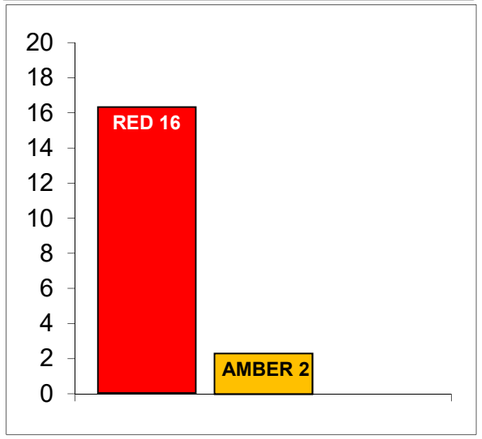
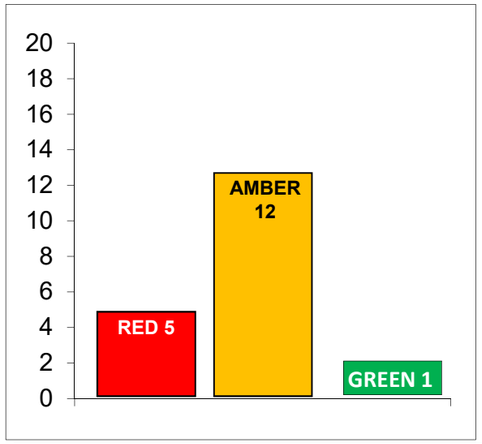
POLICE AND CRIME COMMISSIONER FOR LINCOLNSHIRE
RISK REGISTER - EXECUTIVE SUMMARY

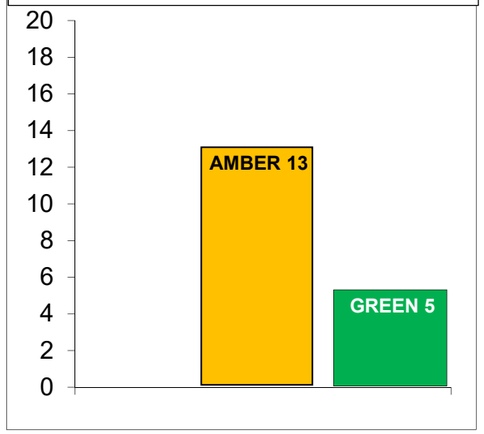
INHERENT EXPOSURE (Number of Risks)



CURRENT EXPOSURE (Number of Risks)



TARGET EXPOSURE (Number of Risks)



INHERENT EXPOSURE (Risk Distribution)

LIKELIHOOD				
4	A	A	R	R 7
3	G	A	A 1	R 8
2	G	A	A	A1
1	G	G	G	A
	1	2	3	4
	IMPACT			

CURRENT EXPOSURE (Risk Distribution)

LIKELIHOOD				
4	A	A	R	R 2
3	G	A	A 2	R 3
2	G	A	A 4	A 4
1	G	G	G 1	A 2
	1	2	3	4
	IMPACT			

TARGET EXPOSURE (Risk Distribution)

LIKELIHOOD				
4	A	A	R	R
3	G	A	A 1	R
2	G	A 1	A5	A 2
1	G	G	G 5	A 4
	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)	Amber
2	Lack of Capacity & Resilience in the Office of Police and Crime Commissioner	PCC (CE)	Amber
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 (2020– 2024)	PCC (CFO)	Red
4	Failure to achieve and demonstrate efficiencies, value for money (VfM) and optimum workforce productivity	PCC (CE)	Red
5	Failure to deliver objectives of Tri-service "Blue Light Programme".	PCC (CE)	Amber
6	Financial loss (default on investments, bad debt, major incident)	PCC (CFO)	Amber
7	"Resilience & Instability in Force Chief Officer team (Recent significant changes in Chief Officer team)	PCC (CE)	Amber
8	Lack of effective service commissioning capacity (limited OPCC capacity / capability to deliver full service)	PCC (CE)	Amber
9	Ineffective relationships with Local Partners (Inc LCC, District Councils, Health services, Fire/ Ambulance)	PCC (CE)	Amber

ID	RISK DESCRIPTIONS	SPONSOR	Current Rating
10	Failure to plan for effective transition from current Commercial Contract arrangements.(Contract ends in 2021/22)	PCC (CE)	Red
11	Failure to maintain or develop beneficial regional collaborations. (Following significant changes in regional leadership landscape - PCCs and Chief Officers)	PCC (CE)	Red
12	Failure to: Effectively comply with the New UK Data Protection Act (came into effect on 25 May 2018)	PCC (CE)	Green
13	Failure of the Force to deliver operational effectiveness	PCC (CE)	Red
14	**Failure** to: obtain satisfactory VfM from the disposal of 'West Parade' Police Station (Lincoln City)	PCC (CE)	Amber
15	Failure to: Contain expenditure within available resources	PCC (CFO)	Amber
16	Failure to: Adequately prepare for Britain's withdrawal from the European Union (Brexit).	PCC (CE)	Amber
17	Failure to: Adequately prepare for the changes to police complaints legislation and associated regulations .	PCC (CE)	Amber
18	Failure to: adequately prepare for PCC Elections in May 2020	PCC (CE)	Amber

