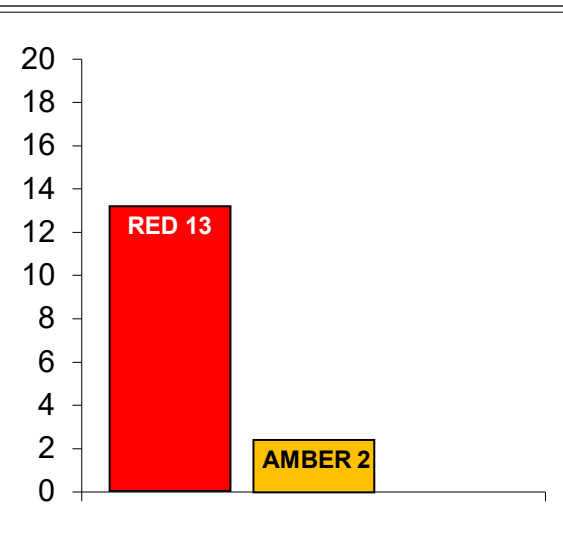
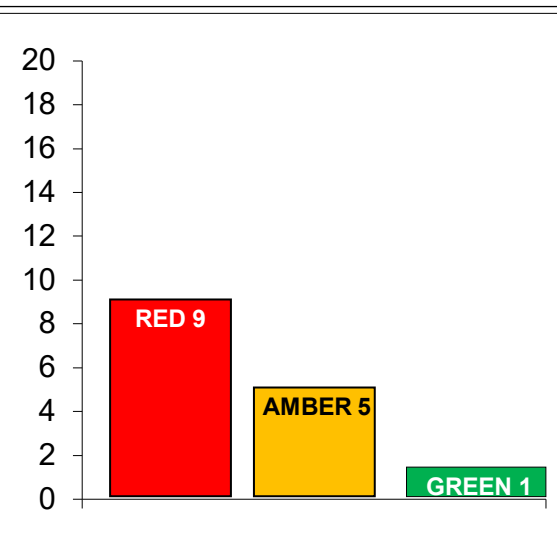


POLICE AND CRIME COMMISSIONER FOR LINCOLNSHIRE RISK REGISTER - EXECUTIVE SUMMARY

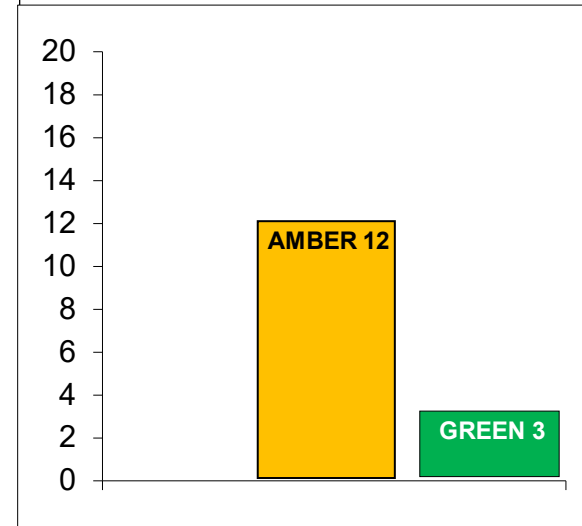
INHERENT EXPOSURE (Number of Risks)



CURRENT EXPOSURE (Number of Risks)



TARGET EXPOSURE (Number of Risks)



INHERENT EXPOSURE (Risk Distribution)

LIKELIHOOD	4	A	A	R	R10
	3	G	A	A1	R3
	2	G	A	A	A1
	1	G	G	G	A
		1	2	3	4
		IMPACT			



CURRENT EXPOSURE (Risk Distribution)

LIKELIHOOD	4	A	A	R	R4
	3	G	A	A	R5
	2	G	A	A2	A2
	1	G	G	G1	A1
		1	2	3	4
		IMPACT			

TARGET EXPOSURE (Risk Distribution)

