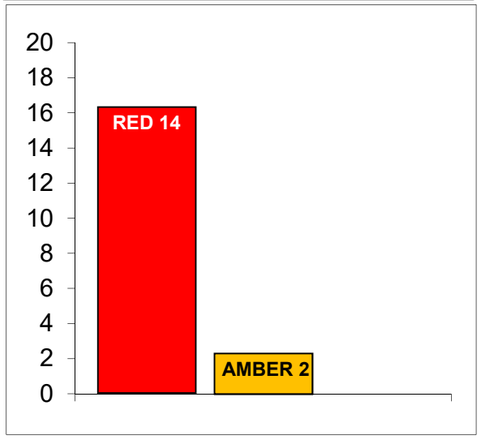
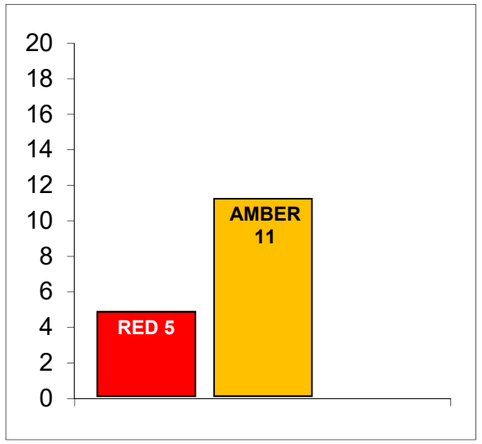
# POLICE AND CRIME COMMISSIONER FOR LINCOLNSHIRE
# RISK REGISTER - EXECUTIVE SUMMARY

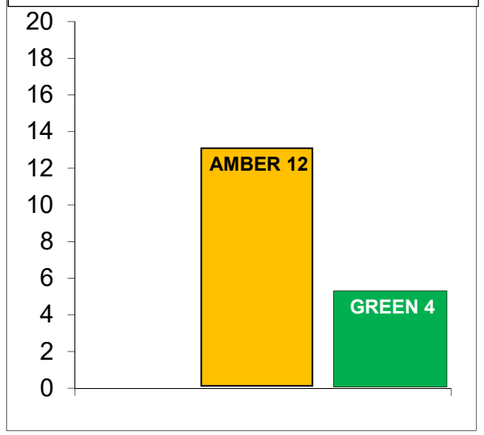
**INHERENT EXPOSURE (Number of Risks)**




**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 6 |
| | 2 | G | A | A | A |
| | 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 | A 1 |
| | | 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 4 | A 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) | 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 of the Force to deliver operational effectiveness | PCC (CE) | Red |
| 13 | Failure to:<br>obtain satisfactory VfM from the disposal of 'West Parade' Police Station (Lincoln City) | PCC (CE) | Amber |
| 14 | Failure to:<br>Adequately prepare for Britain's' withdrawal from the European Union (Brexit) : | PCC (CE) | Amber |
| 15 | Failure to: Adequately prepare for the changes to police complaints legislation and associated regulations . | PCC (CE) | Amber |
| 16 | Failure to: adequately prepare for PCC Elections in May 2020 | PCC (CE) | Amber |

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C. EXTERNAL DELIVERY
D. COLLABORATION

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| 1 | C09 | A<br>B<br>C | Failure to ensure that **G4S objectives** are delivered (with available resources) | • Policing and crime objectives not achieved<br>• Public confidence in PCC, force and criminal justice partners is undermined.<br>• Ineffective allocation of funding and issuing of crime and disorder reduction grants<br>• poor use of resources<br>• 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.<br>• 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),<br>• G4S 10 year contract (SDA) in place, inc Governance framework, Commercial Partnership team (CPT) i to monitor performance and delivery of contract<br>• Risk management - CPT Risk register reviewed via P&D Board - escalation process in place if any serious risks are identified<br>• Monthly Transactional Management board in place<br>• Performance management of contract/SKPIs/KPIs/PIs/MIs<br>• Internal Audit Programme<br>• G4S Programme Director in place. | CPT & CFO & CE | **2** | **4** | **A 8** ⟷ | • G4S Dialogue - ongoing<br>• Review of contract underway – decision regarding renewal anticipated- mid 2020 | CE & CFO | **2** | **3** | A 6 | OPCC Management Meeting |