RISK REGISTER
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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: Source (Lack of… Failure to…)	Description of Risk: Consequences (Results in … Leads to …)	Risk Sponsor	Inherent Risk Score 1:Low 4:High: Likelihood	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: Likelihood	Current Risk Score 1:Low 4:High: Impact	Current Risk Score	New/Developing Controls (Inc any Dates)	Owner (responsible for controls)	Target Risk Score 1:Low 4:High: Likelihood	Target Risk Score 1:Low 4:High: Impact	Overall Target Risk Score	Review Date
1	C09	A B 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 and reputational consequences regarding the public's trust and confidence in policing.	CFO	4	4	R 16	• Ongoing OPCC attendance at Performance and Delivery (P&D) Board - oversight of risks. • 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), • G4S 10 year contract (SDA) in place, inc Governance framework, Commercial Partnership team (CPT) i 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 • Internal Audit Programme • G4S Programme Director in place.	CPT & CFO & CE	2	4	A 8	• G4S Dialogue • Contract review scheduled • G4S Integrated support strategy 2017 - 2020 (awaiting ratification) • Review of contractual performance indicators being planned (Finance and CPT)	CE & CFO	2	3	A 6	OPCC Management Meeting

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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	R 12	• OPCC Policies and procedures Inc continuity plan. • 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 • DCFO appointed April 2015 • Contract in place for Comms and Media support services to PCC - Dec 2016 – • 2 Interns recruited annually in June - start date Sept / Oct (recurring) • 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 • EM Regional PCC's secretariat established – (Jan 2018) • Partnerships and Delivery Manager & Officer roles established - Jan & March 2018). • Communications Officer (Victims services) – commenced October 2018. • Service Delivery Manager (Victims services) – commenced October 2018. • OPCC Admin Apprentice recruited annually currently in place from Nov 2018	CE	2	4	A 8 ⇩	• Strategic manager and project manager seconded from LPFT (NHS) – Partnership approach to delivery of a programme of work including HIN and M health strategy impleentation - .from April 2019.	CE	2	3	A 6	OPCC 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 (2020– 2024)	• increased 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	R 16	• Policing Minister visit, HS visit, civil servants visits • CC report 'Structure of Police Finance' - informing the debate (July 2015) • Representation at HO events • Respond to consultations (government reviews of formula). • 2016 HMIC PEEL Efficiency report recognises Lincolnshire's funding / efficiency situation. • Policing Minister Visit to Force (Sept 2017) • HO Special grant £1.8 M awarded (2019)	CC/ CFO CE	4	4	R 16 ⇔	• OPCC / Force continue to lobby government / HO at all available opportunities.	CFO	2	4	A 8	OPCC Management Meeting

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4	CO2	A 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	R 16	• Savings Tracker/Resources Gov Meeting • VfM Strategy • HMIC - PEEL EFFICIENCY Nov 2017 inspection grade = "requires improvement". • Internal audit plan in place • 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 • Force Change Board established – inc remit tor benefits realisation / management.	CE & CFO	4	4	R 16	• Force engaged with CIPFA benchmarking programme. • Cipfa review - action plan under construction (oct 2019) • Anticipated external auditors opinion	CFO & DCC	2	4	A 8	OPCC Management Meeting
5	C036	A B C D	Failure to deliver objectives of Tri-service **"Blue Light Programme".**	Leading to • Negative reputational consequences • Negative impact on Tri-service relationship • Negative impact on delivery of Police, Fire & Rescue and Ambulance services .	PCC (CE)	4	4	R 16	• Formal project management methodology applied (Prince II) • Governance structure (monitoring & oversight) Inc Finance / grant structure. • Full Business Case • Heads of terms agreement • Collaboration agreement • PCC regular 1-2-1 meetings with BL programme director – appointed May 2018. • Tri-service governance structure - (Steering Group / Programme Board,/ Project Group) • Links between Tri-service partners and key stakeholders • Organisational decision making processes • Programme risk register / management • Programme Steering group – held monthly. • New project manager in place (June 2018)	CE/ CFO FCFO PCC	2	4	A 8	• Discussions between Tri-service agencies to look at potential for closer operational collaboration - including use of estate assets - ongoing	CE / CFO & FCFO & COG	1	4	A 4	OPCC Management Meeting
6	CO33	A B C D	**Financial loss** (default on investments, bad debt,)	Leading to • Negative impact on service delivery • Reduced spend and inability to respond to operational demands • Negative reputational consequences	PCC (CFO)	2	4	A 8	• Reserves policy (reduced facility to use reserves to mitigate any risk of financial loss 2018/19) • Treasury Management strategy • Internal Audit / review 'Cash, Banking and Treasury Management' (March 2018 – green satisfactory assurance) • Financial governance reporting to JIAC inc TM • Treasury management plan - part of Financial Strategy. • Audit of online banking / investment setup - Conclusion - Significant assurance (July 2017)	CFO RPO	1	4	A 4		CC	1	4	A 4	OPCC Management Meeting

