

WILTSHIRE & SWINDON POLICE & CRIME COMMISSIONER (OPCC) RISK REGISTER 2013-14

Last reviewed : 30th May 2013

Risk Appetite is : 30

ID	Date identified	Risk Description	Main impact area(s)	Initial Risk Score				Mitigation update	Residual Risk Score				Date reviewed
				L	C	I	Score		L	C	I	Score	
PUBLIC ENGAGEMENT													
1	01/04/13	<p><u>PUBLIC EXPECTATION & PUBLIC ENGAGEMENT</u> EVENT : Failure of PCC or CC to consult / engage with communities and specific stakeholder groups regarding policing priorities and planned changes to service delivery methods. CONSEQUENCES : Planning and change activities are not aligned to public expectations or need. Public are unaware or resist necessary changes to policing services. Failure on part of PCC to secure efficient and effective police force OUTCOME : Reduced satisfaction and reduced community engagement in crime reduction and community safety activities. Loss of confidence in OPCC and Wiltshire Police as a service provider.</p>	Performance Reputation	2	2	4	16	Also contained within Force Risk Register OPCC attendance at all Community Area Boards (Wiltshire) and Locality meetings (Swindon)				-	30-May-13
2	01/04/13	<p><u>TRANSPARENCY</u> EVENT: Failure to publish performance and other relevant information (e.g. FOIs) to the public in a timely manner CONSEQUENCES: PCC failure of statutory duty and lack of transparency. Public are unaware of how the PCC and Force are performing in relation to the Policing & Crime Plan. Public cannot hold the PCC to account effectively. Public expectations are not satisfied OUTCOME: Loss of public confidence in PCC and Wiltshire Police. Severe criticism from government / HMIC, adverse media attention</p>	Performance Reputation	4	3	3	36	Linked to Risk 4 (Resilience) below Publication of all relevant information on OPCC website FOI resourcing arrangements being developed				-	30-May-13
3	01/04/13	<p><u>VOLUNTEERS</u> EVENT: Failure to make best use of volunteers and Watch Schemes CONSEQUENCES: poor community engagement / involvement in dealing with local issues, strain on existing voluntary agencies and public sector partners. Failure of initiatives such as Watch Schemes OUTCOME: potential escalation of community problems and increased risk of vulnerability amongst certain groups / locations. Loss of public confidence</p>	Performance Reputation	3	4	4	48	Force is developing a Volunteer Strategy (covering Volunteers and Special Constables). OPCC is developing a business case for Community Speed Watch and Neighbourhood Watch with a view to integrating the efforts of our volunteers.				-	30-May-13
4	01/04/13	<p><u>RESILIENCE</u> EVENT: Lack of staffing resilience (PCC and OPCC) CONSEQUENCES: Failure to deliver statutory duty on behalf of the public. Difficulty in maximising public engagement opportunities due to lack of availability of PCC or OPCC staff leading to the public not feeling they have a satisfactory dialogue with the PCC. Decision making may be delayed through lack of availability of PCC / OPCC staff. Risk to other statutory requirements if there is a lack of OPCC staff to oversee these. OUTCOME: loss of public confidence in PCC which is likely to extend to Wiltshire Police. Criticism from government / HMIC and adverse media attention</p>	Reputation Performance	2	3	4	24	Linked to Risk 1 (Public Engagement) OPCC C/Exec acts as deputy for PCC				-	30-May-13
VALUE FOR MONEY													
5	02/04/13	<p><u>VALUE FOR MONEY</u> EVENT: Failure to ensure value for money (ensuring resources are aligned to priorities, risks and threats) CONSEQUENCES : Ineffective use of public money to achieve desired community safety and justice outcomes. Unacceptable levels of performance. Breach of statutory duty. OUTCOME: Loss of public confidence in PCC, possibly extending to partners. Adverse criticism from Govt and media. Risk of legal challenge.</p>	Financial Reputation	3	3	3	27	Budgets and Performance monitored through Corporate Management Board (PCC, C Exec, CC, DCC, HoF) Internal Audit programme Policing & Crime Plan takes account of Wiltshire & Swindon Strategic Assessment Systems Thinking programme being developed with Wiltshire Council to ensure services are efficient and customer focussed				-	30-May-13
6	01/04/13	<p><u>COMMISSIONING ARRANGEMENTS</u> EVENT: Failure to have effective commercial and commissioning arrangements in place CONSEQUENCES : Ineffective use of public money to achieve desired community safety and justice outcomes. Unacceptable levels of performance and inability to deliver Policing & Crime Plan outcomes OUTCOME: Loss of public confidence in PCC, possibly extending to partners. Adverse criticism from Govt and media</p>	Financial Reputation Operational delivery Performance	3	3	3	27	Commissioning process currently being developed along with a Commissioning Board (OPCC plus Partner representatives) Contract will be in place for each commissioned service provider				-	30-May-13

