

BOARD ASSURANCE FRAMEWORK 2015/16 – Strategic Risk Register

Maintaining Local Policing Performance

| | | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| Risk: | That public confidence in the ability of local police to keep them safe reduces | | |
| Proximity: | 9-12 months | | |
| Police and Crime Plan Objective: | Maintaining Local Policing Performance | | |
| HMIC PEEL Domain | Legitimacy and Effectiveness | | |
| Accountability Lead: | Police and Crime Commissioner | | |
| Date of Entry: | 01/03/2015 | | |
| Date of Review: | 26/11/2015 | | |
| Risk Rating: <i>Impact x likelihood</i> | <p>Unmitigated risk Current rating is impact of 4 (major) on Police Legitimacy multiplied by likelihood of 3 (probable) Total score = 12</p> <p>Current risk Current rating is impact of 3 (significant) on Police Legitimacy multiplied by likelihood of 3 (probable) Total score = 9</p> <p>The graph displays three horizontal bars representing risk scores over time. The x-axis shows months from Mar-15 to Jan-17. The y-axis ranges from 0 to 16. - The 'Risk Score' (blue bar) starts at approximately 9 in Apr-15 and remains relatively flat until Nov-15, then drops to about 6. - The 'Risk Appetite' (red bar) starts at approximately 6 in Apr-15 and remains flat until Nov-15, then drops to about 5. - The 'Unmitigated Risk Score 2017' (green bar) starts at approximately 12 in Dec-16 and remains flat until Jan-17.</p> | | |
| Cause: | <ul style="list-style-type: none"> Further reduction in Police budgets over the next four years are not offset by savings from collaboration and use of IT leading to a reduction in the number of front line officers and insufficient backroom staff support. Even if there is an overall increase in operational effectiveness the public focus on any reduction in police officer numbers. Increased work load or decreased resources mean deployment of police resources has to be further prioritised based on threat, risk and harm. On occasions, there are local issues that do not meet this threshold, yet to neighbourhoods or individual feels they are hugely important. Partnership and Constabulary work to promote resilience and capacity in new and existing communities e.g. through volunteering, is unsuccessful. The move to public police misconduct hearings leads to increased media coverage of national or local high-profile cases of police failings Changes in crime recording lead to a perception of increased levels of crime Increased reporting of CSE and domestic abuse lead to a perception of increasing level of violence in the community. PCC public engagement processes do not identify issues of importance which means they are not reflected in the Police and Crime Plan | | |
| Impact: | <ul style="list-style-type: none"> Perceived or actual reduction in visibility of local policing reduces confidence Threat risk and harm model leads to the perception that low level crime will not be dealt with to the standard expected by the community or individuals. Poor engagement with communities means confidence in the Constabulary's ability to respond to their needs decreases. Perceived or actual increases in complaints of poor performance or bad conduct impact on perception of police legitimacy Increased levels of crime recording, e.g. computer enabled crime, lead to a perception that the police are no longer able to keep communities and individuals safe | | |
| Rationale for Risk Appetite: | <ul style="list-style-type: none"> If no action is taken, the unmitigated risk is: <ul style="list-style-type: none"> The likelihood of public confidence decreasing is set at 3 ("Probable / Possible") The impact of this is set at 4 ("major") This results in a risk score of 12 Current risk: <ul style="list-style-type: none"> The current risk is 9 set on the grounds of reducing future impact to "significant" (score of 3) rather than "major". The likelihood is "probable" (score of 3). Risk appetite <ul style="list-style-type: none"> The aim is to reduce the likelihood down to "Possible" (score of 2) and "Impact" (score of 3) giving a risk appetite of 6. | | |
| Controls: <i>What are we currently doing about the risk?</i> | Mitigating Actions: <i>What more could we do?</i> | | |
| <ul style="list-style-type: none"> Good governance – see financial control BAF Technology - Roll-out of Athena / TuServ / Metis to increase operational hours Ensuring accessibility – 101, Police Contact Points, self service Engagement (incoming) – understanding public priorities. E.g. Outreach work, local crime panels, correspondence Engagement (outgoing) – E.g. explaining threat, risk and harm approach, crime prevention messages Prevent work promoting community cohesion and resilience Adherence to Equality and Diversity legislation Strong volunteering structure that supports community resilience Recruitment and training policies attract and develop the best people Legitimacy - Ensure strong, proactive PSD effectively funded Improved performance monitoring of work to tackle crime and disorder Proactive engagement to explain changes in crime recording Regular updates of the Police and Crime Plan Close working between OPCC and Constabulary Comms around messaging and public engagement | <ul style="list-style-type: none"> Work with partners to develop Community Resilience Strategy Ensure consistent and effective incoming and outgoing engagement in all areas. Identify and target areas where there are gaps including increased use of social media / E-Cops / Community engagement tools to maintain dialogue with community groups Strengthen resilience of CSPs and their ability to respond to local community safety issues Drive forward and support increased volunteering and building of community capacity Work to ensure the constabulary is representative of the community it serves. | | |

| Assurances: <i>How do we know if the things we are doing are having an impact?</i> | Gaps in Assurance: <i>What additional assurances should we seek?</i> |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <p>External / Independent</p> <ul style="list-style-type: none"> • HMIC PEEL report • Potential for internal audit through RSM • Consider task of voluntary sector for peer review • College of Policing collating best practice • Monitoring of Force and OPCC public feedback • Rewiring Public Services Project • Public Service Board <p>Internal</p> <ul style="list-style-type: none"> • Assessment from the Volunteer co-ordinator • Performance Meeting to assess improvements in quality and quantity • Effectiveness against the engagement strategy • CSP reporting to OPCC • Performance Framework • Engagement Board – Joint Engagement Strategy | <ul style="list-style-type: none"> • Outreach surveying: What do the public think? • Commission research into effectiveness of local voluntary schemes • Compare against College of Policing's "what works" foundation as well as academic research. |
| Current Performance: <i>With these actions taken, how serious is the problem?</i> | Outstanding Actions Complete By: |
| <ul style="list-style-type: none"> • With re-elected government committed to maintaining (or possibly increasing) budget reductions this risk is likely to remain high • Autumn Budget Statement 2015 means risk remains the same rather than increasing. | 01.03.16 |
| Risk RAG Rating: RED | |