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7	C037	A B C D	**Resilience & Instability in Force Chief Officer team** *(Recent significant changes in Chief Officer team)*	• Ineffective leadership - in short term • Inability to achieve operational & strategic objectives • Capacity and capability related performance issues. • Trust and confidence is undermined - (internal & external) • Deterioration in relationship with strategic partners / stakeholders - (Commercial partner (G4s) / statutory partners) • Deterioration in strategic / governance relationship with OPCC. • Lack of clarity around strategic Objectives • Lack of force vision • Sub-optimal use of resources	CE	4	4	R 16	• Guidance on the occurrence of a vacancy/absence, incapacity or suspension of Chief Officers. • CC Scheme of delegation • Contingency planning / Business continuity plans. • Governance structure • New Chief Constable appointed – February 2017 • New ACO Resources appointed - 19 May 2017.(2 Year Contract) – extended in 2019 • Permanent ACC appointed June 2018 • Restructure of roles and responsibilities conducted Feb 2019 (Senior officers and staff). • New DCC appointed May 2019 (commencing June 2019)	CC	2	4	A 8		CC	2	4	A 8	OPCC Management Meeting
8	CO38	A B C D	**Lack of effective service commissioning capacity at peak times of demand in the commissioning lifecycle**	• Ineffective leadership - in short term • Inability to achieve operational & strategic objectives • Capacity and capability related performance issues. • Trust and confidence is undermined - (internal & external) • Deterioration in relationship with strategic partners / stakeholders - (Commercial partner (G4s) / statutory partners) • Deterioration in strategic / governance relationship with OPCC. • Lack of clarity around strategic Objectives • Lack of force vision • Sub-optimal use of resources	CE	3	4	R 12	• Current governance structure • Current management structure • Outsourcing elements of commissioning cycle to specialist external providers - (e.g. Victims Strategy April 2017). • EM Regional PCC's secretariat established – (Jan 2018) • Partnerships and Delivery Manager & Officer roles established in Jan & March 2018). • New victims service launched March 2019 • Senior manager and project manager seconded from LPFT – support for delivery of a programme of work inc M Health initiatives • Provision for external support at peak times of demand. • Internal contract management Dbase established in OPCC.	CE/ CC	3	3	A 9	• Procurement timelines and planning process under review by OPCC Commissioning manager (Oct 2019)	CE	1	3	G 3	OPCC Management Meeting

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9	C039	B C D	**Ineffective relationships with Local Partners** *(Inc LCC, District Councils, Health services, Fire/ Ambulance)*	• Delayed or protracted decision making • Inability to progress community safety priorities • Disengagement and inability to deliver joint objectives and outcomes for the public • Trust and confidence is undermined - (internal & external) • Lack of strategic alignment • inability to effectively manage interdependencies • Sub-optimal use of resources	CE	3	3	A 9	• Existing Governance structure • Existing relationships. • Collaborative agreements in place (e.g. Blue light programme) • PCC Vice chair of SLP • Partnerships and Delivery Support Officer in place from 2 Jan 2018. • Partnerships and Delivery Manager role in place from March 2018.). • Safer Lincolnshire Partnership (SLP) – increased representation at SLP meetings by OPCC (All CPGs attended). • New Victims Strategy in place Jan 2018 • Community Safety, Policing and Criminal Justice Plan 2017-2021 • Police & Crime Plan delivery - Monitoring report to P& C Panel provided quarterly. • SLP reports to P&C Panel quarterly (partnership activity / status). • OPCC Chief Exec to chair LRSP from March 2019 • Significant assurance rating achieved in LRSP follow-up internal audit (March 2019) • Community Safety, Policing and Criminal Justice Plan 2017-2021.- mid-term Refresh / update early 2019.	PCC / CE	3	3	A 9	• Review of MOU with Police & Crime Panel underway from Dec 2018 – ongoing (march 2019). • Refresh of victims strategy planned for (Oct 2019) • Newly created prevention, Protection and Partnership Board (PPPB) – force / LCC and opcc membership	PCC & CE	1	3	G 3	OPCC Management Meeting
10	C040	B C D	**Failure to:** **plan for and deliver effective transition from current Commercial Contract arrangements.** *(Contract ends in 2021/22)*	• Deterioration of relationship with partners & key stakeholders • Inability to achieve operational & strategic objectives • ineffective and inefficient service delivery model • Trust and confidence is undermined - (internal & external) • Deterioration in strategic / governance relationship with OPCC. • Lack of clarity around strategic Objectives • Negative financial impact (increased and consequential costs) • Sub-optimal use of resources	CE	3	4	R 12	• Contractual review arrangements in place • Governance structure / processes • Relationship with commercial partner	CE / CC	3	4	R 12	• Planning underway to ensure appropriate resources allocated to the review process. • Discussions ongoing regarding ownership of contract. • Joint project initiated to develop clear programme of work & 'roadmap'.	CE CFO	2	3	A 6	OPCC Management Meeting

