

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

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	Summary
										L	C	I	Score		
<b>PUBLIC CONFIDENCE &amp; INTEGRITY</b>															
1	18-Aug-15	Transformation or service changes are not communicated to public / stakeholders and feedback is not considered	Reduced public satisfaction and confidence in PCC and OPCC Community voice not heard Increased resistance to changes Changes undermined Benefits expected are reduced	Reputation Operational delivery	2	3	3	18	PSQB developing engagement plans with public and stakeholders to inform development of P&C Plan Public and partner consultation on P&C Plan Annual public and partner consultation on precept 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 Engagement with staff associations and partners Regular meetings with LA Leaders PCC and CC provide partnership updates at all strategic boards	1	3	3	9	31-Jan-17	Maintain - Strategic risk - BAU residual risk
2	18-Aug-15	Failure to have oversight of complaints against OPCC and Force officers or staff, 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 supported by Business Manager and Complaints Administrator Independent Adjudicator fulfils PCC role and has ongoing monthly monitoring in place of force complaints - meetings attended by Business Manager and Complaints Administrator Professional Standards performance part of PCC management of Force performance Quarterly reporting of complaints included in report to Panel Annual report by Independent Adjudicator published summarising key themes, issues and areas for improvement - reported to Panel Complaints dip sampling takes place to review how cases were handled	1	2	4	8	31-Jan-17	Maintain - Strategic risk - BAU residual risk
3	18-Aug-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 Register published on website HMIC reports provides inspections covering aspects of legitimacy, standards and behaviours Whistle blowing policy and reporting mechanism in place Ethics and Culture Board meets quarterly attended by PCC and CC Robust vetting and employment checking is used as per HR policy PCC has signed the Committee on Standards in Public Life ethical checklist, includes explicitly holding the CC to account to implement the College of Policing's code of ethics	1	2	4	8	31-Jan-17	Maintain - Strategic risk - BAU residual risk
4	18-Aug-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 set out obligations and procedures to meet Force duties Recruitment, redeployment and support policies in place Diversity Inclusion Strategy produced by the Force and presented to CMB in September 2016 Regular updates on progress and development to PCC at CMB Force implementing action plan including leadership, coaching and mentoring support, redesigning recruitment of officers, specials, and staff to attract more diverse applicants Recruitment of 3x Positive Action Officers to review and advise on internal policies and procedures	3	3	3	27	31-Jan-17	Maintain - recommended that risk score is unchanged until mitigation is delivered
5	18-Aug-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	Force has S&S policies in place Assessment undertaken of victim's vulnerability, including aspects of diversity Specialist support services in place for ensuring support for a range of diverse groups Force is BUSS compliant Independent S&S community trigger, policy review and new forms completed to address information gaps in place and operating Recruitment of 3x Positive Action Officers to review and advise on internal policies and procedures Hate crime scrutiny group established 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	31-Jan-17	Maintain - recommended that risk score is unchanged until mitigation is delivered
6	18-Aug-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 rules Funding agreements ensures responsibilities under Equality Act 2010 are met by third parties Extensive relationship with community and vulnerable sector providers PCC signatory to Wiltshire Compact PCC Community Fund seeks applications that support increased community participation in keeping communities safer Areas that require additional focus based on advice from CC, partners, and consultation with the public Commissioning Strategy to be finalised and published on website Development of (internal) annual commissioning plan to help identify / manage commissioning programme	2	2	2	8	31-Jan-17	Maintain - Strategic risk - BAU residual risk

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27	31-Jan-17	PCC fails to meet its requirements in relation to 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 set out obligations and procedures to meet PCC duties						NEW
28	31-Jan-17	Failure to deliver the priorities set out in the Police and Crime Plan	Reduced public satisfaction and confidence in PCC and OPCC Benefits expected are reduced Damage to partnership relationships Criticism from government / HMIC / Panel and adverse media attention Loss of supporters / voters	Reputational	2	3	3	18	Police performance structure is built around police and crime plan Attendance at Force SCT Attendance at strategic boards with partners Introduction of PCC's Community Fund Working with community and voluntary sector Performance against plan reviewed at CMB Quarterly reporting to the Panel Publication of annual report summarising progress against priorities and plan						NEW
<b>EFFECTIVE GOVERNANCE AND SCRUTINY</b>															
7	18-Aug-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 6 principle decisions makers (3 PCCs, 3 CCs) 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	31-Jan-17	REMOVE
8	18-Aug-15	Collaborative arrangements do not deliver anticipated benefits due to 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 Damage to working relationships	Financial Operational delivery Performance	3	3	4	36	Collaboration, contracts and agreements in place for all collaborations Governance arrangements outlined in all agreements ACCs in place for Tri-force collaborations and regionalised services ACCs meet PCC quarterly for update in addition to governance arrangements All regional and tri-forces services standing agenda item at CMB	2	2	4	16	31-Jan-17	Maintain - Strategic risk - BAU residual risk
11	18-Aug-15	Failure of OPCC staff and CC 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 Reduced public scrutiny and transparency	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 PCC 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	31-Jan-17	Maintain - BAU residual risk
<b>STRATEGY, SERVICE QUALITY &amp; TRANSFORMATION</b>															
12	18-Aug-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 Strategic work ongoing with WC to identify priorities, timescales and governance – expectation is for improved clarity surrounding ICT	3	2	3	18	09-Feb-17	Maintain and continue to mitigate risks

