conclusion - Significant assurance (July 2017)	CFO CFO CFO / RPO  CFO  CFO	1	4	4		CC	1	4	4	Internal Management Meeting

RISK REGISTER														OBJECTIVES				NOT PROTECTIVELY MARKED			
POLICE & CRIME COMISSIONER FOR LINCOLNSHIRE														A. INTERNAL				B. FORCE ORGANISATION/TRANSFORMATION			
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			Source (Lack of... Failure to...)	Consequences (Results in ... Leads to ...)		Likelihood	Impact				Likelihood	Impact				Likelihood	Impact				
7	C037	A B C D	<b>Resilience &amp; Instability in Force Chief Officer team</b> (Recent significant changes in Chief Officer team)	<ul style="list-style-type: none"><li>Ineffective leadership - in short term</li><li>Inability to achieve operational &amp; strategic objectives</li><li>Capacity and capability related performance issues.</li><li>Trust and confidence is undermined - (internal &amp; external)</li><li>Deterioration in relationship with strategic partners / stakeholders - ( Commercial partner (G4s) / statutory partners)</li><li>Deterioration in strategic / governance relationship with OPCC.</li><li>Lack of clarity around strategic Objectives</li><li>Lack of force vision</li><li>Sub-optimal use of resources</li></ul>	CE	4	4	16	<ul style="list-style-type: none"><li>Guidance on the occurrence of a vacancy/absence, incapacity or suspension of Chief officers.</li><li>Current COG remain in place until arrival of newly appointed Officers.</li><li>Temporary ACC in place - Internal promotion</li><li>CC Scheme of delegation</li><li>Contingency planning / Business continuity plans.</li><li>Guidance on the occurrence of a vacancy/absence, incapacity or suspension of Chief officer.</li><li>Governance structure</li><li>New Permanent ACO Resources appointed April 2017 - commenced 19/06/17</li></ul>	CC	4	4	16 ↓	<ul style="list-style-type: none"><li>DCC position to be advertised - May 2017</li><li>PNAC strategic command courses - arranged for 2 x Chief Supts (October 2017).</li><li>Temporary promotion plan in place for interim Chief officer group to cover period awaiting full time recruitment process.</li></ul>	CC	1	4	4	Internal Management Meeting		
8	C038	A B C D	<b>Lack of effective service commissioning capacity</b> (Limited OPCC capacity / capability to deliver full service commissioning lifecycle)	<ul style="list-style-type: none"><li>Ineffective leadership - in short term</li><li>Inability to achieve operational &amp; strategic objectives</li><li>Capacity and capability related performance issues.</li><li>Trust and confidence is undermined - (internal &amp; external)</li><li>Deterioration in relationship with strategic partners / stakeholders - ( Commercial partner (G4s) / statutory partners)</li><li>Deterioration in strategic / governance relationship with OPCC.</li><li>Lack of clarity around strategic Objectives</li><li>Lack of force vision</li><li>Sub-optimal use of resources</li></ul>	CE	3	4	12	<ul style="list-style-type: none"><li>Current governance structure</li><li>Current management structure</li><li>Secondment of police officers to support commissioning process.</li><li>Outsourcing elements of commissioning work to specialist external providers - (e.g. Victims Strategy April 2017).</li></ul>	CE/CC	3	4	12 ↔	<ul style="list-style-type: none"><li>Support for commissioning process being explored with Force / CPT.</li><li>Partnerships and Delivery Manager role being recruited (Oct – Nov 2017).</li><li>Partnerships and Delivery Support Officer – selected (awaiting start date during October 2017)</li></ul>	CE	1	4	4	Internal Management Meeting		