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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)	• Ineffective relationships with regional forces • Inability to maintain resilience of operational services including Strategic Policing Requirement (SPR) • Negative financial implications - reduced savings / increased costs. • Trust and confidence is undermined - (internal & external) • Diminished capability to meet operational demand. • Negative media coverage - reputational damage. • Lack of clarity around strategic Objectives • Lack of force vision • Sub-optimal use of resources	CC	4	4	R 16	• Regional governance structure. • Section 22 Agreements' in place • Internal Audit reporting to include regional audits (reporting to JIAC from July 27 2017 • Creation of Regional Secretariat (for PCCs) 3 new roles including Regional Collaboration Manager, Analyst, and Meetings administrator – established January to March 2018. • New - replacement regional collaboration manager appointed May 2019 (Commencing August 2019). •	PCC / CE	4	4	R 16	• Regional DCC led review of collaboration arrangements underway (oct 2019) • Ongoing discussions regarding regional budget.	CE PCC CFO	2	3	A 6	OPCC Management Meeting
12	C042	A B C D	**Failure to:** **Effectively comply with the New UK Data Protection Act** incorporating EU directives - General Data Protection Regulations **(GDPR)** and the Law Enforcement Directive (LED) - **Applies from 25 May 2018**.	• Breach of legislation • Unlawful / inappropriate processing of data • Financial penalty - potentially significant amount. • Reputational damage • Negative media coverage	CE	3	4	R 12	• Existing data control processes (MOPI etc) • ICO Preparedness Self- assessment completed (IMU) • National DPA reform working group –Police specific advice. • ICT / IMU governance structure. • Commercial partnership governance structure. • Data Protection Officer - in place (Including OPCC) • Information Sharing Agreements (Victims services) in place for Force / OPCC / Service providers (March 2019) • Recent Review of applicable OPCC policy & procedure	Ho - IMU	1	3	G 3		CE	1	3	G 3	OPCC Management Meeting
13	C044	ABCD	**Failure of:** **The force to deliver operational effectiveness.**	• Rising trend of recorded crime in Lincolnshire. • Declining trend of "positive outcomes" • Declining trend in public satisfaction with the Force • Lack of confidence in Lincolnshire police • Reputational damage – linked to public perception of "high level of crime / poor outcomes / responsiveness of the force".	**CE**	4	4	R 16	• Governance Framework (Force and OPCC / Police and Crime Panel) • Force strategic plan – "Distinctively Lincolnshire" • Force Performance management processes (tactical tasking) • Performance specific monitoring / analysis & reporting processes (Force / OPCC) • Current Police and Crime Plan • Partnership working • Regional Collaborative service delivery • ARC programme extended to enhance reduction in re-offending..	**CC/ PCC/ CE**	3	4	R 12	• Mapping of Police and crime plan objectives to force operational delivery plan - awaiting finalised force delivery plans. • Revised performance monitoring / reporting framework under discussion with Force (March 2019). • Strategic planning framework – in development (Oct 2019) – linked to force delivery plans / identification of priorities and deployment of resources. • Government uplift in police officer numbers – Lincs initial apportionment 50 officers (20K officers nationally)	CC / PCC / CE	2	3	A 6	OPCC Management Meeting

