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Date : 6 January 2026

To: ALL MEMBERS OF THE JOINT AUDIT COMMITTEE

- i. Zoe Rice (Chair), John Vanstone, James Madsen, Nassir Mahmood
- ii. Chief Constable (“CC”), CFO for CC and Relevant Officers
- iii. The Police & Crime Commissioner (“PCC”)
- iv. The CFO and CEO for the PCC
- v. External and Internal Auditors

Dear Member

NOTICE OF MEETING

You are invited to a meeting of the **Joint Audit Committee** to be held online via Microsoft Teams, Police and Fire HQ at **13:00 on 16 January 2026**.

Joint Audit Committee Members are invited to attend a pre-meeting at 10:00 and a Members Briefing session at 11:00, both also online.

The agenda for the meeting is set out overleaf.

Yours sincerely

Vicky Ellis
Secretariat Manager
Office of the Police and Crime Commissioner

INFORMATION ABOUT THIS MEETING

(i) Car Parking Provision

N/A – meeting being held via Teams

(ii) Wheelchair Access

N/A – meeting being held via Teams

(iii) Emergency Evacuation Procedure

N/A – meeting being held via Teams

(iv) If you have any questions about this meeting, require special facilities to enable you to attend. If you wish to inspect Minutes, reports, or a list of the background papers relating to any item on this agenda, please contact:

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(v) REPORT NUMBERS CORRESPOND TO AGENDA NUMBER

AGENDA

16 January 2025, 13:00 – 16:00

1. Apologies for Absence

2. Emergency Evacuation Procedure

The emergency evacuation procedure for each call participant will be left for them to determine.

3. Declarations of Gifts/Offers of Hospitality

To remind Members of the need to record any personal interests or any **prejudicial interest** relating to the agenda and disclose any relevant receipt of offering of gifts or hospitality

4. Public Access

(maximum time allocated for this item is 30 minutes)

Any member of the public wanting to attend a JAC meeting must submit a written application and secure written agreement of the JAC Chair.

Statements and/or intentions to attend must be received no later than 12.00 noon on the working day prior to the meeting and should be emailed to

JAC@avonandsomerset.pnn.police.uk

The JAC Chair reserves the right to refuse or suspend access if there is any security risk to the public or a member of the public's behaviour is disruptive in any manner. A member of the public may only address the meeting, for a maximum of five minutes, where a statement has been previously provided to the JAC Chair and prior sanction has been granted.

5. Minutes of the Joint Audit Committee Meeting held on 24 September 2025 (Report 5) 13:00

6. Organisational and JAC Updates

7. Risk (Report 7)

- a) Office of the Police and Crime Commissioner Strategic Risk Register
- b) Constabulary Strategic Risk Register and Verbal Organisational Risk Update from the Chief Constable (Chief Financial Officer)
- c) ERP

8. External Audit (Report 8)

- a) Audit Progress Report

Break 14:30 - 14:40

9. Internal Audit: (Report 9)

- a) SWAP Quarterly Update
- b) Final Report - ASP Overtime and Shift Allowances
- c) ASP Benefit Realisation Final Audit Report

10. Inspections
a) HMICFRS (Oral Update)

11. Follow-ups (Report 11):
a) Armoury and Ammunition Management Follow Up - Final Audit Report

Part 2

Items for consideration without the press and public present

12. Internal Audit
a) Network Boundary Defences

13. Risk
a) IOPC Ongoing Investigations

POLICE AND CRIME COMMISSIONER FOR AVON AND SOMERSET**MINUTES OF THE JOINT AUDIT COMMITTEE (JAC) MEETING HELD ON WEDNESDAY 24 SEPTEMBER 2025 AT 13:00. MEETING HELD AT POLICE HQ AND ALSO VIRTUALLY VIA TEAMS.****Members in Attendance**

