

WILTSHIRE & SWINDON POLICE & CRIME COMMISSIONER (OPCC) RISK REGISTER 2015-16

WILTSHIRE & SWINDON POLICE & CRIME COMMISSIONER (OPCC) RISK REGISTER 2015-16																
Last reviewed: 17 November 2015			Initial Risk Score Ag 15					Final Risk Score								
Risk Register ID	Date identified	Risk	Consequence	Impact (sever)	L	C	I	Score	Justification and controls	Mitigation Update Nov 2015	L	C	I	Score	Date reviewed	Register update Nov 15
HMIC COMPLAINTS & PERFORMANCE																
2	18/09/15	Transformation or service changes are not communicated to public / stakeholders and feedback is not considered	Reduced public satisfaction and confidence in OPCC Continuity voice not heard Increased resistance to change Change to public confidence in police Benefits expected are reduced	Reputation Operational Delivery	2	3	3	18	Police and Crime Plan public and partner consultation Police engage with community boards, local communities as service changes are developed Changes built on robust evidence and planning to plan engagement and reflective periods Partners with staff consultation and partner	Mitigation Update Nov 2015	1	3	3	9	17/11/15	Maintain - Strategic risk - BAU residual risk
4	18/09/15	Failure to have oversight of complaints against officers or staff (OPCC and Forces), including PCC 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 PCC intervention	Reputation Performance	2	3	4	16	Independent Adjudicator in place to review all aspects of police complaints to provide independence OPCC complaints officer fulfills 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 within to PCP Annual report published summarising key themes, issues and areas for improvement - reported to PCC Complaints dig sampling takes place to review how cases handled	Mitigation Update Nov 2015	1	3	4	8	17/11/15	Revised score agreed
5	18/09/15	Loss of integrity of PCC, OPCC staff, and Chief Constable due to inappropriate behaviour	Damage to the reputation of PCC, OPCC and force Local community voice not heard Criticism from government / HMIC Adverse media attention	Reputation Performance	2	2	4	16	Professional Standards regime Police have standards and Behaviour framework in place PCC Register of Interests and Gifts and Hospitality (published on website) HMIC oversees investigations covering aspects of integrity, standards and behaviours Whistle blowing policy and reporting mechanism in place (Ethics and Standards Board established (PCC and CC attend))	Mitigation Update Nov 2015	1	2	4	8	17/11/15	Revised score agreed
7	18/09/15	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 reputation and reputation as an employer	Reputation Operational Delivery	3	3	3	27	HR Policies sets out obligations and procedures to meet its duties Recruitment, developments and support policies in place Equality and Diversity Charter to be launched Recruit IT based areas for force to improve and increase staff training, PCC receiving regular Awareness Development Plan due November from Police to address shortfalls.	Mitigation Update Nov 2015	4	3	3	36	17/11/15	Maintain - recommended that risk score is unchanged until mitigation is delivered
8	18/09/15	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 Change in public confidence in police - disproportionate effect in communities Reputational damage to PCC, OPCC and Police	Reputation Operational Delivery	2	3	3	18	Wiltshire Police has policies related to Stop and Search Assessment of active vulnerability, including aspects of diversity Specialist support services in place for ensuring support for a range of diverse groups HMIC provides oversight covering aspects of integrity, standards and behaviours Training for officers in understanding different needs of communities	Mitigation Update Nov 2015	2	3	3	12	17/11/15	Maintain - recommended that risk score is unchanged until mitigation is delivered
9	18/09/15	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 contractors and suppliers Failure to consider equality in Police and Crime Plan	Reputation Operational Delivery	2	2	3	12	OPCC works with government and Police Funding agreements ensures responsibilities are met by third parties Extensive relationships with community and voluntary sector providers PCC signatories and HMIC oversight covering aspects of integrity, standards and behaviours Innovation fund encouraged community and bids in areas that are hidden PCC Plan identifies areas of underinvestment based on ISA and strategic assessment Commissioning Strategy being developed	Mitigation Update Nov 2015	2	2	3	8	17/11/15	Maintain - recommended that risk score is unchanged until mitigation is delivered