LIKELIHOOD	4	A	A	R	R
	3	G	A	A	R
	2	G	A	A5	A3
	1	G	G	G3	A4
		1	2	3	4
		IMPACT			

ID	RISK DESCRIPTIONS	SPONSOR	Current Rating	ID	RISK DESCRIPTIONS	SPONSOR	Current Rating
1	Failure to Ensure that G4S objectives are delivered (with available resources)	PCC (CFO)	Red	10	Failure to maintain or develop beneficial regional collaborations. (Following significant changes in regional leadership landscape - PCCs and Chief Officers)	PCC (CE)	Red
2	Lack of Capacity & Resilience in the Office of Police and Crime Commissioner	PCC (CE)	Amber	11	Failure of: the Force to deliver operational effectiveness	PCC (CE)	Red
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	12	Failure to: obtain satisfactory VfM from the disposal of 'West Parade' Police Station (Lincoln City)	PCC (CE)	Amber
4	Failure to achieve and demonstrate efficiencies, value for money (VfM) and optimum workforce productivity	PCC (CE)	Red	13	Failure to: adequately prepare for PCC Elections in May 2021	PCC (CE)	Green
5	Failure to deliver objectives of Tri-service "Blue Light Programme".	PCC (CE)	Amber	14	Failure of the Force: to prepare appropriate strategic & operational delivery plans for all key organisational functions.	PCC (CE)	Red
6	Financial loss (default on investments, bad debt, major incident)	PCC (CFO)	Amber	15	Failure to: Develop a resilient and effective working relationship with the newly appointed Chief constable	PCC (CE)	Red
7	"Resilience & Instability in Force Chief Officer team (Recent significant changes in Chief Officer team)	PCC (CE)	Red				
8	Ineffective relationships with Local Partners (Inc LCC, District Councils, Health services, Fire/ Ambulance)	PCC (CE)	Amber				
9	Failure to deliver an efficient transition from the current G4S contract to effective alternative solutions in a timely manner.	PCC (CE)	Red				

RISK REGISTER										OBJECTIVES				NOT PROTECTIVELY MARKED					
POLICE & CRIME COMISSIONER FOR LINCOLNSHIRE										A. INTERNAL				B. FORCE ORGANISATION/TRANSFORMATION					
										C. EXTERNAL DELIVERY				D. COLLABORATION					
ID	Unique Ref No.	Linked to Objective	Description of Risk		Risk Sponsor	Inherent Risk Score 1:Low 4:High		Overall Inherent Risk Score		Owner (the do-er)	Current Risk Score 1:Low 4:High		Current Risk Score		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 G4S objectives are delivered (with available resources).	<ul style="list-style-type: none">• 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	<ul style="list-style-type: none">• Ongoing OPCC attendance at Performance and Delivery (P&D) Board - oversight of risks.• 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/MLs• Internal Audit Programme• G4S Programme Director in place.• Leadership relationships	CPT & CFO & CE	3	4	R 12 	<ul style="list-style-type: none">• Transition programme - supporting governance structure and leadership.	CE & CFO	2	3	A 6	OPCC Management Meeting
2	C06	A B C D	Lack of Capacity & Resilience in the Office of Police and Crime Commissioner	<ul style="list-style-type: none">• Instability, lack of leadership in short term and need to invoke contingency plans (through Police and Crime Panel)• Inability to achieve objectives stated i• Capacity and capability related performance issues. n Police and Crime Plan• Individual and team is vulnerable• Negative media coverage / reputational consequences (trust and confidence in PCC undermined)	PCC (CE)	3	4	R 12	<ul style="list-style-type: none">• 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 onwards• 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 on 18 month cycle (Jan 2020)• Review of complaints (Appeals) outsourced to specialist agency (Dec 2019).• Safer together team recruited (Jan 2020)	CE	2	4	A 8 	<ul style="list-style-type: none">• Strategic manager and project manager seconded from LPFT (NHS) – Partnership approach to deliver of a programme of work including HIN and M health strategy implementation - from April 2019.• Complaints review process via external provider – new case officer awaiting vetting clearance (Oct 2020)• Seeking extra case officer from Supplier to add resilience to service provision. (Nov 2020)	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)	<ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Policing Minister multiple visits, HO / Civil servant visits Representation at HO events Combined lobbying / engagement from National PCC portfolio representatives. Response to consultations (government reviews of formula). HMIC PEEL Efficiency reports HO Special grant £1.8 M awarded (2019) Covid expenditure reporting Police officers – Govt uplift programme. 	CC/ CFO CE	4	4	R 16	<ul style="list-style-type: none"> OPCC / Force continue to lobby government / HO at all available opportunities. 	CFO	2	4	A 8	OPCC Management Meeting
4	CO2	A B C D	Failure to achieve and demonstrate efficiencies, value for money (VfM) and optimum workforce productivity	leading to: <ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Savings Tracker VfM Strategy HMIC - PEEL EFFICIENCY – recommendations tracker. Internal audit plan in place Robust procurement process / arrangements VfM / Efficiency plan in place from Feb 2017 External Audit includes VfM opinion. Force Benefits realisation strategy from April 2017 Force Change Board includes remit for benefits realisation & management. Force engaged with CIPFA benchmarking programme. 	CE & CFO	4	4	R 16	<ul style="list-style-type: none"> Anticipated external auditors opinion delayed (April 2020) CIPFA review - action plan under construction by CFOs and DCFO (Nov 2020) Agreement on Introduction / development of Business Information tool (Dec 2020) 	CFO & DCC	2	4	A 8	OPCC Management Meeting
5	CO36	A B C D	Failure to deliver objectives of Tri-service "Blue Light Programme" .	Leading to <ul style="list-style-type: none"> 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	<ul style="list-style-type: none"> Governance structure (monitoring & oversight) Inc Finance / grant structure. Full Business Case Heads of terms agreement Collaboration agreement Organisational decision-making processes Programme risk register / management. Tri-service building completed and operational. 	CE/ CFO FCFO PCC	2	4	A 8	<ul style="list-style-type: none"> Blue light Steering Committee - Discussions on wider collaboration stalled, TOR proposed for new steering group (Dec 2020) 	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 <ul style="list-style-type: none"> Negative impact on service delivery Reduced spend and inability to respond to operational demands Negative reputational consequences 	PCC (CFO)	2	4	A 8	<ul style="list-style-type: none"> Reserves policy (reduced facility to use reserves to mitigate any risk of financial loss 2018/19) Treasury Management strategy Scheduled Internal Audit / review 'Cash, Banking and Treasury Management' Financial governance reporting to JIAC inc TM Treasury management plan - part of Financial Strategy. 	CFO RPO	1	4	A 4		CC	1	4	A 4	OPCC Management Meeting
7	CO37	A B C D	Resilience & Instability in Force Chief Officer team (Recent significant change in Chief Officer team).	<ul style="list-style-type: none"> 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. 	CE	4	4	R 16	<ul style="list-style-type: none"> 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 ACO Resources appointed - 19 May 2017 (2 Year Contract) – extended in 2019 – permanent from Dec 2019 Permanent ACC appointed June 2018 New DCC appointed May 2019 (commencing June 2019) New Chief Constable appointed – Dec 2020 	CC	3	4	R 12	<ul style="list-style-type: none"> Link to developing controls for Risk C053 (Chief Constable appointment – Dec 2020) 	CC	2	4	A 8	OPCC Management Meeting