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7	01/04/13	<p>COLLABORATION ARRANGEMENTS</p> <p>EVENT: Failure to maximise opportunities for collaboration with other forces and /or partner agencies (statutory duty)</p> <p>CONSEQUENCES: Opportunities to maximise operational effectiveness in the Protective Services arena are compromised (eg Strategic Policing Requirement). Opportunities to achieve financial savings are lost. Opportunities to maximise Partnership working (eg multi agency teams, shared campuses) are compromised. Home Office intervention likely</p> <p>OUTCOME: loss of public confidence in PCC which could extend to Wiltshire Police and its Partner agencies</p>	Financial Operational delivery Performance	2	3	4	24	Linked to Risk 15 (Efficient and Effective Police Force) PCCs in South West region meet on a regular basis to maximise collaboration opportunities				-	30-May-13
8	01/04/13	<p>COLLABORATION (BENEFITS)</p> <p>EVENT: Collaborations fail to deliver expected benefits</p> <p>CONSEQUENCES: Key delivery areas are compromised or do not address the requirements of OPCC or the Force eg Transformation programme, Strategic Policing Requirement. Duty to secure effective and efficient police force is compromised.</p> <p>OUTCOME: Risk to sustainability of Wiltshire Police in face of CSR cuts, inability to deliver effective frontline service. Loss of public confidence and adverse criticism / intervention from Govt</p>	Performance Financial Reputation Operational delivery	2	3	4	24	Linked to Risk 7 (Collaboration Arrangements) PCCs in South West region meet on a regular basis to maximise collaboration opportunities Each collaboration programme is monitored through a governance structure				-	30-May-13
9	01/04/13	<p>STRATEGIC POLICING REQUIREMENT</p> <p>EVENT: Insufficient resources to deliver the Strategic Policing Requirement (SPR) (statutory duty)</p> <p>CONSEQUENCES: Failure to deliver statutory duty. Operational effectiveness in the Protective Services arena is compromised. Increased risk in areas such as Organised Crime</p> <p>OUTCOME: loss of public confidence in PCC which is likely to extend to Wiltshire Police. Severe criticism from government / HMIC</p>	Operational delivery Performance	1	2	4	8	Tri Force collaboration in place (Special Branch, Terrorism, Specialist Ops) Self assessment conducted by Force in 2012 under the guidance of NPIA. Assessed as having capability to deliver SPR. Assessed by HMIC as not requiring an inspection in this area				-	30-May-13
10	01/04/13	<p>LOCAL AUTHORITY PARTNERSHIPS</p> <p>EVENT: Failure to develop and maintain effective partnerships with Council partners</p> <p>CONSEQUENCES: Crime & ASB processes become inefficient and not joined up. Compromising ability to tackle areas such as ASB, domestic violence, safeguarding</p> <p>OUTCOME: Loss of public confidence in PCC which is likely to extend to Wiltshire Police and partners .</p>	Reputation Operational delivery Performance	2	3	4	24	Wiltshire Council collaboration will be managed through the Joint Transformation Board (PCC, C Exec, Leader of Council, CC, DCC)				-	30-May-13
11	01/04/13	<p>JUSTICE PARTNERSHIPS (improving service for victims & witnesses)</p> <p>EVENT: Failure to maintain effective partnerships with criminal justice agencies</p> <p>CONSEQUENCES: Justice processes become inefficient and not joined up. Justice outcomes and victim pathways may be adversely effected.</p> <p>OUTCOME: 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 .</p>	Reputation Operational delivery Performance	3	3	4	36	CJS Efficiency Programme will integrate justice services Witness Care Unit				-	30-May-13
12	01/04/13	<p>BUDGETS & FUNDING</p> <p>EVENT: OPCC holding inadequate level of funds (funds held in capital and reserves)</p> <p>CONSEQUENCES: OPCC failure in statutory obligations. Policing and community safety opportunities are not maximised, potentially leading to unnecessary increases in crime and ASB</p> <p>OUTCOME: loss of public confidence in PCC which could extend to Wiltshire Police and its Partner agencies</p>	Financial Reputation Operational delivery Performance	2	1	2	4	Managed by OPCC Treasurer Redevelopment of Wiltshire Police estate in partnership with Wiltshire Council, to maximise use of assets Innovation Fund in place				-	30-May-13
13	01/04/13	<p>ANNUAL BUDGET PROCESS</p> <p>EVENT: Failure to achieve a budget and precept agreed in a timely manner</p> <p>CONSEQUENCES: OPCC budgets are misaligned to policing and crime delivery requirements. Outcomes of Policing & Crime Plan are compromised. Policing and community safety opportunities are not maximised, potentially leading to unnecessary increases in crime and ASB</p> <p>OUTCOME: loss of public confidence in PCC which could extend to Wiltshire Police and its Partner agencies</p>	Financial Reputation Operational delivery Performance	1	1	4	4	Process is well established and 'business as usual'				-	30-May-13