DRAFT

DRAFT - BOARD ASSURANCE FRAMEWORK 2015/16 – Delivering policing within the available budget

| Risk: | Failure to continually drive efficiency and effectiveness in policing leads to the PCC/Force no longer being financially viable | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|-----------------------------|---------------|-----------------------------|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|
| Proximity: | 3 years | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Police and Crime Plan Objective: | Delivering Policing within the available budget (continuous improvement) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| HMIC PEEL Domain | Efficiency and Effectiveness | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Accountability Lead: | Police and Crime Commissioner(s)/Chief Constable(s) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Date of Entry: | 09/04/2015 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Date of Review: | 20/11/15 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Risk Rating: <i>Impact x likelihood</i> Current rating is impact of 4 (major) multiplied by likelihood of 1 (remote) | <p>The chart displays three horizontal lines representing risk scores over time. The x-axis shows months from May 2015 to January 2018. The y-axis ranges from 0 to 16. The 'Current Risk Score' (blue line) starts at approximately 4 and remains relatively flat. The 'Risk Appetite' (red line) also starts at approximately 4 and remains flat. The 'Unmitigated Risk Score 2017' (green line) starts at approximately 8 and remains flat.</p> <table border="1"> <thead> <tr> <th>Month</th> <th>Current Risk Score</th> <th>Risk Appetite</th> <th>Unmitigated Risk Score 2017</th> </tr> </thead> <tbody> <tr><td>May-15</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>Jul-15</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>Sep-15</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>Nov-15</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>Jan-16</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>Mar-16</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>May-16</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>Jul-16</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>Sep-16</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>Nov-16</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>Jan-17</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>Mar-17</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>May-17</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>Jul-17</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>Sep-17</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>Nov-17</td><td>4</td><td>4</td><td>8</td></tr> <tr><td>Jan-18</td><td>4</td><td>4</td><td>8</td></tr> </tbody> </table> | Month | Current Risk Score | Risk Appetite | Unmitigated Risk Score 2017 | May-15 | 4 | 4 | 8 | Jul-15 | 4 | 4 | 8 | Sep-15 | 4 | 4 | 8 | Nov-15 | 4 | 4 | 8 | Jan-16 | 4 | 4 | 8 | Mar-16 | 4 | 4 | 8 | May-16 | 4 | 4 | 8 | Jul-16 | 4 | 4 | 8 | Sep-16 | 4 | 4 | 8 | Nov-16 | 4 | 4 | 8 | Jan-17 | 4 | 4 | 8 | Mar-17 | 4 | 4 | 8 | May-17 | 4 | 4 | 8 | Jul-17 | 4 | 4 | 8 | Sep-17 | 4 | 4 | 8 | Nov-17 | 4 | 4 | 8 | Jan-18 | 4 | 4 | 8 |
| Month | Current Risk Score | Risk Appetite | Unmitigated Risk Score 2017 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| May-15 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jul-15 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Sep-15 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Nov-15 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jan-16 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mar-16 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| May-16 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jul-16 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Sep-16 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Nov-16 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jan-17 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mar-17 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| May-17 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jul-17 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Sep-17 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Nov-17 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jan-18 | 4 | 4 | 8 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Cause: | <ul style="list-style-type: none"> Top-slicing of formula grant – compounded by the funding formula review due to be implemented for 2017/18 – lead to increasing financial pressures with all the ‘easier’ savings having already been made Severe financial difficulties of collaboration partner impacts on collaborated functions Benefits of collaboration and other savings not cashable Budget is reduced without effective risk management Upward pressure on wages and inflation in other costs New and emerging cost pressures from changing demand and profile of crime in the county | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Impact: | <ul style="list-style-type: none"> Performance may fall to an unacceptable level with a long-term impact on the financial viability of the PCC and Force Reduced resilience of policing services Reduction in availability and visibility of local policing Decreased public confidence | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Risk Appetite Rationale: | <ul style="list-style-type: none"> The current risk of not achieving a balanced budget in April 2016: risk is set at impact of 4 (major) multiplied by likelihood of 1 (remote) The aim is to reduce the residual score down to 4 (impact of 4 (major) multiplied by a probability rating of 1 (remote)). | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Controls: <i>What are we currently doing about the risk?</i> | Mitigating Actions: <i>What more could we do?</i> <ul style="list-style-type: none"> Detailed and proactive medium-term financial planning to 2019/20 Detailed and realistic budgeting with ownership by budget holders in a collaborative and open process Careful capital and estates planning to ensure viability and divestment/leasing out of assets not used or underutilised Collaboration between Bedfordshire, Cambridgeshire and Hertfordshire Cautious approach to recognition and dependence on collaboration savings Rollout of technology (Athena, Metis and tuServ) to achieve new and more efficient ways of working to realise savings and maintain visibility of policing MTFP modelling based on different CSR scenarios Section 22 agreement includes escalation of strategic risks clause to cover, amongst other risks, the financial unviability of a collaboration partner | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Assurances: <i>How do we know if the things we are doing are having an impact?</i> | Gaps in Assurance: <i>What additional assurances should we seek?</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| External / Independent: HMIC PEEL reviews, use of external and internal audit, Police and Crime Panel Internal: Force Executive Board, Finance Sub-Group, Estates Sub-Group, Business Co-ordination Board, Joint Audit Committee, Performance Framework | <ul style="list-style-type: none"> Continued horizon-scanning for new and emerging cost pressures Analysis of allocation of savings and costs in collaborated functions Ongoing review of financial health of other partners with escalation if necessary | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Current Performance: <i>With these actions taken, how serious is the problem?</i> | Outstanding Actions Complete By: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <ul style="list-style-type: none"> OPCC and Force are used to the new financial reality after several years of austerity, but process is becoming more difficult as ongoing savings are required to achieve financial stability in later years. Risk is likely to become high. | 1.3.2016 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Risk RAG Rating: RED | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