Zoe Rice
John Vanstone
James Madsen (Online)
Nassir Mahmood

Officers of the Constabulary in Attendance

Sarah Crew, Chief Constable
Jon Reilly, Deputy Chief Constable
Nick Adams, Chief Officer – Finance, Resources and Innovation
James Davis, Delivery Manager – Portfolio (online)
Nick Falconer, Delivery Manager – Transport Services
Nick Lilley, Director of Information Technology (part of the meeting)

Officers of the Office of the Police and Crime Commissioner (OPCC)

Paul Butler, OPCC Chief Finance Officer
Ben Valentine, OPCC Senior Performance and Governance Manager
Vicky Ellis, OPCC Secretariat Manager

Also in Attendance

Clare Moody, Police and Crime Commissioner
Juber Rahman, SWAP
Charlotte Wilson, SWAP
Julie Masci, Grant Thornton
Becky Greave, Grant Thornton

23. Apologies for Absence

No apologies had been received.

24. Emergency Evacuation Procedure

The emergency evacuation procedure for those in the Avon Room at Police and Fire HQ was shared. The procedure for each TEAMS call participant was left for them to determine.

25. Declarations of Interest / Gifts / Offers of Hospitality

There were no declarations of interest, gifts or offers of hospitality to declare.

16. Public Access

There had been no requests for public access received before the 12.00 noon deadline the working day prior to the meeting.

17. Minutes of the Joint Audit Committee (JAC) Meeting held on 2 July 2025 (Report 5)

RESOLVED THAT the minutes of the meeting held on 2 July 2025 were confirmed as a correct record.

Action update:

Minute 44 Box had been made available to trial. Would be used for JAC papers and any library papers Members need to access. The papers for the last two JAC meetings would be uploaded. **Close action.**

Minute 46 (ii) There is no direct linkage between the Constabulary Organisational Risk Register and Corporate (Strategic) Risk Register. The two separate documents and approaches are aimed at managing risk at either a tactical level or at an organisational level. Therefore, the number of themed organisational risks does not have any direct bearing on the construct of the corporate risk register and its risk scores. However, the PMO now has access to Co-Pilot to help facilitate an efficient check of Organisational Risk Register content to ensure key themes pertaining to service, finance, people, governance, information governance, confidence, digital and infrastructure can be easily identified and used as the starting point for the quarterly corporate risk conversations / reviews with Chief Officers. This new functionality has been tested by the PMO in September and can therefore be used for the first time as part of preparations for the Q3 corporate risk reviews scheduled for November.
Close action.

Minute 11 Written report on ASP progress against PEEL AFI's had been shared with Members. **Close action.**

Minute 19 Members to request a topic for their briefing in January.

Minute 20a In part picked up through Box and info sharing and ZR and PB have spoken about mechanisms for key updates being shared. Agreed that at the OPCC Weekly SLT meeting the PCC and team will identify items appropriate to share with Members. **Close action.**

Minute 20b (i) Members had submitted questions on the accounts. **Close action.**

Minute 20b (ii) Chair and OPCC CFO to discuss how the questions would be published.

Minute 22d Updates on ERP added to the agenda. **Close action.**

Minute 23c Written update on the actions in response to the Armoury and Ammunition Audit sent to Members. **Close action.**

Minute 23g Fleet Manager had provided a written report to Members as requested. **Close action.**

24. Office of the Police and Crime Commissioner (OPCC) Strategic Risk Register (Report 6)

The OPCC Chief Finance Officer highlighted the three risks within the OPCC Risk Register that had been reduced and provided the rationale behind these changes and shared details of the ongoing efforts to improve the risk management processes and scoring methodologies.

The Chair noted the review of the Joint Governance Framework and requested that Members be given the opportunity to see it.

Members queried an element on Strategic Risk 6 which related to lack of compliance by a provider and received an update on the mitigations in place to address the issues.

RESOLVED THAT Members would receive the draft Joint Governance Framework prior to finalisation.

25. **Constabulary Strategic Risk Register and Oral Organisational Risk Update from the Chief Constable (Report 7)**

The Chief Constable provided an oral update to provide some context to the Constabulary Risk Register, considering three factors from the external environment and three from the internal perspective.