INTERNAL GOVERNANCE AND ACCOUNTABILITY																
10	18/09/15	PCC fails to hold the Chief Constable to account for the delivery of the Police and Crime Plan	Failure to fulfil PCC function Local community voice not heard Weak governance and accountability of CC Police and Crime Plan elements are not delivered Failure to improve services Critical feedback from PCC Reduced public confidence in PCC Adverse media attention	Reputation Operational Delivery Legal	2	1	3	6	New PCC Plan - all CMB, Delivery Plan and Police performance structures have been reviewed Bi-Weekly CMB is where PCC holds CC and CEO to account for delivery Monthly SCT built around delivery of PCC Plan - OPCC attend Police and Crime Plan elements are not delivered Clear PCC organisational owners Contractual reporting of key performance indicators by commissioned services (quarterly)	Mitigation Update Nov 2015	2	1	4	2	17/11/15	Maintain - Despite low risk recommended to remain due to implications caused by SA and spending review
11	18/09/15	Failure to hold the Chief Constable to account for the delivery of an effective and efficient police service	Local community voice not heard Weak governance and accountability of CC Failure to improve services Failure to attract most effective contractors and suppliers Resources are wasted Critical feedback from PCC Reduced public confidence in PCC and OPCC Adverse media attention	Reputation Performance Legal	3	2	4	16	HMIC oversees investigations covering aspects of integrity, standards and behaviours Monthly SCT built around delivery of PCC Plan - OPCC attend PCC receives fortnightly briefings from performance team Informal updates from CC and Chief Officers as and when OPCC Chief of Staff leads all significant issues Performance culture review continues with roll out of Click View and force strategic Revised Scheme of Governance for train corporations sole in place OPCC involved in all HMIC briefing and drafts to understand inspections and immediate	Mitigation Update Nov 2015	1	2	4	8	17/11/15	Maintain - Strategic risk - BAU residual risk
13	18/09/15	Strategic Alliance has weak governance and accountability	Reduced influence of PCC over police Reduced effectiveness of local accountability Service quality disproportionately affecting Wiltshire Adverse media criticism Adverse media attention	Performance Financial Operational Delivery	3	3	3	27	Police and Crime Plan elements are not delivered Programme Director appointed and began role 01/06/15 Programme Director reports to both Wiltshire and ASD and ASD Alliance discussed at every CMB Heads of terms signed and published Donor and Cornwall and Dorset collaboration will be used to benchmark and align with	Mitigation Update Nov 2015	2	3	3	12	17/11/15	Maintain - As programme developed this may change quickly governance is clear this impacts on risk 15, 16, 18, 20, 24, 26 to recommended to maintain on register
14	18/09/15	Collaboration 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	2	2	4	16	PCCs in both 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 Significant collaboration and work with partners ongoing and managed through regional governance arrangements New PCC Plan plans partnerships and collaboration as way to deliver. Existing partnerships to be reviewed Partnership impact and alignment to PCC plan and how this will be delivered is being assessed	Mitigation Update Nov 2015	2	2	4	16	17/11/15	Review score following decision on senior regional police lead
15	18/09/15	Local Authority strategic partnerships do not deliver anticipated benefits with weak governance and accountability	Reduced influence of PCC / CC over senior levels Reduced control over operational levels Failure to secure value for money and efficiencies Failure to attract most effective contractors and suppliers Missed opportunities to improve services and outcomes Reduced public confidence Adverse media criticism if service quality falls Satisfaction with policing declines	Reputation Performance Legal	2	4	4	16	Wiltshire Council collaboration will be managed through the Joint Transformation Board (PCC, C Council, Leader of Council, CC, DCs) Agreed position reached with Chief Constable and Wiltshire Council and Swindon Borough Council and reviewed at CMB internally Agreement reached in place for local estates Monthly meetings between PCC and Leaders of the two Councils Continuing alignment of campaign programme and shared services with both authorities Wiltshire Council provide strategic relationship for IT and executive work has been ongoing to deliver improvements to IT services	Mitigation Update Nov 2015	2	3	3	18	17/11/15	Maintain - Strategic risk as services are developed and changed - BAU residual risk