BOARD ASSURANCE FRAMEWORK 2015/16 – Strategic Risk Register – Continue to tackle crime and disorder

| | | | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| Risk: | There is the potential that policing resources could be insufficient to tackle crime and disorder | | |
| Proximity: | 12 months | | |
| Police and Crime Plan Objective: | Continue to tackle crime and disorder (objective 3) | | |
| HMIC PEEL Domain | Effectiveness | | |
| Accountability Lead: | Police and Crime Commissioner/Chief Constable | | |
| Date of Entry: | 01/03/2015 | | |
| Date of Review: | 17/11/2015 | | |
| Risk Rating: <i>Impact x likelihood</i> Current rating is impact of 3 (significant) multiplied by likelihood of 2 (possible) | <p>The chart displays a horizontal timeline from May-15 to Jan-17. A blue line represents the 'Current Risk Score', which remains flat at approximately 6 from May-15 to Dec-15, then continues through Jan-16 to Jan-17. A red line represents the 'Risk Appetite', which is also flat at approximately 4 from May-15 to Dec-15, then continues through Jan-16 to Jan-17. A green bar represents the 'Unmitigated Risk Score 2017', which is currently at 0 and is projected to rise to approximately 9 by January 2017.</p> | | |
| Cause: | <ul style="list-style-type: none"> Policing resources are not appropriately targeted. The focus on vulnerability has the potential to reduce resources available to respond to other types of crime. Against the backdrop of reducing resources there is the risk that the scale and effectiveness of crime prevention work is insufficient to reduce crime leading to demand outstripping resources leading to further increases in crime. There is the risk that the lack of a shared strategic vision amongst community safety and criminal justice agencies as to the best way to tackle crime and disorder within the decreased resources available reduces efficiencies that could be achieved through collaboration and partnership working. Unfettered increases in criminals exploiting technological advances has the potential for demands on policing to outstrip resources available | | |
| Impact: | <ul style="list-style-type: none"> If work to reduce crime is ineffective against a backdrop of austerity policing resources could become insufficient to meet demand. | | |
| Rationale for Risk Appetite: | <ul style="list-style-type: none"> Risk appetite is low as this is crucial in achieving a wide range of objectives. | | |
| Controls: <i>What are we currently doing about the risk?</i> | Mitigating Actions: <i>What more could we do?</i> <ul style="list-style-type: none"> Comprehensive PESTLE analysis/strategic assessment informs updates of Police and Crime Plan Review of new performance monitoring framework at end of first year Strengthen effectiveness and resilience of CSPs in order to create strong local partnerships which learn from good practice in other areas in order to maximise their impact on local crime and disorder issue Improve tactical response (exploration of the use of deferred prosecutions) and strategic planning with Health and Wellbeing Board in order to meet the needs of offenders and reduce crime building on the work of the mental health concordat, DAAT and IOM. Explore the impact of blue light collaboration on local community safety work Work through the Public Service Board to explore the benefits of devolution Community resilience Implementation of BeNCH reducing offending strategy Implementation and monitoring of new computer enabled crime strategy | | |
| Assurances: <i>How do we know if the things we are doing are having an impact?</i> | Gaps in Assurance: <i>What additional assurances should we seek?</i> <ul style="list-style-type: none"> Partnership scrutiny of Cambridgeshire wide cross cutting community safety issues | | |
| External / Independent <ul style="list-style-type: none"> HMIC PEEL inspection Internal <ul style="list-style-type: none"> Performance monitoring Grant outcome monitoring | | | |
| Current Performance: <i>With these actions taken, how serious is the problem?</i> | Outstanding Actions Complete By: • Future budget uncertainties across the public sector and increasing complexity of cases means that this is likely to remain a significant risk 1.4.2016 | | |
| Risk RAG Rating for 2016/17: RED | | | |