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14	01/04/13	<p>ASSETS EVENT: Inadequate records of ownership and management of assets <i>eg radios</i> CONSEQUENCES: Failure in statutory duty on PCC. Full picture of assets is unclear. Asset expenditure cannot be managed. Standards of assets deteriorate and are not fit for purpose or in line with public need. Community Safety and policing effectiveness is compromised. Opportunities to maximise best use of assets are lost, impacting on costs and performance outcomes. Partnership working may be compromised due to poor working arrangements OUTCOME: Loss of confidence in PCC and Wiltshire Police coupled with criticism from Govt and media.</p>	Financial Reputation Operational delivery	2	2	3	12	Managed through Audit Committee				-	30-May-13
STRATEGIC OVERSIGHT													
15	01/04/13	<p>MAINTENANCE OF AN EFFICIENT & EFFECTIVE POLICE FORCE EVENT: Failure of the PCC/OPCC to secure an efficient and effective police force (key statutory duty) CONSEQUENCES: Levels of crime and disorder increase. Breakdown in relationship between law enforcement / justice agencies OUTCOME: Loss of public and partner confidence in PCC and Wiltshire Police. Criticism from external auditors, government / HMIC, adverse media attention. Legal challenge</p>	Reputation Performance Legal	2	2	5	20	Managed through Corporate Management Board (PCC/CC)				-	30-May-13
16	01/04/13	<p>FORCE RISK REGISTER EVENT: Failure to have effective oversight of the Force Risk Register (<i>owned by the Chief Constable</i>) CONSEQUENCES: PCC is unaware of key risks to the Force which could ultimately compromise operational effectiveness. Chief Constable is unsupported by the PCC in mitigating these risks, leading to increased risk of harm to the public. Impact on effective delivery of the Policing & Crime Plan OUTCOME: loss of public confidence in PCC and Wiltshire Police. Severe criticism from government / HMIC, adverse media attention</p>	Reputation Performance Operational delivery	2	1	4	8	Linked to Risk 15 above Managed through Corporate Management Board				-	30-May-13
17	01/04/13	<p>COMPLAINTS EVENT: Failure to have oversight of complaints against officers or staff (OPCC and Force), including IPCC referrals. CONSEQUENCES: Failure to deliver statutory duty on behalf of the public. OUTCOME: loss of public confidence in PCC which is likely to extend to Wiltshire Police. Criticism from government / HMIC and adverse media attention. IPCC intervention</p>	Reputation Performance	2	3	4	24	Independent Adjudicator appointed and protocols with Chief Constable developed. Ongoing monitoring in place. Appeals previously dealt with by the IPCC now determined by the Independent Adjudicator rather than Wiltshire Constabulary.				-	30-May-13
18	01/04/13	<p>INTEGRITY EVENT: Failure to uphold the integrity of PCC and OPCC staff CONSEQUENCES: Officers representing the OPCC act inappropriately, undermine the role of the PCC locally and nationally. Potentially compromising the reputation or in worst case operations of the Force OUTCOME: loss of public confidence in PCC which is likely to extend to Wiltshire Police. Severe criticism from government / HMIC, adverse media attention</p>	Reputation Performance	1	3	3	9					-	30-May-13
19	01/04/13	<p>AUDIT EVENT: Failure to have an effective internal audit programme CONSEQUENCES: Areas such as assets, budgets, procedures are not robustly managed or assessed leading to increased risk of liability or inefficiency OUTCOME: Criticism from external auditors, government / HMIC, adverse media attention, loss of public confidence</p>	Financial Reputation Performance	1	1	3	3	Audit Committee in place. Audit programme is established as 'business as usual'.				-	30-May-13
20	02/04/13	<p>WHISTLEBLOWING EVENT: Failure to have effective arrangements in place CONSEQUENCES: Malpractice goes unreported. Failure of PCC in statutory duty to maintain an effective and efficient police force. OUTCOME: Criticism from external auditors, government / HMIC, adverse media attention, loss of public confidence</p>	Financial Reputation Performance	2	3	3	18					-	30-May-13