16	18/09/15	Failure to have effective oversight of force risk	PCC is unaware of key risks affecting operational effectiveness Chief Constable is unsupported by the PCC in mitigating risks Increased risk of harm to the public Impact on effective delivery of the Policing & Crime Plan	Reputation Operational Delivery	3	1	3	9	Wiltshire Police has strategic risk register which is accessible to OPCC Reviewed every month at SCT / PCC in attendance Force risk register scrutinised by Audit Committee Risks discussed at CMB with Chief Constable and senior officers PCC in both West region meet on a regular basis to maximise collaboration opportunities	Mitigation Update Nov 2015	2	1	3	6	17/11/15	Review - as risk is low managed through BAU
17	18/09/15	Regional and Tri-force services do not have an effective governance and scrutiny route to PCCs who are responsible for oversight	Failure to fulfil PCC function PCC not aware of developments and risks Weak governance and accountability of lead officer / CC Failure to secure expected services Reduced public confidence in PCC Reduced confidence in OPCC	Reputation Operational Delivery Performance Legal	3	3	3	27	Scheme of delegation in place OPCC attendance at SCT - Transformation and Delivery PCC receives SCT aggregated reports from PCC and Forces Commissioner decision notice requires PCC, CEO, Legal and Finance signature Police Performance Framework built around PCC Plan New specific allocations part of PCC governance at which OPCC is part Internal Audit / external audit reports presented to Audit committee and PCC HMIC efficiency inspections	Mitigation Update Nov 2015	3	3	3	18	17/11/15	Maintain - Strategic risk as services are developed and changed - recommending their risk score is unchanged until mitigation is delivered
18	18/09/15	Failure of CC and PCC staff to keep PCC informed of developments or make decisions outside of scheme of delegation	PCC makes decisions without information and assessment of implications Decision is unsupported by the PCC in mitigating risks Public voice not heard at during decision making Low transparency Increased negative cultural behaviours	Reputation Operational Delivery Performance Legal	3	3	4	24	Scheme of delegation in place OPCC attendance at SCT - Transformation and Delivery PCC receives SCT aggregated reports from PCC and Forces Commissioner decision notice requires PCC, CEO, Legal and Finance signature Police Performance Framework built around PCC Plan New specific allocations part of PCC governance at which OPCC is part Internal Audit / external audit reports presented to Audit committee and PCC HMIC efficiency inspections	Mitigation Update Nov 2015	1	3	3	9	17/11/15	Revised score agreed - new score BAU residual risk
HMIC VICTIMS & WITNESSES																
20	18/09/15	Horizon victim and Witness care does not provide a quality service for victims	Victims are not supported to cope and recover Service is inefficient and does not provide value for money Victims are not supported through process No of craded and effective cases increases due to witness / victim not attending	Operational Delivery Performance	2	3	3	18	Horizon witness service in place - since April 2015 Review meeting scheduled in Autumn Project team now management team with OPCC representative PCC receives updates from OPCC officers on assessment of performance Horizon reviewed via SCT and CMB	Mitigation Update Nov 2015	1	3	3	9	17/11/15	
21	18/09/15	IT transformation does not deliver benefits on time	Productivity benefits not realised - New ways of working Missed opportunities of improved technology Effects other PCCs for deliverables Choir equipped limits capacity Reduced public confidence Criticism by HMIC	Reputation Operational Delivery Performance	3	3	3	27	NWOW strategy in place Numerous enabling projects in this area provide linked risk and knock on consequence Strategic Partnership with Wiltshire Council improved capability and delivery Equipment refresh completed through near completion Community Policing pilot priority to embed change with new culture before roll out Regular meetings across all aspects of IT between police and Wiltshire Council Project and Programme support provided to all IT projects	Mitigation Update Nov 2015	3	3	3	18	17/11/15	Maintain and continue to mitigate risks