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14	C045	ABCD	**Failure to:** Obtain satisfactory VfM from **disposal of 'West Parade'** Police Station (Lincoln City)	• Reputational Damage • Negative media coverage • Negative financial implications - Organisation left with "White elephant" • Stakeholder scrutiny / investigation • Community concerns	CE	3	4	R 12	• Governance structure • Decision making process • Specific Project group in place • Engagement with key stakeholders	PCC/ CE	2	3	A 6 ⇔	• Discussions underway with "Investors in Lincoln" .	PCC	2	3	A 6	OPCC Management Meeting
15	C046	ABCD	**Failure to:** Contain expenditure within available resources	• Reputational Damage • Negative media coverage • Negative financial implications • Stakeholder scrutiny / investigation • Breach of Financial regulations	CFO	3	4	R 12	• Governance framework • Decision making processes • Financial regulations • Financial reporting – governance meetings	PCC/ CFO	1	4	A 4 ⇔	• A balanced budget has been approved for 2019/20, with precept maximised and £3.2m of savings included to bridge the gap. • MTFP has budget gaps identified; high level plan to deliver savings exists. • Home Office award £1.8m special grant subject to HIMCFRS inspection of claim.		1	4	A 4	OPCC management Meeting
16	C047	ABCD	**Failure to:** Adequately prepare for Britain's' withdrawal from the European Union (Brexit) . *Note: The current deadline for exiting the EU is 31 October 2019*	• Reputational damage • Negative media coverage • Negative financial implications • Failure to achieve value for money • Disruption of service		3	4	R 12	• Guidance received from the Home Office • Governance framework – including decision making process / financial considerations • financial regulations • Lincolnshire Resilience Forum – ACC west Local lead	PCC/ CE	2	3	A 6 ⇔	• Force Brexit Gold group • Links to national preparedness activity		1	3	G 3	OPCC management Meeting
17	C048	ABCD	**Failure to:** Adequately prepare for the changes to police complaints legislation and associated regulations . *(Changes applied from Feb 1st 2020)*	• Reputational damage • Negative media coverage • Negative financial implications • Failure to achieve value for money • Breach of legislation • Ineffective OPCC appeals (review) process	CE	3	4	R 12	• Existing regulations and complaints management legislation / processes • Complaints procedures • Regular liaison with force PSD • Use of IOPC 'Focus' updates / guidance • APCC guidance / updates on changes • APCC complaints and casework national network meetings • Sancus delivered training – received by OPCC / Force representatives • Access to Force 'PSD complaints Dbase (centurion) • Sharing of information, guidance and best practice on the APACE Complaints and Casework Knowledge Hub • Implementation of the reforms actively monitored at Professional Standards Governance meetings		2	4	A 8 ⇔	• IOPC guidance due for publication Jan 2020 • Ongoing discussions with Sancus to support revised complaints management process • Regional IOPC briefing events planned - Jan 2020. • Option paper developed to assist the PCC to determine his preferred approach to handling reviews • Access to PSD's Centurion Complaint Case Management system agreed in principle with the HoPSD (for the conduct of reviews) • Budgetary provision under discussion. • Investigating collaborative approach to provision of complaints 'service' from an external supplier (Oct 2019)		1	4	A 4	OPCC management Meeting

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			Source (Lack of… Failure to…)	Consequences (Results in … Leads to …)		Likelihood	Impact				Likelihood	Impact				Likelihood	Impact		
18	C049	ABCD	**Failure to**: adequately prepare for PCC Elections in May 2020	• Reputational damage • Negative media coverage • Negative financial implications inc Inappropriate use of public funds (electioneering) • Breach of legislation • Undermine public confidence in the election process. • Increased external scrutiny • Public trust and confidence in policing undermined. • Legal challenge regarding proper election process / outcome.	CE	3	4	R 12	• Purdah Guidance – national (2016) • Joint protocol (force / OPCC) – inc local purdah and election guidance for staff / officers. • Role of chief executive as Monitoring Officer • Outline plan and preparation process existing from previous PCC elections.		2	3	A 6	• Anticipated updated national Purdah guidance – APCC • Internal communications plan • Ongoing preparation meetings between Corporate administration officer (CAO) and the Head of the Professional standards department (HoPSD). • Development of advice for officers and staff attending public events. • Selection of Force and OPCC election SPOCs (unbiased advice / information)		1	3	G 3	OPCC 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 is defined by thick black line between Amber and Red risk scores

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

Direction of Travel

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

⇩ Risk reducing ⇔ No change/stable ⇧ Risk increasing

POLICE AND CRIME COMMISSIONER FOR LINCOLNSHIRE

RISK REGISTER: CHANGE LOG (Showing changes made since 01/01/2017)

No	Date	Author	Risk URN	Item	Changes	Comments
7.11	05/01/2017	RPO	C036	Blue light programme	Increase current risk score to 16 from 12 and include new developing control re review of project / programme Governance	Discussed at IMM January 4 2017
7.11	09/01/2017	RPO	C01	National Funding	Update developing controls and transfer some developing controls into existing column	Discussed at IMM January 4 2017
7.11	20/01/2017	RPO	C033	Financial Loss	Update developing controls with review of TM Plan	CFO - post PCSB meeting 19/01/17
7.11	20/01/2017	RPO	C02	VfM	Update developing controls re newly introduced Change board and draft benefits realisation strategy	CFO - post PCSB meeting 19/1/17
7.11	03/03/2017	RPO	C036	Blue light programme	Amend existing controls and developing controls re changes in governance and new appointments planned / advertised.	Info provided at March IMM meeting
7.13	11/05/2017	RPO	C06	Resilience in OPCC	Change description of risk to include "capacity"	Agreed at IMM April 2017
7.13	12/05/2017	RPO	C036	Blue light programme	Update developing controls	Refreshed at IMM April 2017
7.14	17/05/2017	RPO	C037	Resilience & Instability of Force Chief Officer team.	New risk added	Agreed at IMM 17 May
7.14	17/05/2017	RPO	C038	OPCC Lack of commissioning capacity	New risk added	Agreed at IMM 17 May
7.14	28/06/2017	RPO	C036	Blue light programme	Amend inherent score - error in recording - should have been scored 16 not 12	Identified at IMM 17 May
7.14	28/06/2017	RPO	C039	Ineffective relationship with local partners	New risk added	Agreed at Annual Risk Register review meeting 28 June
7.14	28/06/2017	RPO	C040	Failure to plan for transition to new contract	New risk added	Agreed at Annual Risk Register review meeting 28 June
7.14	28/06/2017	RPO	C041	Failure to maintain or develop beneficial regional collaborations	New risk added	Agreed at Annual Risk Register review meeting 28 June
7.14	28/06/2017	RPO	None	All Entries	Removal of status Column - superfluous to judgement of risk level / not used in practice.	RPO amended
7.14	28/06/2017	RPO	C01	National Funding	Update developing controls and transfer some developing controls into existing column	discussed at IMM 19 July 2017
7.14	28/06/2017	RPO	C033	Financial Loss	Update developing controls with review of TM Plan	discussed at IMM 19 July 2017
7.14	28/06/2017	RPO	C02	VfM	Update developing controls re newly introduced Change board and draft benefits realisation strategy.	discussed at IMM 19 July 2017
7.14	28/06/2017	RPO	C036	Blue light programme	Amend existing controls and developing controls re changes in governance and new appointments / commencement in roles	discussed at IMM 19 July 2017
7.14	12/07/17	RPO	None	Executive Summary	Updated to reflect current risk profiles and IDs - following annual review meeting on 28 June.	updated 12 July 2017