BOARD ASSURANCE FRAMEWORK 2015/16 – Strategic Risk Register – Keeping Vulnerable People Safe

| Risk: | That the Constabulary cannot meet the increasing demand for policing services to keep vulnerable people safe. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|-----------------------------|-------|--------------------|---------------|-----------------------------|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|----|--------|-----|---|----|--------|---|---|----|--------|---|---|----|--------|---|---|----|--------|---|---|----|--------|---|---|----|--------|---|---|----|--------|---|---|----|--------|---|---|----|--------|---|---|----|--------|---|---|----|--------|---|---|----|--------|---|---|----|--------|---|---|----|
| Proximity: | 12 months | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Police and Crime Plan Objective: | Keeping people safe | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| HMIC PEEL Domain | Efficiency and effectiveness | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Accountability Lead: | Police and Crime Commissioner | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Date of Entry: | 01/03/2015 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Date of Review: | 24/11/2015 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Risk Rating: <i>Impact x likelihood</i> Current rating is impact of 3 (significant) multiplied by likelihood of 3 (probable) | <p>The chart displays three horizontal lines representing risk scores over time. The x-axis shows months from May 2015 to January 2017. The y-axis ranges from 0 to 16. The 'Current Risk Score' (blue line) starts at approximately 9 in May 2015 and remains relatively flat until November 2015, then rises slightly to about 9.5. The 'Risk Appetite' (red line) is consistently at 6. The 'Unmitigated Risk Score 2017' (green line) starts at 12 in November 2015 and remains constant through January 2017.</p> <table border="1"> <thead> <tr> <th>Month</th> <th>Current Risk Score</th> <th>Risk Appetite</th> <th>Unmitigated Risk Score 2017</th> </tr> </thead> <tbody> <tr><td>May-15</td><td>9</td><td>6</td><td>-</td></tr> <tr><td>Jun-15</td><td>9</td><td>6</td><td>-</td></tr> <tr><td>Jul-15</td><td>9</td><td>6</td><td>-</td></tr> <tr><td>Aug-15</td><td>9</td><td>6</td><td>-</td></tr> <tr><td>Sep-15</td><td>9</td><td>6</td><td>-</td></tr> <tr><td>Oct-15</td><td>9</td><td>6</td><td>-</td></tr> <tr><td>Nov-15</td><td>9</td><td>6</td><td>12</td></tr> <tr><td>Dec-15</td><td>9.5</td><td>6</td><td>12</td></tr> <tr><td>Jan-16</td><td>-</td><td>6</td><td>12</td></tr> <tr><td>Feb-16</td><td>-</td><td>6</td><td>12</td></tr> <tr><td>Mar-16</td><td>-</td><td>6</td><td>12</td></tr> <tr><td>Apr-16</td><td>-</td><td>6</td><td>12</td></tr> <tr><td>May-16</td><td>-</td><td>6</td><td>12</td></tr> <tr><td>Jun-16</td><td>-</td><td>6</td><td>12</td></tr> <tr><td>Jul-16</td><td>-</td><td>6</td><td>12</td></tr> <tr><td>Aug-16</td><td>-</td><td>6</td><td>12</td></tr> <tr><td>Sep-16</td><td>-</td><td>6</td><td>12</td></tr> <tr><td>Oct-16</td><td>-</td><td>6</td><td>12</td></tr> <tr><td>Nov-16</td><td>-</td><td>6</td><td>12</td></tr> <tr><td>Dec-16</td><td>-</td><td>6</td><td>12</td></tr> <tr><td>Jan-17</td><td>-</td><td>6</td><td>12</td></tr> </tbody> </table> | | | Month | Current Risk Score | Risk Appetite | Unmitigated Risk Score 2017 | May-15 | 9 | 6 | - | Jun-15 | 9 | 6 | - | Jul-15 | 9 | 6 | - | Aug-15 | 9 | 6 | - | Sep-15 | 9 | 6 | - | Oct-15 | 9 | 6 | - | Nov-15 | 9 | 6 | 12 | Dec-15 | 9.5 | 6 | 12 | Jan-16 | - | 6 | 12 | Feb-16 | - | 6 | 12 | Mar-16 | - | 6 | 12 | Apr-16 | - | 6 | 12 | May-16 | - | 6 | 12 | Jun-16 | - | 6 | 12 | Jul-16 | - | 6 | 12 | Aug-16 | - | 6 | 12 | Sep-16 | - | 6 | 12 | Oct-16 | - | 6 | 12 | Nov-16 | - | 6 | 12 | Dec-16 | - | 6 | 12 | Jan-17 | - | 6 | 12 |
| Month | Current Risk Score | Risk Appetite | Unmitigated Risk Score 2017 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| May-15 | 9 | 6 | - | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jun-15 | 9 | 6 | - | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jul-15 | 9 | 6 | - | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Aug-15 | 9 | 6 | - | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Sep-15 | 9 | 6 | - | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Oct-15 | 9 | 6 | - | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Nov-15 | 9 | 6 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Dec-15 | 9.5 | 6 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jan-16 | - | 6 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Feb-16 | - | 6 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mar-16 | - | 6 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Apr-16 | - | 6 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| May-16 | - | 6 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jun-16 | - | 6 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jul-16 | - | 6 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Aug-16 | - | 6 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Sep-16 | - | 6 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Oct-16 | - | 6 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Nov-16 | - | 6 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Dec-16 | - | 6 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jan-17 | - | 6 | 12 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Cause: | <ul style="list-style-type: none"> Inefficient criminal justice system leads to increase in discontinuance at court; this in turn affects victims' ability to cope and recover and all agencies' ability to effectively manage offenders National frameworks prevent innovative local thinking to tackle demand placed on services by troubled families Increased trust and confidence in the police leads to an increase in reporting of both crimes and incidents from vulnerable people; this increase in demand puts a strain on police and partnership resources to respond. Agencies (both statutory and non-statutory) retract both upstream preventative work to keep vulnerable people safe and downstream and non-statutory reactive support services as a result of funding cuts across the public sector. Lack of clarity of each agency's statutory responsibility for vulnerable adults and weak county-wide strategic partnership working impacts on the collective ability to keep people safe. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Impact: | <ul style="list-style-type: none"> That keeping vulnerable people safe becomes the police's responsibility and the policing resource is insufficient to respond to all but the highest risk cases. The focus moves from preventative work to reacting to calls for urgent help: police is often not the right service to provide the right support at that time Best practice identified from Serious Case Reviews cannot be implemented and failures in service delivery continue which lead to preventable adverse incidents. Poorly co-ordinated interagency responses to the needs of vulnerable victims = increased cost to the public purse. Reduction in the ability of all agencies to safeguard the public. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Rationale for Risk Appetite: | <ul style="list-style-type: none"> Appetite is set low as keeping people safe by preventing crime and disorder is a key Peelian Principle. However, there is a recognition that some level of risk will be inevitable, so an appetite of 6 is deemed to be acceptable. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Controls: <i>What are we currently doing about the risk?</i> | Mitigating Actions: <i>What more could we do?</i> <ul style="list-style-type: none"> Medium Term Financial Plan – securing spend to keep people safe Close operational partnership working via MAPPA / MASH / MARAC Partnership structures - DAAT, Domestic Abuse Governance Structures, Safeguarding Board, Cambridgeshire and Peterborough Mental Health Crisis Care Concordat Declaration and Delivery Group Implementation of inter-agency Victim Strategy including creation of a Victims' Hub Implementation of findings from Domestic Violence Homicide Reviews and Serious Case Reviews Evidence based (needs assessments) commissioning and co-commissioning TRiM approach to supporting staff dealing with traumatic incidents Transition planning | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Assurances: <i>How do we know if the things we are doing are having an impact?</i> | Gaps in Assurance: <i>What additional assurances should we seek?</i> <ul style="list-style-type: none"> Quality mark for victims' services (work ongoing to look at these with Northants Institute) That our work aligns with the 'What works' for policing (College of Policing) That our work aligns with the 'What works' for crime reduction (Early Intervention Foundation) Implementation of HMIC recommendations within the context of our strategy for keeping vulnerable people safe | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| External / Independent <ul style="list-style-type: none"> DVHRS and Serious Case Reviews to ensure lessons are learnt HMIC Inspections / College of Policing Peer Reviews Independent evaluation (such as CAADA – now Safelives – independent reports) Meeting Restorative Justice Council six quality standards Ofsted Victim satisfaction and feedback Offending and re-offending rates Feedback from public on service provided Internal <ul style="list-style-type: none"> Effective contract monitoring (outcome-based performance measures - both qualitative and quantitative - and feedback from service users) Partner engagement and commitment to initiatives Steering groups for each area of work | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

| | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-----------------------------------------|
| Current Performance: <i>With these actions taken, how serious is the problem? (mitigated longer term risk)</i> | Outstanding Actions Complete By: |
| • Continued budget uncertainties and lack of clarity and ownership of each agency's statutory responsibilities means this is likely to remain high risk even with mitigations in place. | 1.03.2016 |
| Risk RAG Rating: RED | |

DRAFT

DRAFT - BOARD ASSURANCE FRAMEWORK 2015/16 – Collaboration

| Risk: | Failure to maximise the benefits of collaboration. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|-----------------------------|---------------|-----------------------------|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|---|---|---|--------|-----|---|---|--------|-----|---|---|--------|-----|---|---|--------|-----|---|---|--------|-----|---|---|--------|-----|---|---|--------|-----|---|---|--------|-----|---|---|--------|-----|---|---|--------|-----|---|---|--------|-----|---|---|--------|-----|---|---|--------|-----|---|---|--------|-----|---|---|--------|-----|---|---|
| Proximity: | 12 months | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Police and Crime Plan Objective: | Delivering Policing with the available budget Resilience of Protective Services | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| HMIC PEEL Domain | Efficiency and Effectiveness | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Accountability Lead: | Police and Crime Commissioner(s)/Chief Constable(s) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Date of Entry: | 01/03/2015 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Date of Review: | 20/11/2015 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Risk Rating: <i>Impact x likelihood</i> Current rating is impact of 4 (major) multiplied by likelihood of 2 (probable) | <p>The chart displays three horizontal lines representing risk metrics over time. The x-axis shows months from March 2015 to January 2017. The y-axis ranges from 0 to 16. The 'Current risk score' (blue line) starts at approximately 8 in Mar-15 and remains flat until Nov-15, then drops slightly to about 7.5. The 'Risk Appetite' (red line) is constant at 4 from Mar-15 to Dec-16. The 'Unmitigated risk score 2017' (green line) is also constant at 4 from Mar-15 to Dec-16.</p> <table border="1"> <thead> <tr> <th>Month</th> <th>Current risk score</th> <th>Risk Appetite</th> <th>Unmitigated risk score 2017</th> </tr> </thead> <tbody> <tr><td>Mar-15</td><td>8</td><td>4</td><td>4</td></tr> <tr><td>Apr-15</td><td>8</td><td>4</td><td>4</td></tr> <tr><td>May-15</td><td>8</td><td>4</td><td>4</td></tr> <tr><td>Jun-15</td><td>8</td><td>4</td><td>4</td></tr> <tr><td>Jul-15</td><td>8</td><td>4</td><td>4</td></tr> <tr><td>Aug-15</td><td>8</td><td>4</td><td>4</td></tr> <tr><td>Sep-15</td><td>8</td><td>4</td><td>4</td></tr> <tr><td>Oct-15</td><td>8</td><td>4</td><td>4</td></tr> <tr><td>Nov-15</td><td>7.5</td><td>4</td><td>4</td></tr> <tr><td>Dec-15</td><td>7.5</td><td>4</td><td>4</td></tr> <tr><td>Jan-16</td><td>7.5</td><td>4</td><td>4</td></tr> <tr><td>Feb-16</td><td>7.5</td><td>4</td><td>4</td></tr> <tr><td>Mar-16</td><td>7.5</td><td>4</td><td>4</td></tr> <tr><td>Apr-16</td><td>7.5</td><td>4</td><td>4</td></tr> <tr><td>May-16</td><td>7.5</td><td>4</td><td>4</td></tr> <tr><td>Jun-16</td><td>7.5</td><td>4</td><td>4</td></tr> <tr><td>Jul-16</td><td>7.5</td><td>4</td><td>4</td></tr> <tr><td>Aug-16</td><td>7.5</td><td>4</td><td>4</td></tr> <tr><td>Sep-16</td><td>7.5</td><td>4</td><td>4</td></tr> <tr><td>Oct-16</td><td>7.5</td><td>4</td><td>4</td></tr> <tr><td>Nov-16</td><td>7.5</td><td>4</td><td>4</td></tr> <tr><td>Dec-16</td><td>7.5</td><td>4</td><td>4</td></tr> <tr><td>Jan-17</td><td>7.5</td><td>4</td><td>4</td></tr> </tbody> </table> | Month | Current risk score | Risk Appetite | Unmitigated risk score 2017 | Mar-15 | 8 | 4 | 4 | Apr-15 | 8 | 4 | 4 | May-15 | 8 | 4 | 4 | Jun-15 | 8 | 4 | 4 | Jul-15 | 8 | 4 | 4 | Aug-15 | 8 | 4 | 4 | Sep-15 | 8 | 4 | 4 | Oct-15 | 8 | 4 | 4 | Nov-15 | 7.5 | 4 | 4 | Dec-15 | 7.5 | 4 | 4 | Jan-16 | 7.5 | 4 | 4 | Feb-16 | 7.5 | 4 | 4 | Mar-16 | 7.5 | 4 | 4 | Apr-16 | 7.5 | 4 | 4 | May-16 | 7.5 | 4 | 4 | Jun-16 | 7.5 | 4 | 4 | Jul-16 | 7.5 | 4 | 4 | Aug-16 | 7.5 | 4 | 4 | Sep-16 | 7.5 | 4 | 4 | Oct-16 | 7.5 | 4 | 4 | Nov-16 | 7.5 | 4 | 4 | Dec-16 | 7.5 | 4 | 4 | Jan-17 | 7.5 | 4 | 4 |