RISK REGISTER																			NOT PROTECTIVELY MARKED			
POLICE & CRIME COMISSIONER FOR LINCOLNSHIRE																			OBJECTIVES			
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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		Current Risk Score	New/Developing Controls (Inc Date)	Owner (responsible for controls)	Target Risk Score 1:Low 4:High		Overall Target Risk Score	Review Date			
			Source (Lack of... Failure to...)	Consequences (Results in ... Leads to ...)		Likelihood	Impact				Likelihood	Impact										
9	C039	B C D	Ineffective relationships with Local Partners (Inc LCC, District Councils, Health services, Fire/ Ambulance)	<ul style="list-style-type: none"><li>• Delayed or protracted decision making</li><li>• Inability to progress community safety priorities</li><li>• Disengagement and inability to deliver joint objectives and outcomes for the public</li><li>• Trust and confidence is undermined - (internal &amp; external)</li><li>• Lack of strategic alignment</li><li>• inability to effectively manage interdependencies</li><li>• Sub-optimal use of resources</li></ul>	CE	3	3	9	<ul style="list-style-type: none"><li>• Existing Governance structure</li><li>• Existing relationships.</li><li>• Collaborative agreements in place (e.g. Blue light programme)</li></ul>	PCC / CE	3	3	9	<ul style="list-style-type: none"><li>• Community Safety, Policing and Criminal Justice Plan 2017-2021.</li><li>• PCC to Chair CSP (TBC).</li><li>• Development of County wide Mental Health Strategy.</li><li>• Community Safety Team project work -Led by Supt D Pearce.</li><li>• Audit of Lincs Road Safety Partnership planned Aug 2017.</li><li>• Partnerships and Delivery Manager role being recruited (Oct – Nov 2017).</li><li>• Partnerships and Delivery Support Officer – selected (awaiting start date during October 2017)</li></ul>	PCC / CE  PCC CE  CE  CE	1	3	3	Internal Management Meeting			
10	C040	B C D	Failure to plan for effective transition from current Commercial Contract arrangements. (Contract ends in 2021/22)	<ul style="list-style-type: none"><li>• Deterioration of relationship with partners &amp; key stakeholders</li><li>• Inability to achieve operational &amp; strategic objectives</li><li>• ineffective and inefficient service delivery model</li><li>• Trust and confidence is undermined - (internal &amp; external)</li><li>• Deterioration in strategic / governance relationship with OPCC.</li><li>• Lack of clarity around strategic Objectives</li><li>• Negative financial impact (increased and consequential costs)</li><li>• Sub-optimal use of resources</li></ul>	CE	3	4	12	<ul style="list-style-type: none"><li>• Contractual review arrangements in place</li><li>• Governance structure / processes</li><li>• Relationship with commercial partner</li></ul>	CE / CC	3	4	12	<ul style="list-style-type: none"><li>• Review meeting (OPCC/Force)</li><li>• Scheduled for 1 Aug 2017.</li><li>• Planning underway to ensure appropriate resources allocated to the review process.</li></ul>	CE  CFO	2	3	6	Internal Management Meeting			
11	C041	A B C D	Failure to maintain or develop beneficial regional collaborations. (Following significant changes in regional leadership landscape - PCCs and Chief Officers)	<ul style="list-style-type: none"><li>• Ineffective relationships with regional forces</li><li>• Inability to maintain resilience of operational services including Strategic Policing Requirement (SPR)</li><li>• Negative financial implications - reduced savings / increased costs.</li><li>• Trust and confidence is undermined - (internal &amp; external)</li><li>• Diminished capability to meet operational demand.</li><li>• Negative media coverage - reputational damage.</li><li>• Lack of clarity around strategic Objectives</li><li>• Lack of force vision</li><li>• Sub-optimal use of resources</li></ul>	CC	3	4	12	<ul style="list-style-type: none"><li>• Regional governance structure.</li><li>• Section 22 Agreements' in place</li><li>• Internal Audit reporting to include regional audits (reporting to JIAC from July 27 2017 )</li></ul>	PCC / CE	3	3	9	<ul style="list-style-type: none"><li>• Creation of Regional Secretariat (for PCCs) Interviews for 3 new positions October – November 2017- including Regional Collaboration Manager, Analyst, and Meetings administrator.</li><li>• MJ Chair of regional PCC Business Management group (From May 2017).</li></ul>	CE  PCC  CFO	2	3	6	Internal Management Meeting			

SCORING MATRIX & DIRECTION OF TRAVEL

		Impact			
Likelihood		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.

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)