22	18/09/15	Proposals for new custody suite is not delivered successfully	Reduction of operational effectiveness Impact of overall estates strategy Increased risk of cost Adverse media coverage Loss of reputation of PCC and Wiltshire police	Reputation Operational Delivery Performance	2	3	3	18	Feasibility study underway Decision based on wealth of evidence and analysis - provide accurate assessment of need HMIC oversight and agreement on strategic approach Aligned to estates review and strategy Evidenced to NWOW strategy and partnership strategies	Mitigation Update Nov 2015	2	3	3	18	17/11/15	Maintain
23	18/09/15	Community Policing pilot is not effective at improving visibility, public satisfaction and efficiencies	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 PCC plan increase	Reputation Operational Delivery Performance	3	3	4	36	Pilot based on new team piloting and systems trialling review Agreed to estates review and strategy Evidence to NWOW strategy and partnership strategies	Mitigation Update Nov 2015	2	3	4	24	17/11/15	Maintain
24	18/09/15	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	CS Efficiency Programme will integrate justice services Horizon (Victim and Witness support unit) opens 1st April 2015 Chair Community Safety and Crime Reduction Strategic Board Liaison with judiciary Wiltshire Criminal Justice Board member New PCC Plan has embedded improvements to criminal justice and influence role of PCC Joining of performance subgroups with Crime Reduction Board to begin alignment Recruitment of restorative justice staff to coordinate and improve the quality of R across partnership	Mitigation Update Nov 2015	3	2	3	18	17/11/15	Maintain - Strategic risk - BAU residual risk
25	18/09/15	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 attract most effective contractors and suppliers Sifta innovation and creative solutions Fail to comply with legal requirements on procurement	Reputation 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 - contractual requirement Horizon launches and victim service contract developed Quarterly management regime established for victim service HMIC oversees investigations covering aspects of integrity, standards and behaviours Community Foundation Innovation funding report demonstrated effectiveness Commissioning Strategy and process review due Autumn 2015	Mitigation Update Nov 2015	2	3	3	18	17/11/15	Maintain - recommended that risk score is unchanged until mitigation is delivered
26	18/09/15	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 attends numerous partnership boards Bi-monthly meeting with Council Leaders OPCC meets monthly with partners on strategic issues	Mitigation Update Nov 2015	2	3	3	12	17/11/15	Maintain - Risk likely to increase as spending reductions are understood
27	18/09/15	Failure of PCC to ensure Wiltshire Police meets its strategic policing requirement	Failure to deliver statutory duty Operational effectiveness in the Protective Services areas is compromised Increased demand on policing services Loss of public confidence in PCC which is likely to extend to Wiltshire Police Severe criticism from government / HMIC	Operational Delivery Performance	2	2	3	12	SPR now features explicitly within the new PCC Plan and adds Child Sexual Abuse as new requirement CMB holds CC to account to ensure these requirements are met Tri Force collaboration in place (Special Branch, Terrorism, Specialist Ops) Increased investment in services to protect vulnerable children at risk of sexual abuse and CS HMIC PCL Inspection considers compliance to Strategic Policing Requirement - recent	Mitigation Update Nov 2015	1	2	3	6	17/11/15	Revised score agreed - new score BAU residual risk
28	18/09/15	Strategic Alliance negatively 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. Failure in service quality Reduction in HMIC ratings PCC do not wish to commission policing model provided	Reputation Operational Delivery Performance Legal	3	3	4	36	Regular meetings of Alliance Board working with Avon and Somerset to progress Development of governance structure through which each programme will be monitored Heads of terms signed and published Programme Director appointed and began role 01/06/15 Donor and Cornwall and Dorset collaboration will be used to benchmark and align with where appropriate PID developed for strategic alliance. Business cases will be developed for range of services and all options will need to be agreed by all parties	Mitigation Update Nov 2015	3	3	4	36	17/11/15	Maintain - recommended that risk score is unchanged until mitigation is delivered