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RISK REGISTER: CHANGE LOG (Showing changes made since 01/01/2017)

No	Date	Author	Risk URN	Item	Changes	Comments
7.15	**16/10/2017**	**RPO**	**None**	Entire Document	Risk Register content transferred from Excel to Word format	updated 16 October 2017
7.16	**16/10/17**	**RPO**	**C01**	National Funding	Update existing and developing controls	non
7.16	**16/10/17**	**RPO**	**C06**	Lack of capacity and resilience OPCC	Update existing and developing controls	non
7.16	**16/10/17**	**RPO**	**C037**	Resilience and instability in Force Chief officer team	Update existing and developing controls	non
7.16	**16/10/17**	**RPO**	**C039**	Ineffective relationships with local partners	Update existing and developing controls	non
7.16	**16/10/17**	**RPO**	**C041**	Failure to maintain or develop beneficial regional collaborations	Update existing and developing controls	non
7.16	**16/10/17**	**RPO**	**C038**	Lack of effective service commissioning capacity	Update existing and developing controls	non
7.16	**08/11/17**	**RPO**	**C042**	Failure to - Prepare & implement GDPR / LED – new Data Protection Act – from 25 May 2018.	Entry of new Risk C042	Approved 8 Nov following discussion / proposal at IMM
7.17	**12/12/17**	**RPO**	**C037**	• Chief Officer team resilience & Instability, C037.	Update developing controls.	Amended following IMM in Dec 2017.
7.17	**12/12/17**	**RPO**	**C043**	• Entry of new risk	Failure to: **Secure insurance -** as a result of the current provider not offering renewal terms, .with effect from 1st April 2018 (Public Liability, Employers Liability, Engineering Insurance and Fidelity Guarantee),	Following discussion at IMM Dec 2017
7.17	**18/12/17**	**RPO**	**C06, C038, C033, C036, C02, C041, C039.**	• Update items listed	Update existing & developing controls	
7.18	8/01/18	RPO	C044	Add new risk	"Failure of the force to deliver operational effectiveness".	Following discussion at IMM Jan 2018
7.18	8/01/18	RPO	C01	• Govt funding	Amend wording of risk to better reflect current situation regarding Govt Grant / funding formula.	Following discussion at IMM Jan 2018
7.18	08/01/2018	RPO	C033	• Financial Loss	Add "impact on service delivery" to consequences and note the reduced ability to rely on reserves to mitigate any significant loss, within Existing Controls section . Plus correct error in Consequences section, made at time of converting document from Excel to Word format. (V7.1)	Following discussion at Jan 2018 IMM
7.18	08/01/2018	RPO	C040	• Commercial contract	Amend wording of risk to include "deliver".	Following discussion at Jan 2018 IMM

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RISK REGISTER: CHANGE LOG (Showing changes made since 01/01/2017)