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13	18-Aug-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 NWOV strategy and partnership strategies Land agents instructed to identify suitable sites in Warmminster 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	31-Jan-17	REMOVE
14	18-Aug-15	Roll out of community policing model is not managed effectively as a project and is not aligned to priorities in P&C 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 Evaluation completed and successful pilot presented to CC and PCC Project team meeting monthly focusing on delivering benefits of model - 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 Community Policing Model rolled out Forcewide in October and November 2016 Planned progress report to go to CMB and future Panel meeting - evaluation to begin after six months, OPCC and the Panel involved	2	3	3	18	31-Jan-17	Maintain - look to reduce at next review of Risk Register
15	18-Aug-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 WCJB member New P&C Plan has embedded improvements for criminal justice and influence role of PCC WCJB working to action plan – sub-groups are delivering RJ Hub created in OPCC delivering and supporting professional and volunteering led conferences and RJ delivery within the force. RJ strategy agreed by WCJB Restorative Together Board established PCC chairs Board reports to WCJB Victims, Witnesses and Most Vulnerable sub group established September 2016 to coordinate victim requirements across CJS process Horizon Victim & Witness Care unit commissioned by OPCC Delivering and co-ordinating victim service Partnership working to support delivery of specialist victim services for DA and SA	2	2	3	12	31-Jan-17	Maintain - Strategic risk - BAU residual risk
16	18-Aug-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 Fail to ensure commissioned agencies comply with PCC legal requirements under Equality Act	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 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 Development of (internal) annual commissioning plan to help identify / manage commissioning programme	2	3	3	18	31-Jan-17	Maintain - Strategic risk - BAU residual risk
17	18-Aug-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 Negative press / negative reaction from the community	Reputation Operational delivery Performance	2	3	3	18	PCC member 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 intervals CMB discuss emerging developments with partners Recent partnership events focusing on specific areas of interest and partnership focus Early work with LAs and partners to identify and reduce demand on policing services Managed in year cuts to YOT and positive discussions have mitigated risks as far as possible Joint commissioning of mental health triage service with both CCGs	2	2	3	12	31-Jan-17	Maintain - Strategic risk - BAU residual risk
19	18-Aug-15	Collaborative services' impacts outweigh business benefits	Key delivery areas are compromised or do not address the requirements of the PCC, Force, collaborative partner(s), or the Wiltshire public Falls in service quality Reduction in HMIC ratings PCCs do not wish to commission policing model provided Collaborative partners do not wish to pursue collaborative opportunities	Reputational Operational delivery Performance Legal	3	3	4	36	Appropriate governance structures in place with PCC / OPCC represented where performance, finance, and strategic risks are managed Regular reporting on collaborative opportunities and existing collaborations to CMB PCC and Chief Officers meet regularly with collaboration leads to discuss Wiltshire specific issues Appropriate levels of consultation and engagement undertaken with public and partners HMIC efficiency inspections	2	3	3	18	31-Jan-17	
<b>RESOURCES</b>															
20	18-Aug-15	Failure to have a balanced budget with precept level agreed 2016-17	Outcomes of P&C 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 Underspend of over £1m is projected in 2016/17	1	2	2	4	09-Feb-17	Maintain - Strategic risk - BAU residual risk

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21	19-Aug-15	Failure to set a balanced budget with precept level agreed 2017-18	Outcomes of P&C 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	MTFS produced and provided to PCC and the Panel Settlement received which led to 1.4% reduction in central grant Working with CC to produce a plan to resolve the majority of the £2m shortfall - currently £400,000 remains left to be resolved A council tax increase of 1.9% has been agreed as part of this process	1	2	2	4	09-Feb-17	Maintain - likely to increase post Autumn Statement
24	18-Aug-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 government, 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 P&C 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 MTFS Commercial and Contracts Group established, meets monthly and reviews new and existing contracts, Chaired by the PCC	1	3	3	9	09-Feb-17	
25	06-Jan-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 MTFS 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 Latest information suggests Minister will receive outcome of new formula in March 2017 - depending on outcome of review consultation is expected Spring 2017 leading to change in formula 2018/19	2	4	4	32	09-Feb-17	
26	31-Jan-17	Failure of PCC estate to enable effective and efficient policing	Unnecessary maintenance of surplus buildings and associated utility costs Waste of resources maintaining surplus estate Damage to community relationships Negative impact on CPT and provision of local policing Negative comments from communities and local media Underestimate estate requirement and dispose of too much estate Sub-optimal estate provision is ineffective use of resources Loss of opportunity to share properties and costs with local partners	Financial Reputation Operational delivery	2	3	4	24	Estates strategy governance in place and delivering strategy PCC holding officers to account for delivery of strategy CC responsible for providing operational requirements to ensure policing needs are met Independent feasibility study undertaken in relation to custody provision in south of county Engagement with local CPT and communities where change of estate provision will have an impact						NEW