

WILTSHIRE & SWINDON POLICE & CRIME COMMISSIONER (OPCC) RISK REGISTER 2016-17

Last reviewed : 03 May 2016 Risk Appetite is : 30										Residual Risk Score				Date reviewed		Update May 16 and notes
ID	Date identified	Event	Consequence	Main impact area(s)	L	C	I	Score	Mitigation and controls	Mitigation Update May 2016	L	C	I	Score	Date reviewed	Update May 16 and notes

PUBLIC CONFIDENCE & INTEGRITY

1	03/06/16	Transformation or service changes are not communicated to public / stakeholders and feedback is not considered	Reduced public satisfaction and confidence in OPCC Community voice not heard Increased resistance to changes Changes undermined Benefits expected are reduced	Reputation Operational delivery	2	3	3	18	Police and Crime plan public and partner consultation Police engage with area / community boards, local communities as service changes are developed Changes built on robust evidence and planning to plan engagement and reflective periods Engage with staff association and partners		1	3	3	9	03/06/16	Maintain
2	03/06/16	Failure to have oversight of complaints against officers or staff (OPCC and Force), including IPCC referrals.	Failure to deliver statutory duty on behalf of the public Loss of public confidence in PCC which is likely to extend to Wiltshire Police Criticism from government / HMIC and adverse media attention IPCC intervention	Reputation Performance	2	2	4	16	Independent Adjudicator in place to review all appeals of police complaints to provide independence OPCC complaints officer fulfils PCC role and also has ongoing monthly monitoring in place of force complaints Professional standards performance part of PCC management of Wiltshire Police Quarterly reporting of complaints included within PCP Annual report published summarising key themes, issues and areas for improvement - reported to PCP Complaints dip sampling takes place to review how cases handled	Mitigated scores have been reviewed to better reflect impact of mitigation	1	2	4	8	03/06/16	Maintain
3	03/06/16	Loss of integrity of PCC, OPCC staff, and Chief Constable due to inappropriate behaviour	Damage to the reputation of PCC, OPCC and force Loss of public confidence in PCC Criticism from government / HMIC Adverse media attention	Reputation Performance	2	2	4	16	Enhanced Professional Standards regime Police have Standards and Behaviours framework in place PCC Register of Interests and Gifts and Hospitality (published on website) HMIC reports provides inspections covering aspects of legitimacy, standards and behaviours Whistle blowing policy and reporting mechanism in place Ethics and Standards Board established (PCC and CC attend) Robust vetting and employment checking is used as per HR policy	PCC has signed the Committee on Standards in Public Life ethical checklist. Which included explicitly holding the CC to account to implement the College of Policing's code of ethics	1	2	4	8	03/06/16	Maintain
4	03/06/16	Wiltshire Police fail to have internal HR organisational policies and services that meet the duties and aims under the Equality Act 2010.	Do not fulfil legal duty and values of organisation Failure to attract the best talent for the organisations Failure to maximise the skills of workforce Increased risk of HR tribunals and litigation Damage relationship and reputation as an employer	Reputation Operational delivery Performance	3	3	3	27	HR Policies sets out obligations and procedures to meet its duties Recruitment, redeployment and support policies in place Equality and Diversity Charter to be launched Recent ET raised areas for force to improve and increase staff training, PCC receiving regular updates Awaiting Diversity Development Plan due November from Police to address shortfalls	Development plan shared with PCC Included overhaul of training, more targeted recruitment and external support Assessment completed and strategy / action plan being completed. All staff associations part of development process	3	3	3	27	03/06/16	Maintain - review risk score once mitigation is delivered