No	Date	Author	Risk URN	Item	Changes	Comments
7.18	08/01/2018	RPO	C043	• Insurance risk	Amend wording of risk to include "on appropriate terms"	Following discussion at Jan 2018 IMM
7.19	20/3/2018	RPO	• C06 • C036	• OPCC resilience • Blue light	• Reduce current risk score from 12 to 2x4 = 8 and update controls based on new roles commencing in OPCC. • Amend wording of developing controls relating to blue light project management	Following review with CEO 22/3/18
7.19	21/3/2018	RPO	• C037 • C038	• Chief officer team resilience • Service commissioning	• Reduce risk score from 16 to 3x4 = 12 and update controls • Reduce risk score from 12 to 9 3x3 = 9 – and update controls	Following review with CEO 22/3/18
7.19	22/3/2018	RPO	• C041 • C044	• Regional collaborations • Force operational effectiveness	• Increase risk score from 9 to 3x4 =12 • Amend developing controls to include process of police and crime plan being mapped to operational delivery plan.	Following review with CEO 22/3/18
7.19	28/3/2018	RPO	• C043	• Insurance provision	• Secured replacement insurance contract - to commence from 1 April 2018. Reduced risk to target score Risk to be archived at next update.	Following review with DCFO 27/3/18
7.20	4 / 6 / 2018	RPO	• C043 • C033 • C02	• Insurance provision • Financial loss • Efficiencies & VfM	• Risk removed from the register and archived.- plus amended exec summary to align with its removal. • Words "major incident" removed from risk description • Target risk score amended to Amber 8 (L2x 4)	Following comments at April 2018 JIAC.
7.21	2/7/2018	RPO	• C036 • C041 • C042 • ALL	• Blue light objectives • Regional collaborations • GDRP Legislation. • ALL RISKS • Exec summary	• Reduce risk score to 3x4 from 4x4 & Update existing and developing controls regarding – programme objectives relating to 'operational collaboration' • Increase current risk score to max 4X4 following Notts withdrawal from EMOpSS • Adjust wording of risk to reflect 'compliance' with new legislation – (legislation in place since May 25 2018). • Refresh of 'existing' and 'developing controls' – based on current information. • Update 'Exec Summary' in Register to reflect current status.	Including comments made at IMM 21 June 2018
7.22	14/8/2018	RPO	• C06 • C01 • C037 • C039 • C042 • C033	• OPCC resilience • Funding • Chief Officers • Local Partners • GDPR • Financial loss	• Refresh existing controls and developing controls for all listed risks based on current information – Plus rewording of risk C042 to focus on effective compliance rather than preparation as GDPR legislation came into effect on 25 May 2018. • Check 'Exec Summary' for accuracy, to ensure it reflects current status of all risks.	Routine updating of register content.
7.23	16/08/2018	RPO	• C045 • C036 • C038 • C040	• Property disposal • Blue light programme • Service commissioning capacity • Current commercial contract	• **Add new risk** relating to failure to obtain VFM from disposal of west parade police station (Lincoln City) • Update developing controls for 3 risks.	Following OPCC management meeting on 15 August 2018.

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RISK REGISTER: CHANGE LOG (Showing changes made since 01/01/2017)

No	Date	Author	Risk URN	Item	Changes	Comments
7.24	15/10/2018	RPO	• C046 • C040 • C038 • C037 • C036 • C02 • C06 • ALL	• Containing expenditure • Contract transition • Commissioning capacity • Chief officer team stability • Blue Light Programme • Achieve efficiencies / VfM • Lack of capacity OPCC • Executive summary	• **Add new risk – "**Failure to: contain expenditure within available resources" • Add new developing control • Change direction of risk • Reduce current risk score to AMBER 8 from RED 12 • Change direction of risk and remove "loss of Grant" from risk consequences • Increase current risk score from RED 12 to 16 (increased likelihood) • Move 'developing controls' to 'existing controls' following staff appointments • Update executive summary to match content of the register V7.24 (16/10/2018)	Following OPCC management meeting on 15 October 2018 and PCSB on 16th October.
7.25	04/12/2018	RPO	• C01 • C038 • C039 • C042	• National Funding • Service Commissioning • Local Partners • GDPR compliance (Victims services)	• Align text appearing in the risk description for the risk entry and the risk summary. • Amend 'Target Score' to 1x3 – typo had it rated as 1x4. (Also reflect this amendment in Exec summary section). • Update existing and developing controls to better reflect the current situation (no change in current risk score). • Update developing controls to include Information Sharing Agreements (ISA) for Victims services providers / Force / OPCC.	Following OPCC management meeting on the 4th December 2018.
7.26	7/01/2019	RPO	• C01 • C046	• National funding • Contain expenditure	• Add reference to application for HO special grant funding in developing controls.. • Amend date for production of completed savings and recovery plans – Nov '18 to January 2019.	Updates prior to JIAC.
7.27	26/02/2019	RPO	• C047	• Brexit	• **Add new risk**	Following OPCC management meeting on 26 Feb 2019.
7.27	27/03/2019	RPO	• Exec sum	• Summary page	• update exec summary (risk distribution) and register version number	Updates following OPCC management meetings on 26 Feb 2019 and 27 March 2019..
7.27	27/03/2019	RPO	• C06	• OPCC Capacity	• update control with appointment of new admin apprentice etc	As above
7.27	27/03/2019	RPO	• C09	• G4S Objectives	• update existing controls.	'As above
7.27	27/03/2019	RPO	• C02 •	• VfM •	• update developing controls with title of appropriate force management board	As above
7.27	27/03/2019	RPO	• C036	• Blue light programme	• add monthly steering group to existing controls	As above
7.27	27/03/2019	RPO	• C037	• Force Chief officer team	• Remove reference to 'new Chief of staff' – role made redundant. • remove reference to temporary additional ACC post • And change direction of travel from reducing to increasing • Change risk score from Amber 8 to Red 12 (3x4)	As above
7.27	27/03/2019	RPO	• C038	• OPCC service commissioning	• Move developing control to existing controls relating to greater links with CPT to support appropriate elements of commissioning cycle.	'[As above