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21	01/04/13	<p>EQUALITY ACT 2010: Public Sector Equality Duty</p> <p>EVENT: Failure to fully implement the duties within the Act (including commissioned services) and failure to appoint a lead to support this</p> <p>CONSEQUENCES: inability to deliver services that effectively address diversity needs and requirements within the organisation (staff) and within the community (public) leading to increased risk of HR tribunals or other litigation, criticism by auditors or government intervention</p> <p>OUTCOME: damage to reputation, loss of confidence in OPCC within Swindon and Wiltshire communities</p>	Reputation Performance	2	3	3	18	Also contained within Force Risk Register				-	30-May-13
22	01/04/13	<p>ENVIRONMENTAL SCANNING</p> <p>EVENT: Failure to have effective environmental scanning arrangements in place (to identify legal, political or media related emerging issues)</p> <p>CONSEQUENCES: Political, environmental, legislative changes / developments in policing at a national level are missed, compromising the effectiveness of the OPCC. The Policing & Crime Plan does not reflect these changes leading to the OPCC failing to carry out statutory duties and failing to support effective operational policing. Poor oversight on social media commentary topics affecting the PCC or police</p> <p>OUTCOME: Loss in reputation of PCC. Adverse media attention, criticism from external auditors, government / HMIC.</p>	Reputation Performance	2	2	3	12	Linked to Risk 14 (Resilience)				-	30-May-13
23	01/04/13	<p>STAGE 2 TRANSFER</p> <p>EVENT: Failure to meet central government timescales for the completion of the Stage 2 staffing transfer</p> <p>CONSEQUENCES: Govt criticism and intervention likely. Detrimental impact on staff engagement and morale if roles are unclear.</p> <p>OUTCOME: Loss of staff confidence. Intervention by government / HMIC and adverse media attention</p>	Reputation Legal	2	3	3	18					-	30-May-13
PERFORMANCE													
24	01/04/13	<p>PERFORMANCE</p> <p>EVENT: Failure to have effective oversight of Force performance (delivered by the Chief Constable).</p> <p>CONSEQUENCES: PCC is unaware of how the Force is performing in areas such as crime/ASB, victim satisfaction, response times, staffing. Leading to lack of oversight of effective delivery of the PCCs Policing & Crime Plan.</p> <p>OUTCOME: loss of public confidence in PCC and Wiltshire Police. Severe criticism from government / HMIC, adverse media attention</p>	Reputation Performance Operational delivery	2	3	4	24	Linked to Risk 15 above Managed through Corporate Management Board				-	30-May-13
25	02/04/13	<p>HMIC INSPECTION PROGRAMME</p> <p>EVENT: Failure to have effective oversight of HMIC inspection programme coupled with risk of poor inspection outcomes locally</p> <p>CONSEQUENCES: Failure of PCC duty to secure efficient and effective police force. Public confidence in PCC is adversely affected.</p> <p>OUTCOME: Loss in reputation of PCC. Adverse media attention, criticism from external auditors, government / HMIC.</p>	Reputation Performance	3	2	4	24	Linked to Risk 4 (Resilience) Managed by Continuous Improvement Team Insp/Sgt				-	30-May-13

GREEN = risk has decreased since last update

RED = risk has increased since last update