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| 2 | C06 | A<br>B<br>C<br>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)<br>• Inability to achieve objectives stated in Police and Crime Plan<br>• Individual and team is vulnerable<br>• Capacity and capability related performance issues.<br>• Negative media coverage / reputational consequences (trust and confidence in PCC undermined) | PCC (CE) | 3 | 4 | R 12 | • OPCC Policies and procedures Inc continuity plan.<br>• Scheme of arrangements (CE)<br>• Police and Crime Panel in place with procedures as required.<br>• Guidance on the occurrence of a vacancy/absence, incapacity or suspension in OPCC<br>• DCFO appointed April 2015<br>• Contract in place for Comms and Media support services to PCC - Dec 2016 –<br>• 2 Interns recruited annually in June - start date Sept / Oct (recurring)<br>• Collaborative work with Partners on Mental Health Strategy - (LPFT).<br>• Full time CFO appointed to the force releasing some DCFO capacity for OPCC.<br>• Use of external contractors eg creation of Victims Strategy by 'Inspiration' consultancy<br>• EM Regional PCC's secretariat established – (Jan 2018)<br>• Partnerships and Delivery Manager & Officer roles established - Jan & March 2018).<br>• Communications Officer (Victims services) – commenced October 2018.<br>• Service Delivery Manager (Victims services) – commenced October 2018.<br>• 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 implementation - .from April 2019.<br>• Review of complaints (Appeals) outsourced (Dec 2019).<br>• Business case created for revised community engagement model – under discussion with COG (Dec 2019) | CE | 2 | 3 | A 6 | OPCC Management Meeting |
| 3 | CO1 | A<br>B<br>C<br>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<br>• 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<br>• CC report 'Structure of Police Finance' - informing the debate (July 2015)<br>• Representation at HO events<br>• Respond to consultations (government reviews of formula).<br>• 2016 HMIC PEEL Efficiency report recognises Lincolnshire's funding / efficiency situation.<br>• Policing Minister Visit to Force (Sept 2017)<br>• 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<br>B<br>C<br>D | Failure to achieve and demonstrate **efficiencies, value for money** (VfM) and optimum workforce **productivity** | leading to:<br>• PCC's inability to provide sufficient resources to deliver policing services<br>• Negative reputational consequences through media coverage.<br>• deterioration in performance<br>• poor use of resources<br>• Effectiveness and efficiency of policing in Lincolnshire is reduced or not improved. | PCC (CE) | 4 | 4 | R 16 | • Savings Tracker/Resources Gov Meeting<br>• VfM Strategy<br>• HMIC - PEEL EFFICIENCY Nov 2017 inspection grade = "requires improvement".<br>• Internal audit plan in place<br>• Robust procurement process / arrangements in place<br>• VfM / Efficiency plan 2017/18 - in place Feb 2017.<br>• KPMG Audit includes VfM conclusion / opinion.<br>• Benefits realisation strategy in place April 2017<br>• Force Change Board established – inc remit tor benefits realisation / management.<br>• Force engaged with CIPFA benchmarking programme.<br>• | CE & CFO | 4 | 4 | R 16 ⟷ | • Cipfa review - action plan under construction (oct 2019)<br>• Anticipated external auditors opinion (delayed by 6 months – Oct 2019) | CFO & DCC | 2 | 4 | A 8 | OPCC Management Meeting |
| 5 | C036 | A<br>B<br>C<br>D | Failure to deliver objectives of Tri-service **"Blue Light Programme".** | Leading to<br>• Negative reputational consequences<br>• Negative impact on Tri-service relationship<br>• Negative impact on delivery of Police, Fire & Rescue and Ambulance services<br>. | PCC (CE) | 4 | 4 | R 16 | • Formal project management methodology applied (Prince II)<br>• Governance structure (monitoring & oversight) Inc Finance / grant structure.<br>• Full Business Case<br>• Heads of terms agreement<br>• Collaboration agreement<br>• PCC regular 1-2-1 meetings with BL programme director – appointed May 2018.