

WILTSHIRE & SWINDON POLICE & CRIME COMMISSIONER (OPCC) RISK REGISTER 2014-15

Last reviewed : 4th November 2014

Risk Appetite is : 30

			Initial Risk Score (Mar-14)				Residual Risk Score				Date reviewed		
ID	Date identified	Risk Description	Main impact area(s)	L	C	I	Score	Mitigation update	L	C	I	Score	Date reviewed
PUBLIC ENGAGEMENT													
1	01/04/13	<p>PUBLIC EXPECTATION & PUBLIC ENGAGEMENT</p> <p>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.</p> <p>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</p> <p>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	1	1	4	4	<p><i>Also contained within Force Risk Register</i></p> <p>OPCC attendance at all Community Area Boards (Wiltshire) and Locality meetings (Swindon)</p> <p>Attendance at local markets</p> <p>Meet the Commissioner Performance meetings</p> <p>Business and Victims Forum established</p> <p>Attendance at shows (4 times a year)</p> <p>Now on Facebook and Twitter</p> <p>Visits and public engagement as invited</p> <p>Community Messaging being rolled out</p>	1	1	4	4	04-Nov-14
2	01/04/13	<p>TRANSPARENCY</p> <p>EVENT: Failure to publish performance and other relevant information (e.g. FOIs) to the public in a timely manner</p> <p>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</p> <p>OUTCOME: Loss of public confidence in PCC and Wiltshire Police. Severe criticism from government / HMIC, adverse media attention</p>	Performance Reputation	2	2	3	12	<p><i>Linked to Risk 4 (Resilience) below</i></p> <p>Publication of all relevant information on OPCC website - confirmed by Grant Thornton Police Transparency Review report (November 2013) – contract and tender information difficult to source from Force given existing systems – work ongoing</p> <p>FOI procedures in place</p> <p>Monthly FOI review by Commissioner</p> <p>Police and Crime Panel protocol agreed</p> <p>Meet the Commissioner public meetings (see Risk 1 – Public Expectation and Public Engagement)</p>	1	2	3	6	04-Nov-14
3	01/04/13	<p>VOLUNTEERS</p> <p>EVENT: Failure to make best use of volunteers and Watch Schemes</p> <p>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</p> <p>OUTCOME: potential escalation of community problems and increased risk of vulnerability amongst certain groups / locations. Loss of public confidence</p>	Performance Reputation	3	2	4	24	<p>Force is developing a Volunteer Strategy (covering Volunteers and Special Constables)</p> <p>OPCC developed business case for Community Speed Watch and Neighbourhood Watch</p> <p>Community Messaging to be rolled out across Wiltshire and Swindon by January 2015</p> <p>Cadet Scheme – launched in Swindon</p> <p>Community Foundation supporting voluntary and community sector organisations</p> <p>OPCC Plan Update produced</p> <p>Close engagement with new Force lead for volunteering</p>	3	2	4	24	04-Nov-14
4	01/04/13	<p>RESILIENCE</p> <p>EVENT: Lack of staffing resilience and relevant capability leading to low morale (PCC and OPCC)</p> <p>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.</p> <p>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	2	4	16	<p><i>Linked to Risk 1 (Public Engagement)</i></p> <p>OPCC C/Exec acts as deputy for PCC</p> <p>Staffing structure detailed in Police and Crime Plan</p> <p>Section 151 Officer - have shared with Chief Constable</p> <p>Recruitment of Policy Lead</p> <p>Proposed recruitment of Programme / Commissioning Manager</p>	2	2	4	16	04-Nov-14
VALUE FOR MONEY													
5	02/04/13	<p>VALUE FOR MONEY</p> <p>EVENT: Failure to ensure value for money (ensuring resources are aligned to priorities, risks and threats) of all expenditure by the OPCC and Force</p> <p>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.</p> <p>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	2	2	3	12	<p>Budgets monitored through Commissioner's Monitoring Management Board (PCC, C Exec, CC, DCC, T/ACC, CFO, BDCO)</p> <p>Performance and Force risk monitored through SIB</p> <p>Internal Audit programme</p> <p>Police & Crime Plan takes account of Wiltshire & Swindon Strategic Assessment</p> <p>Systems Thinking programme being developed with Wiltshire Council to ensure services are efficient and customer focussed</p> <p>Quarterly reporting from commissioned agencies is contractual requirement</p> <p>HMIC Value for Money profiles reviewed and assessed</p>	2	2	3	12	04-Nov-14
6	01/04/13	<p>COMMISSIONING ARRANGEMENTS</p> <p>EVENT: Failure to have effective commercial and commissioning arrangements in place for all commissioned services</p> <p>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</p> <p>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	<p>Commissioning process currently being developed along with a Commissioning Board (OPCC plus Partner representatives)</p> <p>Contracts in place for each commissioned service provider</p> <p>Quarterly reporting from commissioned agencies is contractual requirement</p> <p>Recruitment of Programme / Commissioning Manager post</p>	3	3	3	27	04-Nov-14