Externally, the Chief Constable considered:

- Community Tensions and Policing Challenges – acknowledging the increasingly unsettled and combustible external environment, marked by rising hate crimes, community fear, and disinformation. The implications for policing were significant, particularly around protest facilitation and public scrutiny. The Chief considered the situation to be volatile, with the potential for rapid escalation, and highlighted the need to assess capacity and capability.
- Police Reform – The Chief noted the ongoing national discussions on Police Reform which was being led by the Home Office. The South West regional police forces were working together to prepare for reform, reviewing governance structures and exploring opportunities for joint working.
- Performance Regime – The Chief noted the Government's intention to introduce additional benchmarking mechanisms, which would align with inspectorate processes and involve varying levels of engagement.

Internally, the Chief shared areas of focus for her and her team:

- The scale and pace of change internally would be felt by the workforce and further details of the geographic changes to the operating model would be discussed later in the meeting.
- The work to strengthen leadership within ASP continued, to support the delivery of the five public outcomes. While progress was evident in some areas, performance in solving crimes for example remained in the bottom quartile, and there was focus and positive discussions underway to address this.
- Under the people focus, considerations were framed through five lenses: capacity, capability, wellbeing, morale, and culture. Efforts were underway to rebuild pride and improve morale, particularly by enhancing crime-solving outcomes.

Members raised a number of follow up questions and discussions on these are summarised here.

- Following ASP's declaration of Institutional Racism it was noted representation of diverse communities was still not reflected in the workforce and the Chief confirmed ASP were still working on improving this.
- Vetting practice and guidelines had been reviewed and strengthened, with the implementation of more robust processes, and ongoing integrity checks for existing staff to ensure staff met the high standards and values required.

- The importance of stress testing organisational plans, particularly in light of external risks and major internal change programmes was discussed and current approaches to strategic planning, crisis response, and financial resilience were outlined.
- The use of facial recognition technology was discussed, including the importance of stakeholder engagement and the need to address potential bias and any community concerns.

Members thanked ASP for the refinements that had already been made to the report and requested that ASP highlight where changes have been made since the last report.

RESOLVED THAT ASP would refine future risk register reports by highlighting new or changed key mitigants and indicating changes in risk assessment projections to help the committee focus on what has changed.

26. Annual Accounts and Governance Statement – responses to JAC Members Q&A (Report 8):

Members had received a written report with responses to their questions on the annual accounts and governance statement. The Committee had a detailed discussion on the different pension scheme assumptions for liabilities and the external auditors agreed to provide further clarification.

RESOLVED THAT:

- (i) The Q&A report would be published once Members had confirmed agreement of questions;
- (ii) Grant Thornton to clarify the rationale behind differing assumptions for Retail Pricing Index and Commercial Pricing Index in the police officer and local government pension schemes

27. External Audit (Report 9)

a) 2024-25 Joint Audit Findings Report

The External Auditors presented the external audit findings, highlighting findings that had been completed since the issue of the report. The Committee noted the finance team's good performance under the challenging circumstances.

The Committee discussed some specific issues such as pension liability overstatement and small adjustments on grants testing.

It was noted there would not be any additional fees raised in the final report for work on IFR16.

Members queried the risk management process in relation to journal entries ahead of the implementation of the new ERP system and were assured that budgetary management controls were in place.

RESOLVED THAT Members recommended approval of the accounts.

b) 2024-25 Joint Auditors Annual Report

The External Auditors presented their Annual Report which provided an assessment of the financial statements and value for money (VfM) arrangements for the Police and Crime Commissioner (PCC) and Chief Constable (CC) of Avon and Somerset for the year ending 31 March 2025. The auditors anticipated issuing an unqualified opinion on the financial statements, with no use of statutory powers required. The PCC and Constabulary were commended for strong financial sustainability, sound governance, and effective performance management. While no significant weaknesses were identified, two improvement recommendations were made: one to enhance oversight of Single Tender Actions in procurement, and another to strengthen monitoring and financial planning for the ERP system implementation. The report also reflected on areas for improvement highlighted by HMICFRS, particularly in safeguarding and offender management, though actions were underway to address these.