<br>• Tri-service governance structure - (Steering Group / Programme Board,/ Project Group)<br>• Links between Tri-service partners and key stakeholders<br>• Organisational decision making processes<br>• Programme risk register / management<br>• Programme Steering group – held monthly.<br>• 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.<br>• Blue light Steering Committee agree commitment to look at increased collaboration beyond completion of tri-service station.(Nov 2019).<br>• Agreed to share a control room – ie co-located (Nov 2019) | CE / CFO & FCFO & COG | 1 | 4 | A 4 | OPCC Management Meeting |
| 6 | CO33 | A<br>B<br>C<br>D | **Financial loss** (default on investments, bad debt,) | Leading to<br>• Negative impact on service delivery<br>• Reduced spend and inability to respond to operational demands<br>• 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)<br>• Treasury Management strategy<br>• Internal Audit / review 'Cash, Banking and Treasury Management' (March 2018 – green satisfactory assurance)<br>• Financial governance reporting to JIAC inc TM<br>• Treasury management plan - part of Financial Strategy.<br>• 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<br>B<br>C<br>D | **Resilience & Instability in Force Chief Officer team**<br>*(Recent significant changes in Chief Officer team)* | • Ineffective leadership - in short term<br>• Inability to achieve operational & strategic objectives<br>• Capacity and capability related performance issues.<br>• Trust and confidence is undermined - (internal & external)<br>• Deterioration in relationship with strategic partners / stakeholders - ( Commercial partner (G4s) / statutory partners)<br>• Deterioration in strategic / governance relationship with OPCC.<br>• Lack of clarity around strategic Objectives<br>• Lack of force vision<br>• Sub-optimal use of resources | CE | 4 | 4 | R<br>16 | • Guidance on the occurrence of a vacancy/absence, incapacity or suspension of Chief Officers.<br>• CC Scheme of delegation<br>• Contingency planning / Business continuity plans.<br>• Governance structure<br>• New Chief Constable appointed – February 2017<br>• New ACO Resources appointed - 19 May 2017.(2 Year Contract) – extended in 2019<br>• Permanent ACC appointed June 2018<br>• Restructure of roles and responsibilities conducted Feb 2019 (Senior officers and staff).<br>• New DCC appointed May 2019 (commencing June 2019) | CC | 2 | 4 | A<br>8 | • ACO given permanent contract to follow on from 2 year temporary appointment.- (Dec 2019) | CC | 2 | 4 | A<br>8 | OPCC Management Meeting |
| 8 | CO38 | A<br>B<br>C<br>D | **Lack of effective service commissioning capacity at peak times of demand in the commissioning lifecycle** | • Ineffective leadership - in short term<br>• Inability to achieve operational & strategic objectives<br>• Capacity and capability related performance issues.<br>• Trust and confidence is undermined - (internal & external)<br>• Deterioration in relationship with strategic partners / stakeholders - ( Commercial partner (G4s) / statutory partners)<br>• Deterioration in strategic / governance relationship with OPCC.<br>• Lack of clarity around strategic Objectives<br>• Lack of force vision<br>• Sub-optimal use of resources | CE | 3 | 4 | R<br>12 | • Current governance structure<br>• Current management structure<br>• Outsourcing elements of commissioning cycle to specialist external providers - (e.g. Victims Strategy April 2017).<br>• EM Regional PCC's secretariat established – (Jan 2018)<br>• Partnerships and Delivery Manager & Officer roles established in Jan & March 2018).<br>• New victims service launched March 2019<br>• Senior manager and project manager seconded from LPFT – support for delivery of a programme of work inc M Health initiatives<br>• Provision for external support at peak times of demand.<br>• Internal contract management Dbase established in OPCC. | CE/<br>CC | 3 | 3 | A<br>9 | • Procurement timelines and planning process under review by OPCC Commissioning manager (Oct 2019) | CE | 1 | 3 | G<br>3 | OPCC Management Meeting |