15	C053	ABCD	Failure to: Develop a resilient and effective working relationship with the newly appointed chief constable (<i>December 2020</i>)	<ul style="list-style-type: none"> Reduced effectiveness Sub optimal setting of shared priorities & delivery of objectives (Inc associated financial implications) Inefficient use of resources Ineffective forward planning Ineffective organisational development Reputational damage Sub optimal delivery of service Sub optimal communications and public engagement 	CE	4	4	R 16	<ul style="list-style-type: none"> Recruitment process Governance structure Holding to account process Schedule of existing meetings 	PCC/ CE	3	4	R 12	<ul style="list-style-type: none"> Proactive development of shared objectives PCC / OPCC desire for joint endeavour Focus on solutions and outcomes Refreshed Corporate planning events (from Jan 2021) 		1	4	A 4	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

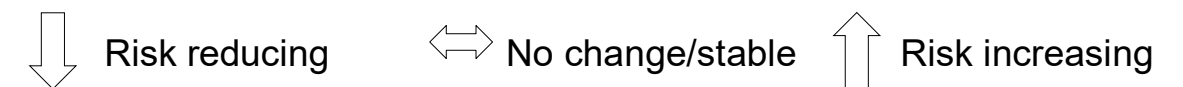
	Score	Description
Very High	4	More than a 75% chance of occurrence.
High	3	More than a 50% chance of occurrence.
Medium	2	More than a 25% chance of occurrence.
Low	1	Less than a 25% chance of occurrence.

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 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)



POLICE AND CRIME COMMISSIONER FOR LINCOLNSHIRE

RISK REGISTER: CHANGE LOG (Only Displays changes made since 04/05/2020)