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No	Date	Author	Risk URN	Item	Changes	Comments
					• Add reference to LPFT project / partnership work – commencing April 2019	
7.27	27/03/2019	RPO	• C039	• Relationships with local partners	• OPCC CE to chair LRSP from March 2019 • Significant assurance rating achieved from LRSP follow up internal audit	'As above
7.27	27/03/2019	RPO	• C041	• Regional collaborations	• update developing controls with away day for PCC/CC in March 2019	'' As above
7.27	27/03/2019	RPO	• C042	• GDPR compliance	• Information sharing agreements for victims services have been signed / approved by all parties – moved to existing controls.	'' As above
7.27	27/03/2019	RPO	• C044	• Operational effectiveness	• add ref to - New performance / holding to account structure under discussion • Add to developing controls - some draft operational delivery plans presented at Senior management event (March 2019) • Remove existing control, 'Delivery Plan Manager appointed Dec 2017' – role since made redundant.	'' As above
7.27	27/03/2019	RPO	• C046	• Contain expenditure	• Revise developing controls to better reflect current financial situation.	Following OPCC MM on 27 March 2019
7.28	27/5/2019	RPO	• C036	• Blue light programme	• Revise score down to 2x4 = 8 AMBER(from 3x4) – now achieved target score	Following OPCC IMM on 24th May 2019
7.28	27/5/2019	RPO	• C046	• Contain expenditure	• Revise score down to 2x4 = 8 AMBER (from 3x4)	Following OPCC IMM on 24th May 2019
7.28	07/06/2019	RPO	• C041	• Regional collaborations	• revise controls – add ref to new regional collaboration manager appointed (to replace retiring post holder)	Following OPCC IMM on 24th May 2019
7.28	07/06/2019	RPO	• C047	• Brexit preparations	• revise exit date for Brexit • remove reference to DCC leading regional preparations (retired)	Following OPCC IMM on 24th May 2019
7.28	07/06/2019	RPO	• C037	• Chief officer team	• refresh controls - add appointment of New DCC and extension of ACO contract.	Routine update
7.28	07/06/2019	RPO	• C01	• National Funding	• refresh to reflect special grant £1.8M	Routine update
7.29	17/07/19	RPO	• C042	• GDPR / DPA compliance	• Reduce likelihood score for this risk from 3 to 2 – current now = 6	Following IMM on 17 July 2019
7.30	12/09/19	RPO	• C044	• Force operational effectiveness	• Refresh new and developing controls	Following IMM on 11 September 2019
7.30	13/09/19	RPO	• **C048**	• Compliance with new complaints legislation	• **Add new risk –** regarding compliance with planned changes in complaints management legislation / regulations.	Following IMM on 11 September 2019
7.30	18/09/19	RPO	• C037	• Force chief officer team	• Reduce likelihood score from 3 to 2 , revised current risk score = 8	Following IMM on 11 September 2019
7.30	8/10/19	RPO	• C046	• Containing expenditure	• Reduce current score to target ie from 2x4 to 1x4 = 4	Routine update
7.30	8/10/19	RPO	• C045	• Disposal of west parade	• Reduce likelihood score from 3 to 2 current score now = 6	Routine update

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RISK REGISTER: CHANGE LOG (Showing changes made since 01/01/2017)

No	Date	Author	Risk URN	Item	Changes	Comments
7.30	8/10/19	RPO	• C038	• OPCC - Service commissioning capacity	• Re-frame wording of the the risk to better reflect capacity concerns.	Routine update
7.30	14/10/2019	RPO	• C049	• PCC Election 2020	• **ADD NEW RISK -** Failure to adequately prepare for PCC election- in May 2020	Routine update
7.30	16/10/2019	RPO	• C09	• G4S objectives	• Refresh developing controls – remove reference to stability issues of G4 Leadership	Following IMM – 16 October 2019
7.30	16/10/2019	RPO	• C01	• National funding	• Remove out of date developing controls	Following IMM - 16 October 2019
7.30	16/10/2019	RPO	• C02	• VFM	• Add to developing controls following CIPFA review.	Following IMM - 16 October 2019
7.30	16/10/2019	RPO	• C039	• Local partnerships	• Add reference to PPPB creation and victims strategy refresh + move PCP refresh to existing controls.	Following IMM - 16 October 2019
7.30	16/10/2019	RPO	• C040	• Commercial contract	• New project plan and revised timeline is under development	Following IMM - 16 October 2019
7.30	16/10/2019	RPO	• C041	• Collaboration	• update controls – reviews of collaboration and budget underway	Following IMM - 16 October 2019
7.30	16/10/2019	RPO	• C042	• Data protection act compliance	• Reduce score to 1x3 from 2x3 – reached target, potentially remove at next risk review meeting (IMM)	Following IMM - 16 October 2019
			•	•	•	
			•	•	•	