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| **9** | C039 | B<br>C<br>D | **Ineffective relationships with Local Partners** *(Inc LCC, District Councils, Health services, Fire/ Ambulance)* | • Delayed or protracted decision making<br>• Inability to progress community safety priorities<br>• Disengagement and inability to deliver joint objectives and outcomes for the public<br>• Trust and confidence is undermined - (internal & external)<br>• Lack of strategic alignment<br>• inability to effectively manage interdependencies<br>• Sub-optimal use of resources | CE | **3** | **3** | **A 9** | • Existing Governance structure<br>• Existing relationships.<br>• Collaborative agreements in place (e.g. Blue light programme)<br>• PCC Vice chair of SLP<br>• Partnerships and Delivery Support Officer in place from 2 Jan 2018.<br>• Partnerships and Delivery Manager role in place from March 2018.).<br>• Safer Lincolnshire Partnership (SLP) – increased representation at SLP meetings by OPCC (All CPGs attended).<br>• New Victims Strategy in place Jan 2018<br>• Community Safety, Policing and Criminal Justice Plan 2017-2021<br>• Police & Crime Plan delivery - Monitoring report to P& C Panel provided quarterly.<br>• SLP reports to P&C Panel quarterly (partnership activity / status).<br>• OPCC Chief Exec to chair LRSP from March 2019<br>• Significant assurance rating achieved in LRSP follow-up internal audit (March 2019)<br>• Community Safety, Policing and Criminal Justice Plan 2017-2021.- mid-term Refresh / update early 2019. | PCC / CE | **2** | **3** | **A 6** ⟷ | • Review of MOU with Police & Crime Panel underway from Dec 2018 – ongoing (march 2019).<br>• Refresh of victims strategy planned for (Oct 2019)<br>• Newly created prevention, Protection and Partnership Board (PPPB) – force / LCC and OPCC membership.(Nov 2019)<br>• Shared setting of priorities for Assistant Director of Safer Communities.(seconded officer role – December 2019) | PCC & CE | **1** | **3** | **G 3** | OPCC Management Meeting |
| **10** | C040 | B<br>C<br>D | **Failure to:**<br>**plan for and deliver effective transition from current Commercial Contract arrangements.** *(Contract ends in 2021/22)* | • Deterioration of relationship with partners & key stakeholders<br>• Inability to achieve operational & strategic objectives<br>• ineffective and inefficient service delivery model<br>• Trust and confidence is undermined - (internal & external)<br>• Deterioration in strategic / governance relationship with OPCC.<br>• Lack of clarity around strategic Objectives<br>• Negative financial impact (increased and consequential costs)<br>• Sub-optimal use of resources | CE | **3** | **4** | **R 12** | • Contractual review arrangements in place<br>• Governance structure / processes<br>• Relationship with commercial partner<br>• Planning underway to ensure appropriate resources allocated to the review process.<br>• Discussions ongoing regarding ownership of contract.<br>• Joint project initiated to develop clear programme of work & 'roadmap'.<br>• Detailed project plan in place to enable commencement of next stage plan by October 2020.<br>• | CE / CC | **3** | 4 | **R 12** ⟷ | • Development of an 'alternative model underway to form the basis of a comparator to establish VFM (Jan 2020) | CE CFO | **2** | **3** | **A 6** | OPCC Management Meeting |

