

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

Last reviewed : 24th February 2014

Risk Appetite is : 30

			Initial Risk Score				Residual Risk Score				Date reviewed		
ID	Date identified	Risk Description	Main impact area(s)	L	C	I	Score	Mitigation update				Date reviewed	
								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	1	4	8	Also contained within Force Risk Register OPCC attendance at all Community Area Boards (Wiltshire) and Locality meetings (Swindon) Meet the Commissioner Performance meetings Establishment of Forums (business, youth, rural, and victims) Attendance at shows (4 times a year) Visits and public engagement as invited	1	1	4	4	24-Feb-14
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 - confirmed by Grant Thornton Police Transparency Review report (November 2013) FOI procedures in place Appointment of an Exchequer Supervisor Monthly FOI review by Commissioner Police and Crime Panel protocol agreed Meet the Commissioner public meetings (see Risk 1 – Public Expectation and Public Engagement)	2	2	3	12	24-Feb-14
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 developed business case for Community Speed Watch and Neighbourhood Watch Community Speed Watch event six month review due Neighbourhood Watch business case proposal being developed Cadet Scheme – launched in Swindon Community Foundation supporting voluntary and community sector organisations OPCC Plan Annex	3	2	4	24	24-Feb-14
4	01/04/13	<p><u>RESILIENCE</u> EVENT: Lack of staffing resilience and relevant capability leading to low morale (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 / PCP 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 Staffing structure detailed in Police and Crime Plan Section 151 Officer - have shared with Chief Constable Secondment made from Swindon Borough Council	2	2	4	16	24-Feb-14
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) of all expenditure by the OPCC and Force CONSEQUENCES : Ineffective use of public money to achieve desired community safety and justice outcomes. Unacceptable levels of performance. Breach of statutory duty. Lack of due diligence both pre and post investment. Lack of pre or post scrutiny to ensure value for money and beneficial outcomes. OUTCOME: Loss of public confidence in PCC, possibly extending to partners. Adverse criticism from Govt, PCP and media. Risk of legal challenge.</p>	Financial Reputation	3	3	3	27	Budgets and Performance monitored through Commissioner’s Monitoring Management Board (PCC, C Exec, CC, DCC, HoF) Internal Audit programme Police & 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 Quarterly reporting from commissioned agencies HMIC Value for Money profiles	2	2	3	12	24-Feb-14
6	01/04/13	<p><u>COMMISSIONING ARRANGEMENTS</u> EVENT: Failure to have effective commercial and commissioning arrangements in place for all commissioned services 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) Contracts in place for each commissioned service provider Quarterly reporting from commissioned agencies	3	3	3	27	24-Feb-14

7	01/04/13	<p>COLLABORATION ARRANGEMENTS</p> <p>EVENT: Failure to maximise opportunities for collaboration with other PCCs / OPCCs / 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	<p>Linked to Risk 15 (Efficient and Effective Police Force)</p> <p>PCCs in South West region meet on a regular basis to maximise collaboration opportunities</p> <p>Governance meeting structure and agenda in place</p> <p>Collaboration protocol agreed by all regional PCCs and Forces</p> <p>National APCC Membership</p> <p>PCC member of APCC Reference Group</p>	3	2	4	24	24-Feb-14
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	<p>Linked to Risk 7 (Collaboration Arrangements)</p> <p>PCCs in South West region meet on a regular basis to maximise collaboration opportunities</p> <p>Each collaboration programme is monitored through a governance structure</p> <p>National APCC Membership</p> <p>PCC member of APCC Reference Group</p> <p>Concerns over real drive in Region</p> <p>Devon and Cornwall and Dorset collaboration to be assessed</p>	3	3	4	36	24-Feb-14
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	<p>Tri Force collaboration in place (Special Branch, Terrorism, Specialist Ops)</p> <p>Self assessment conducted by Force in 2012 under the guidance of NPIA - assessed as having capability to deliver SPR.</p>	2	2	3	12	24-Feb-14
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	<p>Wiltshire Council collaboration will be managed through the Joint Transformation Board (PCC, C Exec, Leader of Council, CC, DCC)</p> <p>Monthly meetings between PCC and Leaders of the two Councils</p> <p>PCC Membership of One Swindon, Public Service Board, Health and Wellbeing Board</p>	3	2	3	18	24-Feb-14
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	2	4	24	<p>CJS Efficiency Programme will integrate justice services</p> <p>Victim Pathway and Forum under review</p> <p>Membership of Reducing Offending Strategic Board</p> <p>Liaison with Judiciary</p> <p>Membership of Wiltshire Criminal Justice Board</p> <p>Performance matrix in place</p> <p>Restorative Justice Panel</p>	3	2	3	18	24-Feb-14
12	01/04/13	<p>BUDGETS & FUNDING</p> <p>EVENT: OPCC holding inadequate level of 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. Unable to sustain further projects and meet unexpected expenditures. Cannot replace assets due for replacement and required to borrow.</p>	Financial Reputation Operational delivery Performance	2	1	2	4	<p>Managed by OPCC Treasurer</p> <p>Redevelopment of Wiltshire Police estate in partnership with Wiltshire Council, to maximise use of assets</p> <p>Innovation Fund in place</p>	2	1	2	4	24-Feb-14
13	27/08/13	<p>FINANCIAL CONTROL</p> <p>EVENT: Failure to ensure effective control and financial planning</p> <p>CONSEQUENCES: Uncontrolled spending, failure to comply with statutory requirements, impact on delivery of Police and Crime Plan, increased exposure to fraud</p> <p>OUTCOME: Loss of public confidence in PCC which could extend to Wiltshire Constabulary and its partner agencies, government intervention</p>	Financial Reputation Operational delivery Performance	2	3	5	30	<p>Managed by Chief Finance Officer</p> <p>Redevelopment of Wiltshire Constabulary estate in partnership with Wiltshire Council to maximise use of assets</p> <p>Medium Term Financial Strategy</p> <p>Fortnightly meetings with Chief Finance Officer</p> <p>Monitoring of accounts at Commissioner's Monitoring Board</p> <p>PCC review of expenditure over £500</p> <p>Internal Audit</p> <p>Review by Audit Committee</p>	2	2	4	16	24-Feb-14
14	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	<p>Established budget build process</p> <p>Monthly review of accounts</p> <p>Section 151 Officer joined</p> <p>Use of reserves</p> <p>Consultation of precept (with public, businesses, Chief Constable, partners, PCP)</p>	2	2	2	8	24-Feb-14