5	03/06/16	Wiltshire Police fail to have operational policies and services that meet the duties and aims under the Equality Act 2010	Do not fulfil legal duty and values of organisation Wiltshire Police does not reflect the diversity of the community it serves Failure to identify and respond to demands of diverse communities Damage to public confidence in policing - disproportionate effect in communities Reputational damage to PCC, OPCC and Police	Reputation Operational delivery Performance	2	3	3	18	Wiltshire Police have policies related to Stop and Search Assessment of victims vulnerability, including aspects of diversity Specialist support services in place for ensuring support for a range of diverse groups Work within the P&C Plan looks to increase awareness and training for officers in understanding different needs of communities	HMIC improvement plan is in place and being delivered. Follow up inspection included within PEEL Action plan completed to address BUSS compliance Independent S&S community trigger, policy review and new forms completed to address information gaps Improvement plan progress reported at CMB	2	2	3	12	03/06/16	Maintain
6	03/06/16	PCC and OPCC fail to commission services that meet the duties and aims under the Equality Act 2010	Do not fulfil legal duty and values of organisation Failure to attract most effective solutions and suppliers Failure to consider equality in Police and Crime Plan	Reputation Operational delivery Performance	2	2	3	12	OPCC works within procurement and rules Funding agreements ensures responsibilities are met by third parties Extensive relationship with community and vulnerably sector providers PCC signatory to Wiltshire Compact Innovation fund encouraged community and bids in areas that are hidden P&C Plan identifies areas of underinvestment based on JSA and strategic assessment Commissioning Strategy being developed	Development and review of all commissioning process is underway and will be in place for 2016/17. This includes a Commissioning Strategy, overhaul of all commissioning budgets, prioritisation and planning	2	2	2	8	03/06/16	Maintain

EFFECTIVE GOVERNANCE AND SCRUTINY

7	03/06/16	Collaboration arrangements have weak governance and accountability including regional, tri-force and enabling services	Service quality disproportionately affecting Wiltshire Satisfaction with policing declines Adverse media criticism Failure to fulfil PCC function PCC not aware of developments and risks Weak governance and accountability of PCC / CC Failure to secure expected services Reduced public confidence in PCC Reduced confidence in OPCC	Performance Financial Reputation Operational delivery	3	3	3	27	Collaboration governance has PCC and CC representation from Wiltshire and Avon and Somerset Programme Director reports to both Wiltshire and ASC SRO Collaborations discussed at every CMB PCCs in South West region meet on a regular basis to maximise collaboration opportunities Governance meeting structure and agenda in place Collaboration protocol agreed by all regional PCCs and Forces Significant collaboration and work with partners ongoing and managed through regional governance arrangements Regional Board governance structure revised March 2016 Regional ACCs in place for tri-force and forensics / organised crime teams Monitoring / performance report is being expanded for regional board to include more detail on finance and risk to provide greater oversight	Revised regional governance system in place Collaboration agreements in place for all service collaborations A number of programme director and team in place for range of two, three or five force collaborations Regional ACC posts now recruited to and operating Regional ACCs report to regional Operations board with force and PCC representation where performance, financial and service issues are managed Development of collaborations are being refined to ensure existing collaborations are as efficient and effective as possible	2	2	3	12	03/06/16	Maintain
8	03/06/16	Collaboration arrangements do not deliver anticipated benefits with weak governance and accountability	Reduced influence of PCC over police Reduced effectiveness of local accountability Weak governance Service quality falls Satisfaction with policing declines Adverse media criticism	Financial Operational delivery Performance	2	2	4	16	PCCs in South West region meet on a regular basis to maximise collaboration opportunities Governance meeting structure and agenda in place Collaboration protocol agreed by all regional PCCs and Forces Regional Programme Board in place and team agreed Significant collaboration and work with partners ongoing and managed through regional governance arrangements New P&C Plan places partnerships and collaboration as way to deliver. Existing partnerships to be maximised Partnership impact and alignment to P&C plan and how this will be delivered is being prepared	Programme team in place Proposal to have one ACC responsible for regional services to solidify accountability and one for Tri-services Review of Tri-force with action plan to continue to embed collaboration and realise all benefits Regional governance proposals include Operations board where regional collaborations will report performance, risk etc.	2	2	4	16	03/06/16	Maintain score in Q2 once ACC regional lead and revised governance is embedded
9	03/06/16	Local Authority strategic partnership do not deliver anticipated benefits with weak governance and accountability	Reduced influence of PCC / CC over service levers Reduced control over operational levers Failure to secure value for money and efficiencies Failure of critical services - IT, estates Missed opportunities to improve services and outcomes Reduced public confidence Adverse media criticism if service quality falls Satisfaction with policing declines	Reputation Performance Legal	2	4	4	32	Wiltshire Council collaboration will be managed through the Joint Transformation Board (PCC, C Exec, Leader of Council, CC, DCC) Lease agreements in place for shared estates Monthly meetings between PCC and Leaders of the two Councils Continuing alignment of campus programme and shared estates with both authorities Wiltshire Council provide strategic relationship for IT and extensive work has been on ongoing to deliver improvements to IT services	Agreement with WC on charging model for estate and ICT agreed and service expectations Future estate sharing part of developing estates strategy and master planning Mobile rollout completed All urgent remedial work is completed and ICT compliance has been achieved Development work and maintenance work part of BAU	2	2	3	12	03/06/16	Reduce - Risk reduced as ICT mobile roll out now completed and ICT infrastructure more stable. Maintenance and development work now BAU service
11	03/06/16	Failure of CC and PCC staff to keep PCC informed of developments or make decisions outside of scheme of delegation	PCC makes decisions without information and assessment of implications PCC prevented from fulfilling statutory duty Officers in breach of scheme of delegation Public voice not heard at during decision making Lower transparency increased negative cultural behaviours	Reputation Operational delivery Performance Legal	2	3	4	24	Scheme of delegation in place OPCC attendance at SCT - Transformation and Delivery PCC receives SCT agenda and minutes Commissioner decision notice requires PCC, CEO, Legal and Finance signature Police performance framework is built around P&C Plan New spends / allocations part of SCT governance at which OPCC is part Internal Audit / external audit reports presented to Audit committee and PCC HMIC efficiency inspections	Governance process working well - joint planning sessions between PCC and CC OPCC / PCC updated on developments through attendance on all strategic service / transformation boards All decisions discussed at CMB	1	3	3	9	03/06/16	Maintain - BAU residual risk

STRATEGY, SERVICE QUALITY & TRANSFORMATION

12	03/06/16	IT transformation does not deliver benefits on time	Productivity benefits not realised - New ways of Working Missed opportunities of improved technology Affects other P&C Plan deliverables Older equipment limits capability Reduced public confidence Criticism by HMIC	Reputation Operational delivery Performance	4	3	3	36	NWOW strategy being delivered Numerous enabling projects in this area provide linked risk and knock on consequence Strategic Partnership with Wiltshire Council improved capability and delivery Equipment rollout ongoing -with all staff issued with laptops / tablets are required Regular meetings across all aspects of IT between police and Wiltshire Council Project and Programme support provided to all IT projects	Access / permissions with other Police force and Wilts Council resolved Regional agreement that solutions would be identified as part of regional STORM project development NWOW evaluation completed and feeding into future transformation opportunities Collaborations focused on developing more integrated ICT infrastructure to ensure effective service delivery - Review of ICT requirements likely to form part of this work	3	2	3	18	03/06/16	Maintain and continue to mitigate risks
13	03/06/16	Estates masterplan, including provision of custody not developed as required	Reduction of operational effectiveness Impact of overall estates strategy Increases in costs Inefficient and under used estate Adverse media coverage Loss of reputation of PCC and Wiltshire police	Reputation Operational delivery Performance	2	3	3	18	Estate strategy in draft Master planners engaged and supporting development of PCC masterplan CPT and force operational requirements being determined Custody feasibility study underway All operational requirements being reviewed against strategy principles and NWOW	Operational requirements anticipated to be completed Aug 2016 Master planners presenting outline plan to CMB in July 16	2	3	3	18	03/06/16	Maintain - review once plan approved
14	03/06/16	Roll out of community policing model is not managed effectively as a project and is not aligned to priorities in Police and Crime Plan priorities	Anticipated benefits are not delivered Operating model is not sustainable Service quality decreases Loss of reputation of PCC and Wiltshire Police Risks to other elements of P&C plan increase	Reputation Operational delivery Performance	3	3	4	36	Pilot based on two years planning and systems thinking review Evidence based approach to build model from bottom up Project team meeting monthly - includes OPCC Contained pilot area to assess changes and improve failsafe safe plan in place if significant challenges emerge Workforce fully engage and local communities fully informed and engaged in process Process continues to evolve and develop and will need to reflect local communities needs	Evaluation completed and successful pilot presented to CC and PCC PCC has made specific requests to ensure communities are part of rollout and ongoing development of CPT Staggered rollout plans being finalised with ongoing engagement with local communities Finalising rollout requirements such as estates, ICT, HR etc. Ongoing engagement and adapting of model	2	3	3	18	03/06/16	Maintain
15	03/06/16	Failure to maintain effective partnerships with criminal justice agencies	Justice processes become inefficient and not joined up Justice outcomes and victim satisfaction and care declines Lack of confidence in criminal justice process by victims of crime Loss of public confidence in PCC which is likely to extend to Wiltshire Police and Justice partners	Reputation Operational delivery Performance	3	2	3	18	CJS Efficiency Programme will integrate justice services Horizons (Victim and Witness support unit) opens 1st April 2015 Chair Community Safety and Crime Reduction Strategic Board Liaison with Judiciary Wiltshire Criminal Justice Board member New P&C Plan has embedded improvements for criminal justice and influence role of PCC Joining of performance subgroups with Crime reduction Board to begin alignment Recruitment of restorative justice staff to coordinate and improve the quality of RJ across partnership	CJB continues to develop agenda and increase alignment. CSR impact on other agencies may impact. WCJB planning day held in Feb 16 to agree priorities and strategic actions Creation of shared performance framework to develop collective ownership Restorative justice coordinator appointed to bring together restorative approaches	2	2	3	12	03/06/16	Maintain
16	03/06/16	OPCC commissioning arrangements are not in place or are ineffective	Resources do not meet Police and Crime Plan Failure to develop effective solutions that meet need Failure to maximise performance Failure to secure value for money Stifle innovation and creative solutions Fail to comply with legal requirements on procurement	Reputational Operational delivery Performance Legal	3	3	3	27	Contracts in place for each commissioned service provider Funding agreements in place for all grants and contracts Quarterly reporting from commissioned agencies is contractual requirement Horizon launch and victim service contract developed Quarterly performance regime established for victim service. Horizon service managed as project until BAU and will be integrated into performance management Community Foundation Innovation funding report demonstrated effectiveness Commissioning Strategy and process review due Autumn 2015 Commissioning Data Manager being recruited as secondment	PCP sub group providing feedback in strategy development This includes a Commissioning Strategy, overhaul of all commissioning budgets, prioritisation and planning. All documentation for existing arrangements reviewed and presented to Audit Committee	2	3	3	18	03/06/16	Maintain - recommend risk score is unchanged until processes are signed off
17	03/06/16	Partners make decisions that impact PCC and Police without discussion or involvement in decision making process	Missed opportunities unexpected detrimental impact of policing Increased demand on policing services Loss of confidence in relationships with partners	Reputation Operational delivery Performance	2	3	3	18	PCC Membership of One Swindon, Wiltshire Public Service Board, Health and Wellbeing Boards PCC attends numerous partnership boards Bi-monthly meeting with Council Leaders OPCC meets council team at regular internals CMB discuss emerging developments with partners	Reviewing partners budgets Planning session with partners to discuss impact and manage demand held in Jan by PCC and CC Follow up session scheduled for Summer Discussion at numerous forums and identifying areas which impact police demand e.g. MH triage service Partnership stakeholder work to reduce demand	2	2	3	12	03/06/16	Maintain
18	03/06/16	Failure of PCC to ensure Wiltshire Police meets its strategic policing requirement	Failure to deliver statutory duty Operational effectiveness in the Protective Services arena is compromised Increased risk in areas such as Organised Crime Loss of public confidence in PCC which is likely to extend to Wiltshire Police Severe criticism from government / HMIC	Operational delivery Performance	2	2	3	12	SPR now features explicitly within the new P&C Plan and adds Child Sexual Abuse as new requirement CMB holds CC to account to ensure these requirements are met Tri Force collaboration in place (Special Branch, Terrorism, Specialist Ops) Increased investment in services to protect vulnerable children at risk of sexual abuse and CSE HMIC PEEL Inspection considers compliance to Strategic Policing Requirement – recent report graded 'good'	PEEL - effectiveness reiterated HMIC inspection on Vulnerability CC has action plan to address recommendations National area for improvement where all forces required improvements. CSE projects with LAs across Wiltshire and Somerset continue to be positive and joining up services	1	2	3	6	03/06/16	Maintain
RESOURCES																
19	03/06/16	Failure to set a balanced budget with precept level agreed 2016-17	Outcomes of Policing & Crime Plan are compromised Policing and community safety opportunities are not maximised Miss council tax setting timetable Reduction in service due to poor financial planning Loss of public confidence in PCC which could extend to Wiltshire Police and its Partner agencies	Financial Reputation Operational delivery Performance	2	2	2	8	Budget build process completed Monthly review of accounts at CMB Section 151 Officer in post Reserves in place to provide adequate contingency Consultation process for precept (with public, businesses, Chief Constable, partners, PCP)	Small underspend in 15-6 as expected in MTFS Budgets for 16-17 set	1	2	2	4	03/06/16	Maintain
20	03/06/16	Failure to set a balanced budget with precept level agreed 2017-18	Outcomes of Policing & Crime Plan are compromised Policing and community safety opportunities are not maximised Miss council tax setting timetable Reduction in service due to poor financial planning Loss of public confidence in PCC which could extend to Wiltshire Police and its Partner agencies	Financial Reputation Operational delivery Performance	2	2	2	8	Managed by OPCC Chief Finance Officer Redevelopment of Wiltshire Police estate with Wiltshire Council and Swindon Borough Council, to maximise use of assets MTFS considered and agreed at CMB with savings required agreed, CSR in NOV likely to affect these assumptions PCC requested scenario planning in MTFS development Strategic Alliance provides opportunities for savings - reserves in place to support transformation - if required ICT investment to allow agile working improving police visibility and productivity	Medium Term Financial Strategy work to begin Sep to be completed for Dec - Feb precept and budget setting process. Size of challenge dependant on funding formula review being completed and favourable to Wiltshire All scenarios will be planned for in planning cycle	1	2	2	4	03/06/16	Maintain
21	03/06/16	Failure to have adequate capital and reserves to meet expenditure	OPCC failure in statutory obligations. Policing and community safety opportunities are not maximised, potentially leading to unnecessary increases in crime and ASB . Not able to provide enough funds to Chief Constable to provide an effective and efficient police service Loss of public confidence in PCC which could extend to Wiltshire Police and its Partner agencies. Unable to sustain further projects and meet unexpected expenditures.	Financial Reputation Operational delivery Performance	2	2	2	8	Managed by OPCC Chief Finance Officer Redevelopment of Wiltshire Police estate with Wiltshire Council and Swindon Borough Council, to maximise use of assets MTFS considered and agreed at CMB with savings required agreed, CSR in NOV likely to affect these assumptions Strong track record of delivering savings Position of zero-debt provides position of stability Reserves levels provide ability to support transition and mitigate against uncertainty for short term	Use of reserves / capital to 'unlock' future efficiencies, part of MTFS to maintain officer numbers and await clarity following funding review. Reserves still within acceptable levels and will still be debt free	1	2	2	4	03/06/16	Maintain
22	03/06/16	Failure of the funding formula review to provided additional resources to Wiltshire from 2017/18	OPCC failure in statutory obligations. Policing and community safety opportunities are not maximised, potentially leading to unnecessary increases in crime and ASB . Not able to provide enough funds to Chief Constable to provide an effective and efficient police service Loss of public confidence in PCC and Wiltshire Police Unable to sustain further projects and meet unexpected expenditures. Savings would need to be made in 2017/18 Reduction in reserves	Financial Reputation	2	4	4	32	HO commitment to implement funding formula review Police budgets only provided for one year PCC & CC to lobby and advocate for government to introduce funding formula PCC to update MPs on low allocation of central funding and impact on local services Reserves used to smooth trajectory in MTFS to avoid short term reduction in service before formula review is completed £2.5m of additional savings will be required from 2017-18 onwards if funding formula not revised as proposed in 2015-16	Identification and contact made with other forces who are disadvantaged by existing funding formula to develop collective voice to lobby HO	2	4	4	32	03/06/16	Maintain

23	03/06/16	Inadequate records of and management of assets	<p>Failure in statutory duty on PCC.</p> <p>Poor financial understanding and poor control</p> <p>Value for money is not achieved</p> <p>Loss of confidence in PCC and Wiltshire Police to effectively manage resources</p> <p>Negative impact on reputation</p>	Financial Reputation Operational delivery	2	3	3	18	<p>Senior Command Team now focussed on this area – new ways of managing ICT plan agreed at CMB</p> <p>Audit focus exists</p> <p>Management of non-ICT assets improvement with new monitoring process</p> <p>ICT assets remain high risk – list of proposed assets to be disposed</p> <p>Limited assurance report received from Internal Auditors (previously no assurance)</p> <p>Process agreed with Information Commissioner</p>	<p>A new audit has taken place, a limited assurance outcome was achieved. Progress continues to be made and in the autumn we will be reviewing the way Wiltshire Council hold account for our assets.</p> <p>11/9/15 update - reports have been requested from Wiltshire Council asking for data including the date of last use. This will be reviewed in September/October 2015 prior to the next internal Audit. Internal Audit happened w/c 30/11.</p> <p>Another audit received with Reasonable Assurance. the Auditors suggested that the right processes are in place and work is on going with the council to carry out these processes. Council Information still requires further work.</p>	2	2	2	8	03/06/16	Maintain
24	03/06/16	Failure to ensure value for money (ensuring resources are aligned to priorities, risks and threats) of all expenditure by the OPCC and Force	<p>Breach of statutory duty</p> <p>Ineffective use of public money</p> <p>Inefficient levels of performance</p> <p>Missed opportunities with misaligned resources</p> <p>Loss of public confidence in PCC and Police</p> <p>Adverse criticism from Govt, PCP and media</p> <p>Risk of legal challenge</p>	Financial Reputation	2	3	3	18	<p>Budgets monitored through Commissioner's Monitoring Management Board</p> <p>Detailed performance and project delivery is considered at SCT - OPCC in attendance</p> <p>Police framework moving towards benefits realisation</p> <p>Internal Audit programme</p> <p>Police & Crime Plan takes account of Wiltshire & Swindon Strategic Assessment, JSNA etc.</p> <p>P&C plan sets clear priorities and objectives</p> <p>PCC received policing advices from CC at CMB on policing and allocation of resources</p> <p>HMIC Value for Money profiles reviewed and assessed</p> <p>HMIC PEEL Inspection received and graded 'good'</p>	<p>Introduction of Police Objective Analysis into budget monitoring to provide alternative view of spend vers. Services to begin in June 16 (Q1)</p> <p>P&C Plan and strategic assessment cycles to be more aligned and formalise CC advise to PCC on threats, risk and harm</p>	1	3	3	9	03/06/16	Maintain

GREEN = risk has decreased since last update
RED = risk has increased since last update