HMIC 15

29	18/08/15	Failure to set a balanced budget with precept level agreed 2015-16	Outcomes of Policing & Crime Plan are compromised Policing and community safety opportunities are not maximised Miso 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	Established budget build process Monthly review of accounts at CMB Section 155 Officer in post Reserves in place to provide adequate contingency Consultation process for precept (with public, businesses, Chief Constable, partners, PCP)	Forecast balanced budget for 2015-16	1	2	2	4	17/11/15	CHANGE - Wording of risk is amended to capture 2015-16 financial year
30	19/08/15	Failure to have a balanced budget with precept level agreed 2015-17	Outcomes of Policing & Crime Plan are compromised Policing and community safety opportunities are not maximised Miso 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 DPCC Chief Finance Officer Redevelopment of Wiltshire Police estate with savings required agreed, CSR in NOV likely to affect these assumptions PCC requested scenario planning in MITS 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	Medium Term Financial Strategy in draft form with multiple scenarios planned discussed at CMB Awaiting CSR due in November 15 and HO announces central grant. Allocation late Dec 15 to identify impact Council tax precept to be set Feb / March 16	3	3	3	27	18/11/15	New Risk - Separated from Risk 22 to provide improved granularity of risk "REVIEW following HO funding allocation announcement and revised MITS"
31	18/08/15	Failure to have adequate capital and reserves to meet expenditure	DPCC 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 which could extend to Wiltshire Police and its Partner agencies Unable to sustain further projects and meet unexpected expenditures	Financial Reputation Operational delivery Performance	2	2	2	8	Managed by DPCC Chief Finance Officer Redevelopment of Wiltshire Police estate with Wiltshire Council and Swindon Borough Council, to maximise use of assets MITS considered and agreed at CMB with savings required agreed, CSR in NOV likely to affect these assumptions Strong track record of delivering savings Position of zero-debt provides position of stability Reserves levels provide ability to support transition and mitigate against uncertainty for short term	As risk 21 plus Use of reserves / capital to 'unlock' future efficiencies, part of MITS planning	2	3	3	18	17/11/15	CHANGE - Risk score amended as result of new risk 21 "REVIEW following HO funding allocation announcement and revised MITS"
33	18/08/15	Inadequate records of and management of assets	Failure in statutory duty on PCC Poor financial understanding and poor control Value for money is not achieved Loss of confidence in PCC and Wiltshire Police to effectively manage resources Negative impact on reputation	Financial Reputation Operational delivery	2	3	3	18	Senior Command Team now focussed on this area - new ways of managing ICT plan agreed at CMB Audit focus ends Management of non-ICT assets improved with new monitoring process ICT assets remain high risk - list of proposed assets to be disposed Limited assurance report received from Internal Auditors (previously no assurance) Process agreed with Information Commissioner	Issuing of all new ICT equipment includes asset records. Work ongoing to improve equipment identification and recovery for leavers	2	3	3	18	17/11/15	Maintain - recommended that risk score is unchanged until mitigation is delivered
34	18/08/15	Failure to ensure value for money (ensuring resources are aligned to priorities, risks and threats) of all expenditure by the DPCC 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	Detailed performance and project delivery is considered at SCT - DPCC in attendance Police framework moving towards benefits realisation Internal Audit programme Policing & Crime Plan takes account of Wiltshire & Swindon Strategic Assessment, JSNA etc PCC 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'	Commissioning strategy in development (see risk 13) Work ongoing to adapt the Commissioning mechanisms used by the PCC to direct funding against priorities ongoing.	2	3	3	18	17/11/15	Maintain

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