| Month | Current risk score | Risk Appetite | Unmitigated risk score 2017 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mar-15 | 8 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Apr-15 | 8 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| May-15 | 8 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jun-15 | 8 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jul-15 | 8 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Aug-15 | 8 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Sep-15 | 8 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Oct-15 | 8 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Nov-15 | 7.5 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Dec-15 | 7.5 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jan-16 | 7.5 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Feb-16 | 7.5 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mar-16 | 7.5 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Apr-16 | 7.5 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| May-16 | 7.5 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jun-16 | 7.5 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jul-16 | 7.5 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Aug-16 | 7.5 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Sep-16 | 7.5 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Oct-16 | 7.5 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Nov-16 | 7.5 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Dec-16 | 7.5 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jan-17 | 7.5 | 4 | 4 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Cause: | <ul style="list-style-type: none"> Opportunities for collaboration are not identified and implemented The approach to collaboration does not maximise the benefits achievable Financial unviability of one partner threatens entire collaboration Emerging regional collaboration fails to begin on right planning, governance and financial footing | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Impact: | <ul style="list-style-type: none"> If collaboration opportunities are not identified and implemented: <ul style="list-style-type: none"> Resilience of services is diminished Potential savings are not realised. If the approach to collaboration does not maximise the benefits achievable this can: <ul style="list-style-type: none"> Reduce the effectiveness and efficiency of the service which is collaborated Reduce the effectiveness and efficiency of other collaborated services Reduce the effectiveness and efficiency of services which are not collaborated including local policing. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Rationale for Risk Appetite: | <ul style="list-style-type: none"> The aim is to reduce the residual score down to 4 (impact of 4 multiplied by a probability rating of 1 (remote)). | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Controls: <i>What are we currently doing about the risk?</i> | Mitigating Actions: <i>What more could we do?</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <ul style="list-style-type: none"> Requirement for detailed Outline and Full Business Cases Rolling out Program Metis via tuServe promoting transformational IT driven cultural change. External Gateway Reviews (Concerto) Reconciliation of savings with MTFP Fully funded collaboration team in place responsible for effective project management and overall programme management Shared scheme of financial delegation Careful drafting of section 22 agreements including specific clause to cover escalation of strategic risks where necessary | <ul style="list-style-type: none"> Continued refinement of the business case process Continued refinement of local term savings delivery schedule to enable MTFP planning and correct definition of risk appetite Improved benefits realisation processes that also consider impact on local policing Continued work to define future visions of collaboration across policing and wider public sector collaboration with improved Continued development of governance systems Continued development of performance management and monitoring arrangements for collaborated function Ensure section 22s are completed and updated in a timely way | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Assurances: <i>How do we know if the things we are doing are having an impact?</i> | Gaps in Assurance: <i>What additional assurances should we seek?</i> | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| External / Independent <ul style="list-style-type: none"> Internal audit Concerto Gateway Review (RSM review of financial models) Engagement with stakeholders and public Internal <ul style="list-style-type: none"> Robust governance structures and processes Staff surveys (both collaboration and local) | <ul style="list-style-type: none"> Direct PCCs involvement in lead force / OPCC governance arrangements Link with devolution agenda as it gathers pace to ensure no gaps or conflicts | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Current Performance: <i>With these actions taken, how serious is the problem?</i> | Outstanding Actions Complete By: | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| <ul style="list-style-type: none"> If all business case come to the required standard and are approved risks will be significantly reduced. | 1.03.2016 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Risk RAG Rating: RED | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |

BOARD ASSURANCE FRAMEWORK 2015/16 – Strategic Risk Register – meeting statutory duties

| | | | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|--|
| Risk: | Potential changes in governance arrangements constrain the capacity of the Office of the Police and Crime Commissioner to carry out its statutory duties | | |
| Proximity: | 12 months | | |
| Police and Crime Plan Objective: | (Holding to account) | | |
| HMIC PEEL Domain | Effectiveness, Efficiency, Legitimacy | | |
| Accountability Lead: | Chief Executive | | |
| Date of Entry: | 01/03/2015 | | |
| Date of Review: | 17/11/15 | | |
| Risk Rating: <i>Impact x likelihood</i> Current rating is impact of 3 (significant) multiplied by likelihood of 2 (possible) | <p>The graph displays three horizontal lines representing risk metrics over time. The x-axis shows months from Mar-15 to Jan-17. The y-axis ranges from 0 to 16. The 'Current Risk Score' (blue line) starts at approximately 6 and remains flat until Dec-15, then drops to about 5.5 and stays flat through Jan-17. The 'Risk Appetite' (red line) starts at approximately 6 and remains flat until Dec-15, then drops to about 5.5 and stays flat through Jan-17. The 'Unmitigated Risk Score 2017' (green line) starts at approximately 9 and remains flat through Dec-16, then drops to about 8.5 and stays flat through Jan-17.</p> | | |
| Cause: | <ul style="list-style-type: none"> Evolving governance roles relating to collaborated functions could impact on the effectiveness of governance and decision-making processes Without effective governance and decision-making processes, a change in Police and Crime Commissioner following elections could impact on their ability to fulfil their statutory functions effectively An increase in functions of the Police and Crime Commissioner could impact on their ability to fulfil their statutory functions | | |
| Impact: | <ul style="list-style-type: none"> Without effective governance and decision-making processes relevant legal duties may not be met. This could also undermine public confidence | | |
| Rationale for Risk Appetite: | <ul style="list-style-type: none"> Scoring is based around an impact of Significant (3) and likelihood at Possible (2). Focus is on reducing the likelihood to remote (1). Appetite is medium as the focus is on resources for the front line but good governance is important in enabling effective policing | | |
| Controls: <i>What are we currently doing about the risk?</i> | Mitigating Actions: <i>What more could we do?</i> <ul style="list-style-type: none"> Continue to develop governance processes to meet needs of collaboration | | |
| Assurances: <i>How do we know if the things we are doing are having an impact?</i> | Gaps in Assurance: <i>What additional assurances should we seek?</i> <ul style="list-style-type: none"> Succession planning arrangements | | |
| External / Independent <ul style="list-style-type: none"> Joint Audit Committee Police and Crime Panel Internal <ul style="list-style-type: none"> Internal Audit | | | |
| Current Performance: <i>With these actions taken, how serious is the problem?</i> | Outstanding Actions Complete By: Uncertainty over breadth of functions; the ongoing development of collaboration and Police and Crime Commissioner elections in 2016 mean that this continues to be a risk for the foreseeable future 1.4.2016 | | |
| Risk RAG Rating for 2016/17: RED | | | |