The Committee discussed the failings in the ERP programme including the significant cost increases, challenges in the implementation and issues with governance of the programme and the partner selection process. Members were advised there would be a full post-implementation review, and lessons had already been learned following reviews already undertaken.

The remaining reports were noted:

- c) Letter of Representation – Police and Crime Commissioner Group**
- d) Letter of Representation – Chief Constable**
- e) 2024/25 Statement of Accounts – update report**
- f) 2024/25 Group and PCC Financial Statements**
- g) 2024/25 Chief Constable Financial Statements**

RESOLVED THAT: Members would receive the monthly ERP programme reports to ensure ongoing oversight and risk monitoring.

28. Business from the JAC:

The Chair advised that the previous Chair had stood down from the role due to capacity issues following a change in his work. The Committee thanked him for all his work and contributions. An Interim Chair had been appointed until April 2026 and recruitment had commenced for a new Member to the Committee. Members were encouraged to promote the vacancy through their networks.

a) Governance and Scrutiny Board (GSB) Update

The Chief Finance Officer provided an update on the most recent GSB, which had included:

- a decision on the building works at Yeovil Police Station,
- the Medium Term Financial Plan,
- a Quarterly Update on Estates Asset Management
- discussion on the Neighbourhood Policing Guarantee and Safer Summer Streets Initiative

The Minutes of the meeting would be available on the website and key documents would be made available to Members via Box.

b) Change Programme Report – Geographic Alignment

Members received an update on the progress of Phase 1 of the Operating Model changes, the geographic realignment. There had been good engagement in the consultation process and the process. Members heard about the process of moving officers and the impact on the numbers of officers changing work location, shift pattern or both.

The Committee queried the management of the risks of the changes, seeking assurance there was sufficient oversight of these. ASP shared details of how they were seeking to mitigate the risks and support behavioural change. The Committee discussed the importance of cultural integration and risk-focused oversight.

It was noted the geographic realignment would bring ASP back in line with the structure many other police forces use and would address some comments made by HMICFRS.

c) PEEL Progress Report

Members had received a written report on progress against recommendations following the HMICFRS Inspection and noted the direction of travel appeared to be positive.

It was noted that a new round of PEEL Inspections had commenced and an update would be provided to Members when this was available.

29. Internal Audit (Report 11):

a) SWAP Quarterly Update Report

Members noted the report that had been received.

b) Proposed Internal Audit Plan for Q3 and Q4

SWAP highlighted the 6 proposed audits for Q3 and Q4 and the recommendations following discussions with ASP and OPCC and invited input from Members on the audit priorities.

Members discussed the appropriate use of SWAP for consultancy versus assurance and when internal reviews would be more efficient. Members noted the importance of ensuring the clarity of scope for audits.

RESOLVED THAT:

- i) the audit on Single Tender Actions would be removed from the plan and initial internal work to be undertaken by ASP
- ii) a future audit on the lessons learnt from ERP Implementation would be added to the list
- iii) an audit on workforce planning for ASP would be included

c) ASP Criminal Justice – Follow Up Report

ASP provided an update on the criminal justice improvements following the report. The Committee discussed the value in the audit and the follow up work and any lessons learned.

d) ASP Interpreters Value for Money - Final Report

SWAP had provided a Limited Assurance opinion in the ASP Interpreters Value for Money Final Report.

Members queried the financial impact and any other risks posed through the use of non-contracted interpreters. The new process introduced was expected to address the risks.

The Committee discussed the budget management and overspend that had been highlighted through the audit and the need for improved control was agreed.

The Committee discussed SWAP's approach to low response rates from ASP staff for audits and the escalation process.

It was noted that a Follow Up audit would be planned for the new financial year and was expected to be a regional audit. SWAP confirmed that they raise any serious concerns with other regional forces when identified, rather than waiting to complete an audit in that force.

e) ASP Evidential Property Stores Management - Final Report

SWAP had provided a Reasonable Assurance opinion in the ASP Evidential Property Stores Management Final Report.