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| 11 | C041 | A<br>B<br>C<br>D | **Failure to:**<br>**maintain or develop beneficial regional collaborations.**<br>(Following significant changes in regional leadership landscape - PCCs and Chief Officers) | • Ineffective relationships with regional forces<br>• Inability to maintain resilience of operational services including Strategic Policing Requirement (SPR)<br>• Negative financial implications - reduced savings / increased costs.<br>• Trust and confidence is undermined - (internal & external)<br>• Diminished capability to meet operational demand.<br>• Negative media coverage - reputational damage.<br>• Lack of clarity around strategic Objectives<br>• Lack of force vision<br>• Sub-optimal use of resources | CC | 4 | 4 | R<br>16 | • Regional governance structure.<br>• Section 22 Agreements' in place<br>• Internal Audit reporting to include regional audits (reporting to JIAC from July 27 2017<br>• Creation of Regional Secretariat (for PCCs) 3 new roles including Regional Collaboration Manager, Analyst, and Meetings administrator – established January to March 2018.<br>• New - replacement regional collaboration manager appointed May 2019 (Commencing August 2019 ).<br>• | PCC / CE | 4 | 4 | R<br>16 | • Ongoing discussions regarding regional budget.<br>• Regional DCC led review of collaboration arrangements concluded (Nov 2019)<br>o Review Recommendations agreed in part by PCC and CC regional board.(Dec 2019)<br>• Developing national context may overtake regional discussions – watching brief (Dec 2019).<br>• Discussions underway regarding a further independent review – (Jan 2019) | CE<br>PCC<br>CFO | 2 | 3 | A<br>6 | OPCC Management Meeting |
| 12 | C044 | ABCD | **Failure of:**<br>**The force to deliver operational effectiveness.** | • Rising trend of recorded crime in Lincolnshire.<br>• Declining trend of "positive outcomes"<br>• Declining trend in public satisfaction with the Force<br>• Lack of confidence in Lincolnshire police<br>• Reputational damage – linked to public perception of "high level of crime / poor outcomes / responsiveness of the force". | CE | 4 | 4 | R<br>16 | • Governance Framework (Force and OPCC / Police and Crime Panel)<br>• Force strategic plan – "Distinctively Lincolnshire"<br>• Force Performance management processes (tactical tasking)<br>• Performance specific monitoring / analysis & reporting processes (Force / OPCC)<br>• Current Police and Crime Plan<br>• Partnership working<br>• Regional Collaborative service delivery<br>• ARC programme extended to enhance reduction in re-offending.. | CC/<br>PCC/<br>CE | 3 | 4 | R<br>12 | • Mapping of Police and crime plan objectives to force operational delivery plan - awaiting finalised force delivery plans.<br>• Strategic planning framework – in development (Oct 2019) – linked to force delivery plans / identification of priorities and deployment of resources.<br>• Government uplift in police officer numbers – Lincs initial apportionment 50 officers (20K officers nationally).<br>• PCC letter to Chief Constable requiring a recovery plan regarding contra indicators across key performance areas.<br>• Violence 'Gold Group' established by force Dec 2019 – OPCC to attend from Jan 2020.<br>• PCC and CC to meet monthly to assess progress (Jan 2020) | CC /<br>PCC /<br>CE | 2 | 3 | A<br>6 | OPCC Management Meeting |
| 13 | C045 | ABCD | **Failure to:**<br>Obtain satisfactory VfM from **disposal of 'West Parade'** Police Station (Lincoln City) | • Reputational Damage<br>• Negative media coverage<br>• Negative financial implications - Organisation left with "White elephant"<br>• Stakeholder scrutiny / investigation<br>• Community concerns | CE | 3 | 4 | R<br>12 | • Governance structure<br>• Decision making process<br>• Specific Project group in place<br>• Engagement with key stakeholders | PCC/<br>CE | 2 | 3 | A<br>6 | • Discussions underway with "Investors in Lincoln".<br>• Meeting scheduled for 18th Dec 2019 to hear proposals for the west parade site.<br>• Outline concept for future use of building discussed – further work underway (Jan 2020) | PCC | 2 | 3 | A<br>6 | OPCC Management Meeting |