BOARD ASSURANCE FRAMEWORK 2015/16 – Strategic Risk Register – Integrity

| Risk: | Misconduct within policing undermines public confidence | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------|-----------------------------|------|--------------------|---------------|-----------------------------|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|--|--------|---|---|---|--------|---|---|---|
| Proximity: | 12 months | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Police and Crime Plan Objective: | (Integrity) | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| HMIC PEEL Domain | Legitimacy | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Accountability Lead: | Chief Constable | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Date of Entry: | 01/03/2015 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Date of Review: | 17/11/2015 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Risk Rating: <i>Impact x likelihood</i> Current rating is impact of 3 (significant) multiplied by likelihood of 3 (possible) | <table border="1"> <caption>Data for Risk Rating Line Chart</caption> <thead> <tr> <th>Date</th> <th>Current Risk Score</th> <th>Risk Appetite</th> <th>Unmitigated Risk Score 2017</th> </tr> </thead> <tbody> <tr><td>Mar-15</td><td>9</td><td>6</td><td></td></tr> <tr><td>Apr-15</td><td>9</td><td>6</td><td></td></tr> <tr><td>May-15</td><td>9</td><td>6</td><td></td></tr> <tr><td>Jun-15</td><td>9</td><td>6</td><td></td></tr> <tr><td>Jul-15</td><td>9</td><td>6</td><td></td></tr> <tr><td>Aug-15</td><td>9</td><td>6</td><td></td></tr> <tr><td>Sep-15</td><td>9</td><td>6</td><td></td></tr> <tr><td>Oct-15</td><td>9</td><td>6</td><td></td></tr> <tr><td>Nov-15</td><td>9</td><td>6</td><td></td></tr> <tr><td>Dec-15</td><td>9</td><td>6</td><td></td></tr> <tr><td>Jan-16</td><td>9</td><td>6</td><td></td></tr> <tr><td>Feb-16</td><td>9</td><td>6</td><td></td></tr> <tr><td>Mar-16</td><td>9</td><td>6</td><td></td></tr> <tr><td>Apr-16</td><td>3</td><td>3</td><td></td></tr> <tr><td>May-16</td><td>3</td><td>3</td><td></td></tr> <tr><td>Jun-16</td><td>3</td><td>3</td><td></td></tr> <tr><td>Jul-16</td><td>3</td><td>3</td><td></td></tr> <tr><td>Aug-16</td><td>3</td><td>3</td><td></td></tr> <tr><td>Sep-16</td><td>3</td><td>3</td><td></td></tr> <tr><td>Oct-16</td><td>3</td><td>3</td><td></td></tr> <tr><td>Nov-16</td><td>3</td><td>3</td><td></td></tr> <tr><td>Dec-16</td><td>3</td><td>3</td><td>9</td></tr> <tr><td>Jan-17</td><td>3</td><td>3</td><td>9</td></tr> </tbody> </table> | | | Date | Current Risk Score | Risk Appetite | Unmitigated Risk Score 2017 | Mar-15 | 9 | 6 | | Apr-15 | 9 | 6 | | May-15 | 9 | 6 | | Jun-15 | 9 | 6 | | Jul-15 | 9 | 6 | | Aug-15 | 9 | 6 | | Sep-15 | 9 | 6 | | Oct-15 | 9 | 6 | | Nov-15 | 9 | 6 | | Dec-15 | 9 | 6 | | Jan-16 | 9 | 6 | | Feb-16 | 9 | 6 | | Mar-16 | 9 | 6 | | Apr-16 | 3 | 3 | | May-16 | 3 | 3 | | Jun-16 | 3 | 3 | | Jul-16 | 3 | 3 | | Aug-16 | 3 | 3 | | Sep-16 | 3 | 3 | | Oct-16 | 3 | 3 | | Nov-16 | 3 | 3 | | Dec-16 | 3 | 3 | 9 | Jan-17 | 3 | 3 | 9 |
| Date | Current Risk Score | Risk Appetite | Unmitigated Risk Score 2017 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mar-15 | 9 | 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Apr-15 | 9 | 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| May-15 | 9 | 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jun-15 | 9 | 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jul-15 | 9 | 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Aug-15 | 9 | 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Sep-15 | 9 | 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Oct-15 | 9 | 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Nov-15 | 9 | 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Dec-15 | 9 | 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jan-16 | 9 | 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Feb-16 | 9 | 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Mar-16 | 9 | 6 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Apr-16 | 3 | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| May-16 | 3 | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jun-16 | 3 | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jul-16 | 3 | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Aug-16 | 3 | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Sep-16 | 3 | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Oct-16 | 3 | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Nov-16 | 3 | 3 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Dec-16 | 3 | 3 | 9 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Jan-17 | 3 | 3 | 9 | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Cause: | <ul style="list-style-type: none"> Increased reliance on technology and decreased levels of staff supervision increases the reliance on the professional judgement of individuals to do the right thing and make the right decisions Capacity issues in PSD and an increased level of complaints could constrain its ability to proactively identify risks and undertake proactive investigations Serious cases and Misconduct Panels held in public could increase publicity of misconduct issues | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Impact: | <ul style="list-style-type: none"> If there is an increase in cases, or in the severity of cases and/or increased publicity of misconduct issues this could adversely impact on public confidence | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Rationale for Risk Appetite: | <ul style="list-style-type: none"> Scoring is based around an impact of Significant (3) and likelihood at Probable (3). Focus is on reducing the likelihood, to possible (2) and then down to remote (1). Appetite is medium as the focus is on resources for the front line but the importance of building public confidence is important in enabling effective policing | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Controls: <i>What are we currently doing about the risk?</i> | Mitigating Actions: <i>What more could we do?</i> <ul style="list-style-type: none"> The Professional Standards Department (PSD) undertakes proactive and reactive investigations; manages misconduct and complaints against the Constabulary and builds professional capacity through lessons learned reports Monitoring impact of increased resources for PSD Ensure that ethical cultural expectations are reinforced alongside changes in working practices Development of customer service unit could assist with demand management Ensure that PSD is able to undertake appropriate proactive work as necessary | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Assurances: <i>How do we know if the things we are doing are having an impact?</i> | Gaps in Assurance: <i>What additional assurances should we seek?</i> <ul style="list-style-type: none"> Analysis of organisational patterns of behaviour | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| External / Independent <ul style="list-style-type: none"> IPCC reports and meetings HMIC PEEL inspection Joint Audit Committee – Integrity Sub-Committee Internal <ul style="list-style-type: none"> PSD Governance Board PSD Alliance Subgroup Internal Audit Integrity Advisory Group | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Current Performance: <i>With these actions taken, how serious is the problem?</i> | Outstanding Actions Complete By: 1.4.2016 <ul style="list-style-type: none"> Availability of resources could continue to constrain PSD ability to undertake proactive investigations. Serious cases continue to emerge. | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |
| Risk RAG Rating for 2016/17: RED | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | | |