

**WILTSHIRE AND SWINDON POLICE AND CRIME COMMISSIONER RISK REGISTER 2016-17**

Last reviewed : 14th November 2016  
Risk Appetite is : 30

ID	Date identified	Event	Consequence	Main impact area(s)	L	C	I	Score	Mitigation and controls	Residual Risk Score				Date Reviewed	Register Update October 2016
										L	C	I	Score		

**PUBLIC CONFIDENCE & INTEGRITY**

1	18/08/15	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 PSQB developing engagement plans with public and stakeholders to inform development of P&C plan	1	3	3	9	14/11/16	Maintain - Strategic risk - BAU residual risk
2	18/08/15	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 in report to 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	1	2	4	8	14/11/16	Maintain - Strategic risk - BAU residual risk
3	18/08/15	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 includes explicitly holding the CC to account to implement the College of Policing's code of ethics	1	2	4	8	14/11/16	Maintain - Strategic risk - BAU residual risk
4	18/08/15	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 meets its duties Recruitment, redeployment and support policies in place Diversity Inclusion Strategy produced by the Force and presented to CMB in September	3	3	3	27	14/11/16	Maintain - recommended that risk score is unchanged until mitigation is delivered
5	18/08/15	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 Action plan completed to address BUSS compliance and submitted to HMIC - <b>HMIC have now confirmed Wiltshire is compliant</b> Independent S&S community trigger, policy review and new forms completed to address information gaps in place and operating Additional resources agreed include 3 dedicated roles to lead on the strategy A hate crime scrutiny group have been set up to provide challenge and advice on policies and procedures related to diversity. This mitigation is linked to risk 1 and risk 4	2	2	3	12	14/11/16	Maintain - recommended that risk score is unchanged until mitigation is delivered
6	18/08/15	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 <b>Small Grants Scheme encourages community bids</b> P&C Plan identifies areas of underinvestment based on JSA and strategic assessment Review of all commissioning process is completed and in place for 2016/17	2	2	2	8	14/11/16	Maintain - Strategic risk - BAU residual risk

**EFFECTIVE GOVERNANCE AND SCRUTINY**

7	18/08/15	Tri-Force enabling services collaboration has weak governance and accountability	Reduced influence of PCC over police Reduced effectiveness of local accountability Service quality disproportionately affecting Wiltshire Satisfaction with policing declines Adverse media criticism	Performance Financial Reputation Operational delivery	3	3	3	27	Governance process replicates the regional structures to provide oversight, assurance and appropriate decision making structures TOR agreed by Strategic Board <b>6 principle decisions makers (3 PCCs, 3 CCs)</b> Programme team has clear programme brief and resource to deliver agreed actions from Strategic Board Programme team following five case methodology advocated by HM Treasury Priority areas for programme team to explore business cases determined by the Strategic Board	2	2	3	12	14/11/16	Maintain - Strategic risk - BAU residual risk
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8	18/08/15	Tri-force, regional and other collaborative 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	3	3	4	36	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 Collaboration, contracts and agreements in place for all collaborations 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 ACC in place for Tri-force collaborations and another for regionalised services Each meet PCCs on regular basis in addition to governance arrangements Each PCC has regional portfolio to lead on behalf of region All regional & tri-forces services standing agenda item at CMB	2	2	4	16	14/11/16	Maintain - Strategic risk - BAU residual risk
11	18/08/15	Failure of CC and OPCC 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 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	14/11/16	Maintain - BAU residual risk
<b>STRATEGY, SERVICE QUALITY &amp; TRANSFORMATION</b>															
12	18/08/15	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	Numerous enabling projects in this area provide linked risk and knock on consequence Strategic Partnership with Wiltshire Council has significantly improved capability and delivery 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 transformation development as part of new P&C plan ICT enabling projects added to forthcoming business benefit review by continuous improvement team Resource demand on development but overtime anticipated to be incorporated into BAU as projects are completed ICT projects remain significantly complex and challenging	3	2	3	18	14/11/16	Maintain and continue to mitigate risks
13	18/08/15	Proposals for new custody suite is not delivered successfully	Reduction of operational effectiveness Impact of overall estates strategy Increases in costs Adverse media coverage Loss of reputation of PCC and Wiltshire police	Reputation Operational delivery Performance	2	3	3	18	Feasibility study completed Decision based on wealth of evidence and analysis - provide accurate assessment of need Public engagement and communications strategy ongoing Aligned to estates review and strategy Aligned to NWOW strategy and partnership strategies Land agents instructed to identify suitable sites in Warminster area Information feeding into master planning and overall estate requirements Master planning work progressing well and completion anticipated by year end	2	3	3	18	14/11/16	Maintain
14	18/08/15	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 Satisfaction for victims and public falls Visibility falls 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 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 Community Policing Model rolled out Forcewide in October and November Planned progress report to go to CMB and future Panel meeting	2	3	3	18	14/11/16	Maintain - look to reduce at next review of Risk Register

ID	Date identified	Event	Consequence	Main impact area(s)	L	C	I	Score	Mitigation and controls	L	C	I	Score	Date Reviewed	Register Update October 2016
15	18/08/15	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 Liaison with Judiciary Wiltshire Criminal Justice Board member New P&C Plan has embedded improvements for criminal justice and influence role of PCC Creation of shared performance framework to develop collective ownership WCJB working to action plan – sub-groups are delivering <b>RJ capacity being developed with team supporting volunteering led conferences</b> RJ strategy agreed by WCJB <b>Restorative Together Board established PCC chairs Board reports to WCJB</b> <b>Victims, Witnesses and Most Vulnerable sub group established September 2016 to coordinate victim requirements across CJS process</b> OPCC awaiting Taylor review on YOT and other reviews of MOJ policy - anticipated Autumn 16 Performance framework <b>established? ND to confirm</b> Restorative justice coordinator appointed to bring together restorative approaches and align agencies RJ strategy agreed by WCJB	2	2	3	12	14/11/16	Maintain - Strategic risk - BAU residual risk
16	18/08/15	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. Commissioning process review completed and implemented process changes. This will be incorporated into the new P&C plan processes Agreements in place for all commitments Future agreements to meet commissioning guidance Ongoing new commissioning with LAs meeting all legal and procurement requirements Quarterly PCC commissioning meeting to review current performance of provision	2	3	3	18	14/11/16	Maintain - Strategic risk - BAU residual risk
17	18/08/15	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 Welling 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 Recent partnership events focusing on specific areas of interest and partnership focus Autumn statement may increase risk significantly Managed in year cuts to YOT and positive discussions have mitigated risks as far as possible	2	2	3	12	14/11/16	Maintain - Strategic risk - BAU residual risk
19	18/08/15	Tri-force enabling services collaboration impacts outweigh business benefits	Key delivery areas are compromised or do not address the requirements of the Wiltshire PCC, Wiltshire Constabulary or the Wiltshire public. Falls in service quality Reduction in HMIC ratings PCCs do not wish to commission policing model provided	Reputational Operational delivery Performance Legal	3	3	4	36	Governance and programme team in place Tightly focused on improving enabling services to maximise existing tri-force collaborations - HR, ICT & finance systems Other areas are of less priority PID bid to HO successful to support ICT infrastructure alignment and collaboration - <b>successful</b> Business cases being drafted by programme team, advised by design authority, working groups and programme board Each area has to pass numerous gateway points to progress to the next stage and the Strategic Board must approve progression to next stage	2	3	3	18	14/11/16	
<b>RESOURCES</b>															
20	18/08/15	Failure to have 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) Budgets for 16-17 set Underspend currently projected in 16/17	1	2	2	4	14/11/16	Maintain - Strategic risk - BAU residual risk
21	19/08/15	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 Currently developing Medium Term Financial Strategy Significant impact likely from Autumn statement Feb precept and budget setting process Align to new P&C plan and resources to deliver Links to risk 25	1	2	2	4	14/11/16	Maintain - likely to increase post Autumn Statement

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									L	C	I	Score			
24	18/08/15	Failure to ensure value for money (ensuring resources are aligned to priorities, risks and threats) of all expenditure by the OPCC and Force	Breach of statutory duty Ineffective use of public money Inefficient levels of performance Missed opportunities with misaligned resources Loss of public confidence in PCC and Police Adverse criticism from Govt, PCP and media Risk of legal challenge	Financial Reputation	2	3	3	18	Budgets monitored through CMB Detailed performance and project delivery is considered at SCT - OPCC in attendance Police framework moving towards benefits realisation Internal Audit programme Police & Crime Plan takes account of Wiltshire & Swindon Strategic Assessment, JSNA etc. P&C plan sets clear priorities and objectives PCC received policing advice from CC at CMB on policing and allocation of resources HMIC Value for Money profiles reviewed and assessed HMIC PEEL Inspection received and graded 'good' Introduction of Police Objective Analysis into budget monitoring to provide alternative view of spend vers. Services New P&C plan to further enhance planning process with Force to ensure clear alignment from Strategic assessment, P&C, areas for focus and the MTF5 Commercial and Contracts Group established, meets monthly and reviews new and existing contracts, Chaired by the PCC	1	3	3	9	14/11/16	
25	06/01/16	Failure of the funding formula review to provide 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 MTF5 to avoid short term reduction in service before formula review is completed £1.7m of additional savings will be required from 2017-18 onwards if funding formula not revised as proposed in 2015-16 Police and Fire Minister launched review and established a Technical Group chaired by the Permanent Secretary at the Home Office Devon and Cornwall PCC is a member and PCC able to channel his views through her Anticipated that recommendation will be made to Police and Fire Minister in February 2017	2	4	4	32	14/11/16	

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