Scoring Colour
 1-7 - green
 8-17 - yellow
 18-29 - orange
 30+ - red

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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	3	2	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> <p>Project team commissioned to implement regional strategy</p> <p>PCC membership of Wiltshire Criminal Justice Board confirmed</p> <p>Membership of Public Service Board, One Swindon, and Health and Wellbeing Boards</p> <p>Established Community Safety and Reducing Offending Strategic Board</p>	3	2	4	24	04-Nov-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	3	3	4	36	<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>Concerns over real drive in Region being assessed</p> <p>Devon and Cornwall and Dorset collaboration not considered problematic</p>	2	3	4	24	04-Nov-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	2	2	3	12	<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> <p>HMIC report considered at CMB on 23rd May - Chief Constable reported satisfactory progress</p>	2	2	3	12	04-Nov-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	3	2	3	18	<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> <p>Community Safety and Reducing Offending Strategy Board established – first meeting in July 2014</p>	3	2	3	18	04-Nov-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	3	18	<p>CJS Efficiency Programme will integrate justice services</p> <p>Horizons (Victim and Witness support unit) opens 1st April 2015</p> <p>Membership of Reducing Offending Strategic Board</p> <p>Liaison with Judiciary</p> <p>Wiltshire Criminal Justice Board member</p> <p>Performance matrix in place</p> <p>Neighbourhood Justice Panels established – review mechanism in place</p> <p>Victims Forums being planned 2015-16</p>	3	2	3	18	04-Nov-14
12	01/04/13	<p>BUDGETS & FUNDING</p> <p>EVENT: OPCC holding inappropriate 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 Chief Finance Officer</p> <p>Redevelopment of Wiltshire Police estate in partnership with Wiltshire Council and Swindon Borough Council, to maximise use of assets</p> <p>Innovation Fund in place – monitoring of outcomes to be conducted independently of OPCC by Wiltshire and Swindon Community Foundation</p> <p>Precept consultation taking place January 2015</p> <p>MTFS considered and agreed at CMB</p>	3	2	3	18	04-Nov-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	2	4	16	<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	1	3	6	04-Nov-14

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14	01/04/13	ANNUAL BUDGET PROCESS EVENT: Failure to achieve a budget and precept agreed in a timely manner 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 OUTCOME: 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	Established budget build process Monthly review of accounts Section 151 Officer joined Use of reserves Consultation of precept (with public, businesses, Chief Constable, partners, PCP)	2	2	2	8	04-Nov-14
15	01/04/13	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	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 – list of proposed assets to be disposed of to be published shortly Limited assurance report received from Internal Auditors (previously no assurance)	3	3	3	27	04-Nov-14
16	01/04/13	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	Reputation Performance Legal	3	2	5	30	Managed through Commissioner's Monitoring Board, Chief Executive, and S151 Officer Stage 2 transfers complete Revised Scheme of Governance for twin corporations sole in place	2	2	4	16	04-Nov-14
17	01/04/13	FORCE RISK REGISTER EVENT: Failure to have effective oversight of the Force Risk Register (owned by the Chief Constable) 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	Reputation Performance Operational delivery	2	1	4	8	Linked to Risk 15 (Efficient and Effective Police Force) Reviewed monthly at Strategic Improvement Board - PCC / Chief Executive in attendance	2	2	4	16	04-Nov-14
18	01/04/13	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	Reputation Performance	2	3	4	24	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 will take some resource without a reduction in demand for the Constabulary Complaints dip sampling now in place	2	2	4	16	04-Nov-14
19	01/04/13	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	Reputation Performance	2	2	4	16	Enhanced Professional Standards regime Standards and Behaviours PCC Register of Interests and Gifts and Hospitality (published on website) HMIC reports Ethics and Standards Board established (PCC and CC attend – may include independent element)	2	2	5	20	04-Nov-14
20	01/04/13	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	Financial Reputation Performance	1	1	3	3	Audit Committee in place. Audit programme is established as 'business as usual'.	1	1	3	3	04-Nov-14

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21	02/04/13	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	Financial Reputation Performance	2	3	3	18	OPCC and Constabulary Whistleblowing Policy will be produced for June Audit Committee Force guidance is published on OPCC website	2	3	3	18	04-Nov-14
22	01/04/13	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	Reputation Performance	3	3	3	27	Also contained within Force Risk Register Equality and Diversity Charter to be launched Signed up to Wiltshire Compact Swindon Compact being reviewed Stop and search policy review following HMIC thematic report and Home Secretary letter of 30th April	3	3	3	27	04-Nov-14
23	01/04/13	ENVIRONMENTAL SCANNING EVENT: Failure to have effective environmental scanning arrangements in place (to identify emerging legal, political or media related emerging issues) 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.	Reputation Performance	2	2	3	12	Linked to Risk 4 (Resilience) APCC Google Alerts College of Policing Communications Officers (x2) Liaison with Councils and partners Home Office seminars	2	2	3	12	04-Nov-14
24	01/04/13	STRATEGIC INTEGRATION EVENT: Failure to deliver Police and Crime Plan objective CONSEQUENCES: Failure to achieve cost efficiencies and integrated service delivery OUTCOME: Loss of staff confidence, potential performance gains lost, budget pressure	Reputation Legal	3	3	3	27	Consultation with Staff Associations Agreed position reached with Chief Constable and Wiltshire Council and Swindon Borough Council Governance in place (Member and Officer Transformation Board) and reviewed at CMB internally Memorandum of Understanding prepared	3	3	3	27	04-Nov-14
PERFORMANCE													
25	01/04/13	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	Reputation Performance Operational delivery	2	2	3	12	Linked to Risk 15 (Efficient and Effective Police Force) Managed monthly through SIB and CMB by exception Fortnightly briefings from performance team Public performance meetings Contractual reporting of key performance indicators by commissioned services (quarterly) Informal weekly performance monitoring Performance culture review underway	2	2	3	12	04-Nov-14
26	02/04/13	INSPECTION PROGRAMME EVENT: Failure to be conversant with HMIC / HMP / criminal justice 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	Reputation Performance	2	1	4	8	Linked to Risk 4 (Resilience) Managed by Continuous Improvement Team Insp/Sgt HMIC Publication on website and Commissioner's response Reports considered at SIB / CMB	2	1	4	8	04-Nov-14

GREEN = risk has decreased since last update

RED = risk has increased since last update

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