15	01/04/13	<p>ASSETS EVENT: Inadequate records of ownership and inadequate management of assets CONSEQUENCES: Failure in statutory duty on PCC. Full picture of assets is unclear. Value for money is not achieved and public assets not accountable OUTCOME: Loss of confidence in PCC and Wiltshire Police to effectively manage resources, negative impact on reputation</p>	Financial Reputation Operational delivery	4	4	3	48	Senior Command Team now focussed on this area Audit focus exists Management of non-ICT assets improvement with new monitoring process ICT assets remain high risk	4	4	3	48	24-Feb-14
16	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 PCP comment and media attention. Legal challenge</p>	Reputation Performance Legal	2	2	5	20	Managed through Commissioner's Monitoring Board, Chief Executive, and S151 Officer Stage 2 transfers	3	2	5	30	24-Feb-14
17	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 (<i>Efficient and Effective Police Force</i>) Reviewed monthly at Strategic Improvement Board - PCC / Chief Executive in attendance	2	1	4	8	24-Feb-14
18	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	5	30	Independent Adjudicator appointed and protocols with Chief Constable developed Ongoing monthly monitoring in place Appeals previously dealt with by the IPCC now determined by the Independent Adjudicator rather than Wiltshire Constabulary Quarterly reporting to PCP IPCC report to be considered	2	3	4	24	24-Feb-14
19	01/04/13	<p>INTEGRITY (including Fraud and Anti-Corruption) EVENT: Failure to uphold the integrity of PCC, OPCC staff, and Chief Constable 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	Enhanced Professional Standards regime Standards and Behaviours PCC Register of Interests and Gifts and Hospitality (published on website) HMIC reports	2	2	4	16	24-Feb-14
20	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'.	1	1	3	3	24-Feb-14
21	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	4	4	32	Whistleblowing Policy and Procedure in place for Constabulary Whistleblowing to PCC about commissioned services being developed	2	3	3	18	24-Feb-14
22	01/04/13	<p>EQUALITY ACT 2010: Public Sector Equality Duty EVENT: Failure to fully implement the duties within the Act (including commissioned services) and failure to appoint a lead to support this 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 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 Equality and Diversity Charter under development Signed up to Wiltshire Compact Swindon Compact being reviewed	3	3	3	27	24-Feb-14

23	01/04/13	<p>ENVIRONMENTAL SCANNING EVENT: Failure to have effective environmental scanning arrangements in place (<i>to identify emerging legal, political or media related emerging issues</i>) 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 OUTCOME: Loss in reputation of PCC. Adverse media attention, criticism from external auditors, government / HMIC.</p>	Reputation Performance	2	2	3	12	<p><i>Linked to Risk 4 (Resilience)</i> APCC Google Alerts College of Policing Communications Officers (x2) Liaison with Councils and partners Home Office seminars Force Environmental Scanning monthly update</p>	2	2	3	12	24-Feb-14
24	01/04/13	<p>STAGE 2 TRANSFER EVENT: Failure to meet central government timescales for the completion of the Stage 2 staffing transfer CONSEQUENCES: Govt criticism and intervention likely. Detrimental impact on staff engagement and morale if roles are unclear. OUTCOME: Loss of staff confidence. Direction by Home Secretary and adverse media attention</p>	Reputation Legal	2	3	3	18	<p>Consultation with Staff Associations Agreed position reached with Chief Constable Draft scheme prepared well in advance Home Office Approved</p>	3	3	3	27	24-Feb-14
PERFORMANCE													
25	01/04/13	<p>PERFORMANCE EVENT: Failure to put in place adequate process to effectively hold the Chief Constable and other commissioned services to account for performance and use of resources 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. OUTCOME: loss of public confidence in PCC and Wiltshire Police. Criticism from government / HMIC, adverse PCP and media comment</p>	Reputation Performance Operational delivery	2	3	4	24	<p><i>Linked to Risk 15 (Efficient and Effective Police Force)</i> Managed monthly through Commissioner's Monitoring Board Monthly briefings from performance team Public performance meetings Contractual reporting of key performance indicators by commissioned services (quarterly)</p>	2	2	3	12	24-Feb-14
26	02/04/13	<p>HMIC INSPECTION PROGRAMME EVENT: Failure to be conversant with HMIC inspection programme and have oversight of Constabulary response to reports, coupled with risk of poor inspection outcomes locally CONSEQUENCES: Failure of PCC duty to secure efficient and effective police force. Public confidence in PCC is adversely affected. OUTCOME: Loss in reputation of PCC. Adverse media attention, criticism from external auditors, government</p>	Reputation Performance	3	2	4	24	<p><i>Linked to Risk 4 (Resilience)</i> Managed by Continuous Improvement Team Insp/Sgt</p>	2	1	4	8	24-Feb-14