No	Date	Author	Risk URN	Item	Changes	Comments
7.45	4 May 2020	RPO	C052	<ul style="list-style-type: none"> Force: failure to develop strategic / operational plans. 	ADD NEW RISK – Failure of the Force to prepare appropriate strategic & operational delivery plans for all key organisational functions.	Following IMM on 22 April 2020
7.45	4 May 2020	RPO	C038	<ul style="list-style-type: none"> OPCC lack of service commissioning capacity at peak times 	Amend risk score from amber 6 to green 3 – achieved target score and has remained stable - no further controls currently planned for introduction.	Following IMM on 22 April 2020
7.45	4 May 2020	RPO	C036	<ul style="list-style-type: none"> Delivery of blue light objectives 	Add planned steering group 'workshop' to developing controls.	Following IMM on 22 April 2020
7.45	4 May 2020	RPO	C06	<ul style="list-style-type: none"> Resilience in OPCC 	<ul style="list-style-type: none"> Developing control moved into existing controls – 'Complaints review process outsourced to specialist external agency'. 	Following IMM on 22 April 2020
7.45	4 May 2020	RPO	C049	<ul style="list-style-type: none"> OPCC planning for PCC elections 	<ul style="list-style-type: none"> Revise wording of risk as date for elections changed to May 2021 Update existing controls and developing controls according to change of date for elections and current circumstances. Add to developing controls: Electoral Commission – consultation of PCCs on inclusion into the 'candidate code' (expenses). 	Following IMM on 22 April 2020
7.46	19 May 2020	RPO	C052	<ul style="list-style-type: none"> Force: failure to develop strategic / operational plans. 	<ul style="list-style-type: none"> Add MTFP to existing controls. Amend scoring of risk from amber 8 to red 12 Reword risk to include specific plans 	Following IMM 19 May 2020
7.46	11 June 2020	RPO	NA	<ul style="list-style-type: none"> NA 	Content reviewed at IMM and No changes required	Following IMM 11 June 2020
7.47	October 8th	RPO	C037	<ul style="list-style-type: none"> Chief officer team 	Add recruitment process into dev controls	Routine update
7.48	Nov 3 rd 2020	RPO	C037	<ul style="list-style-type: none"> Chief officer team 	Increase score from amber 2 x 4 - 8 to Red 3 x 4 = 12	Following IMM October 2020
7.48	Nov 3 rd 2020	RPO	C02	<ul style="list-style-type: none"> VFM 	CIPFA action plan – in developing controls	Following IMM October 2020
7.48	Nov 3 rd 2020	RPO	C06	<ul style="list-style-type: none"> OPCC resilience 	Add developing control re extra 'complaint review' case officer sought from Supplier.	Following IMM October 2020
7.49	Nov 4 th 2020	RPO	C036	<ul style="list-style-type: none"> Blue light prog 	Update developing controls to note delay in scheduling meeting to review further collaboration opportunities – due to impact of covid-19.	Following IMM Nov 4th 2020
7.49	Nov 4 th 2020	RPO	C038	<ul style="list-style-type: none"> OPCC commissioning capacity 	Remove risk – stable / remained at target score & clear plan for meeting any future peaks in demand.	Following IMM Nov 4th 2020

POLICE AND CRIME COMMISSIONER FOR LINCOLNSHIRE

RISK REGISTER: CHANGE LOG (Only Displays changes made since 04/05/2020)

No	Date	Author	Risk URN	Item	Changes	Comments
7.49	Nov 4 th 2020	RPO	C052	• Force plans	• Raise score from red 12(3x4) to red 16 (4x4)	Following IMM Nov 4th 2020
7.49	Nov 4 th 2020	RPO	C045	• VFM – West Parade	• Update developing controls – remove old meetings	Following IMM Nov 4th 2020
7.49	Nov 4 th 2020	RPO	C040	• Commercial contract renewal	• Update developing controls with revised date for decision on contract.	Following IMM Nov 4th 2020
7.49	Nov 4 th 2020	RPO	N/A	• All	• Update executive summary – risk distribution and number of risks (exposure) • Update All risk ID numbers following removal of risk C038 – total number of risks now 15 (previously 16).	Routine update – 6 th Nov 2020
7.50	Dec 22 nd 2020	RPO	C09	• G4S objectives	• Raise score from 2x4 = amber 8 to 3x4 = Red 12	Following December 22 IMM 2020
7.51	Jan 7 th 2021	RPO	C040	• Transition from G4S contract	• Update wording of risk to reflect termination of commercial contract with G4S.	Following December 22 IMM 2020
7.51	Jan 7 th 2021	RPO	C053	• Chief Constable relationship	• NEW RISK – failure to Develop a resilient and effective working relationship with the newly appointed chief constable (December 2020)	Following December 22 IMM 2020
7.51	Jan 14 th 2021	RPO	All	• Existing controls	• Refresh all existing controls to remove out of date references	Routine update Jan 2021
7.51	Jan 14 th 2021	RPO	C050	• Prepare for end of EU transition	• Remove risk – transition period has ended – Issues now business as usual. • update the exec summary to reflect current number of risks and distribution of risk..	Following Dec IMM 2020
				•	•	