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|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| 14 | 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 January 2020.* | • Reputational damage<br>• Negative media coverage<br>• Negative financial implications<br>• Failure to achieve value for money<br>• Disruption of service | | 3 | 4 | R 12 | • Guidance received from the Home Office<br>• Governance framework – including decision making process / financial considerations financial regulations<br>• Member of Lincolnshire Resilience Forum | PCC/ CE | 2 | 3 | A 6 ⇔ | • Force Brexit Gold group<br>• Links to national preparedness activity | | 1 | 3 | G 3 | OPCC management Meeting |
| 15 | C048 | ABCD | **Failure to:** Adequately prepare for the changes to police complaints legislation and associated regulations . *(Changes applied from Feb 1st 2020)* | • Reputational damage<br>• Negative media coverage<br>• Negative financial implications<br>• Failure to achieve value for money<br>• Breach of legislation<br>• Ineffective OPCC appeals (review) process | CE | 3 | 4 | R 12 | • Existing regulations and complaints management legislation / processes<br>• Complaint procedures<br>• Regular liaison with force PSD<br>• Use of IOPC 'Focus' updates / guidance<br>• APCC guidance / updates on changes<br>• APCC complaints and casework national network meetings<br>• Sancus delivered training – received by OPCC / Force representatives<br>• Access to Force 'PSD complaints Dbase (centurion)<br>• Sharing of information, guidance and best practice on the APACE Complaints and Casework Knowledge Hub<br>• Implementation of the reforms actively monitored at Professional Standards Governance meetings<br>• Option paper developed to assist the PCC to determine his preferred approach to handling reviews | | 2 | 4 | A 8 ⇔ | • IOPC guidance published Jan 2020<br>• Regional IOPC briefing events planned for - Jan 2020.<br>• Access to PSD's Centurion Complaint Case Management system agreed in principle with the HoPSD (for the conduct of reviews)<br>• Budgetary provision under discussion. (oct 2019)<br>• Investigating collaborative approach to provision of complaints 'service' from an external supplier (Oct 2019) | | 1 | 4 | A 4 | OPCC management Meeting |
| 16 | C049 | ABCD | **Failure to**: adequately prepare for PCC Elections in May 2020 | • Reputational damage<br>• Negative media coverage<br>• Negative financial implications inc Inappropriate use of public funds (electioneering)<br>• Breach of legislation<br>• Undermine public confidence in the election process.<br>• Increased external scrutiny<br>• Public trust and confidence in policing undermined.<br>• Legal challenge regarding proper election process / outcome. | CE | 3 | 4 | R 12 | • Purdah Guidance – national (2016)<br>• Joint protocol (force / OPCC) – inc local purdah and election guidance for staff / officers.<br>• Role of chief executive as Monitoring Officer<br>• Outline plan and preparation process existing from previous PCC elections. | | 2 | 3 | A 6 ⇔ | • Anticipated updated national Purdah guidance – APCC<br>• Internal communications plan (oct 2019)<br>• Ongoing preparation meetings between Corporate administration officer (CAO) and the Head of the Professional standards department (HoPSD).(oct 2019)<br>• Development of advice for officers and staff attending public events.(Oct 2019)<br>• Selection of Force and OPCC election SPOCs (unbiased advice / information) – Oct 2019 | | 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<br><br>Major impact on performance indicators noticeable by stakeholders | Overall >1,000,000<br><br>Business Area >150,000 | Major stakeholder/investigations /longer lasting community concerns<br>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<br><br>Serious impact on performance indicators noticeable by stakeholders | Overall 251,000-1,000,000<br><br>Business Area 41,000-150,000 | Serious stakeholder/investigations /prolonged specific section of community concerns<br>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<br><br>Noticeable impact on performance indictors | Overall 51,000-250,000<br><br>Business Area 11,000-40,000 | Significant investigations/specific section of community concerns<br>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<br><br>Minor impact on performance indictors | Overall <50,000<br><br>Business Area <10,000 | Complaints from individuals<br>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 (Only Showing changes made since 12/09/2019)**

| No | Date | Author | Risk URN | Item | Changes | Comments |
|---|---|---|---|---|---|---|
| 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 |
| 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 |
| 7.40 | 4/12/2019 | RPO | C042 | Data protection act compliance | **RISK REMOVED FROM THE REGISTER** – achieved target score and remained stable. | Following IMM – 4th December 2019 |
| 7.40 | 4/12/2019 | RPO | C046 | Containing expenditure | **RISK REMOVED FROM THE REGISTER** – achieved target score and remained stable. | Following IMM – 4th December 2019 |
| 7.40 | 4/12/2019 | RPO | C045 | Disposal of west | update developing controls with date of meeting to outline proposals for future use of | Following IMM – 4th December 2019 |

**POLICE AND CRIME COMMISSIONER FOR LINCOLNSHIRE**

**RISK REGISTER: CHANGE LOG (Only Showing changes made since 12/09/2019)**

| No | Date | Author | Risk URN | Item | Changes | Comments |
|---|---|---|---|---|---|---|
| | | | | parade | the site. | |
| 7.40 | 4/12/2019 | RPO | C044 | Force operational effectiveness | Update developing controls with PCC letter to CC requiring improvement plan | Following IMM – 4th December 2019 |
| 7.40 | 4/12/2019 | RPO | C041 | Regional collaborations | Update developing controls – outcome f regional DCC review report and moving national context. | Following IMM – 4th December 2019 |
| 7.40 | 4/12/2019 | RPO | C040 | Transition from existing commercial contract | Update developing controls | Following IMM – 4th December 2019 |
| 7.40 | 4/12/2019 | RPO | C039 | Local partnerships | • Update developing controls – shared priority setting agreed<br>Reduce risk score from 3x3= 9 **to 2x3 = 6** | Following IMM – 4th December 2019 |
| 7.40 | 4/12/2019 | RPO | C037 | Resilience & instability of Chief officer team | Update developing controls – ACO given permanent contract following on from 2 year temporary contract. | Following IMM – 4th December 2019 |
| 7.40 | 4/12/2019 | RPO | C06 | OPCC capacity / resilience | • Developing controls updated – outsourcing of complaint appeals review process<br>Newly Proposed community engagement model being developed | Following IMM – 4th December 2019 |
| 7.40 | 4/12/2019 | RPO | C036 | Blue light programme | Update developing controls - to include tri-service commitment to seek further collaboration beyond completion of the Tri-service building. Plus advent of shared control room in 2020. | Following IMM – 4th December 2019 |
| 7.40 | 4/12/2019 | RPO | C02 | Demonstrate efficiencies & VfM | Developing controls – noted delay in anticipated external auditors opinion. | Following IMM – 4th December 2019 |
| 7.41 | 06/01/2020 | RPO | C047 | Brexit preparations | Update – revise the current date for leaving the EU | Following IMM – 6th Jan 2020 |
| 7.41 | 06/01/2020 | RPO | C045 | Disposal of West Parade | Developing control - update | Following IMM – 6th Jan 2020 |
| 7.41 | 06/01/2020 | RPO | C044 | • Force effectiveness | Developing controls – update Gold group established and regular progress meetings with PCC / CC. | Following IMM – 6th Jan 2020 |
| 7.41 | 06/01/2020 | RPO | C041 | • Regional collaborations | Developing controls – update regarding conclusion of regional DCC review and discussion re potential for a further independent review of collaborations. | Following IMM – 6th Jan 2020 |
| 7.41 | 06/01/2020 | RPO | N/A | • Summary | Update exec summary to align with content of register | Following IMM – 6th Jan 2020 |

**POLICE AND CRIME COMMISSIONER FOR LINCOLNSHIRE**

**RISK REGISTER: CHANGE LOG (Only Showing changes made since 12/09/2019)**

| No | Date | Author | Risk URN | Item | Changes | Comments |
|---|---|---|---|---|---|---|
| | | | | | | |
| 7.41 | 14/01/2020 | RPO | C040 | • G4S contract transition | • Transfer all 4 developing controls into existing controls.<br>• Add new developing control dated Jan 2020 | Following IMM – 6th Jan 2020 |
| 7.41 | 14/01/2020 | RPO | C048 | • Change to complaints legislation | Add to existing controls from developing controls – regarding option paper to support PCC decision for selection of operating Model. | Routine update. |