The Committee discussed the grading of the report as Members were concerned about the Reasonable Assurance but with a higher number of Priority 1 and 2 Management Actions compared to other audits. SWAP advised the opinions given were based on a strategic level and took other information and findings into account, not just the recommendations.

RESOLVED THAT JAC Members would have a follow up conversation with SWAP around audit assessments at the next Pre-Meet.

f) Internal Audit Progress Review (ASP Report)

Members thanked ASP for the Report. Members were interested in the follow up to the Site Security Audit from 2019/20 and were advised the 3 remaining actions were in progress to be signed off and completed.

Members queried the sign off process, seeking to understand whether any improvements could be made. ASP worked with auditors to ensure that recommendations were clear on the work needed to resolve them.

g) Ammunition and Armoury – ASP Update

Members thanked ASP for the helpful paper, noting the greater level of oversight and monitoring that had been put in place and that the trend data showed a more positive position.

The Committee discussed the impact the Deputy Armourer role and weekly audits would have.

h) Fleet Manager Report – ASP Update

Members noted the report and due to time pressures, it was agreed that follow up questions could be submitted after the meeting.

DRAFT

ACTION SHEET

MINUTE NUMBER	ACTION NEEDED	RESPONSIBLE MEMBER/ OFFICER	DATE DUE
Minute 19 Constabulary Risk Register 2 July 2025	ASP would provide a 2 page summary document of their new geographical model and Members requested this as the topic for their December Pre-Meet. Update: December meeting moved to January and ASP do not have anyone available to speak to the geographic model – Members to advise of topic for the January Briefing – since agreed as below – audit assessments with SWAP	Delivery Manager - Portfolio	December 2025
Minute 20a Informing Risk Assessment 2 July 2025	It was agreed to explore ways to ensure Members receive the information they need in a timely and transparent manner. Update: This will be provided through Box initially – Members to provide feedback on this process.	CFOs	December 2025
Minute 20b (ii) Draft Annual Accounts and Governance Statement 2 July 2025	The Chair and the OPCC CFO would discuss how the questions would be published.	Chair	December 2025
Minute 24 OPCC Strategic Risk Register 24 September 2025	Members would receive the draft Joint Governance Framework prior to finalisation.	OPCC CFO	December 2025
Minute 25 (i) Constabulary Risk Register 24 September 2025	The Q&A Report would be published on the PCC's website	Secretariat Manager	December 2025
Minute 25 (ii) Constabulary Risk Register 24 September 2025	Grant Thornton to clarify the rationale behind differing assumptions for Retail Pricing Index and Commercial Pricing Index in the police officer and local government pension schemes	Grant Thornton	December 2025
Minute 27b Joint Auditors	Members would receive the monthly ERP programme reports presented at GSB to ensure ongoing oversight and	Delivery Manager - Portfolio	December 2025

Annual Report	risk monitoring.		
24 September 2025			
Minute 29b (i)			
Proposed Internal Audit Plan for Q3 and Q4	The audit on Single Tender Actions would be removed from the plan and initial internal work to be undertaken by ASP	SWAP	December 2025
24 September 2025			
Minute 29b (ii)			
Proposed Internal Audit Plan for Q3 and Q4	A future audit to provide an independent review of the lessons learned from ERP Implementation would be added to the audit plan with consideration given to appropriate timing	SWAP	December 2025
24 September 2025			
Minute 29b (iii)			
Proposed Internal Audit Plan for Q3 and Q4	An audit on workforce planning for ASP would be included	SWAP	December 2025
24 September 2025			
Minute 29e			
ASP Evidential Property Stores Management Final Report	JAC Members would have a follow up conversation with SWAP around audit assessments at the next Pre-Meet	SWAP/Members	December 2025
24 September 2025			

Office of the Police and Crime Commissioner for Avon and Somerset – Strategic Risk Register – December 2025

A Strategic Risk is anything that might impede the delivery of the organisational objectives. Risk management is the process by which these risks are identified, assessed and controlled. This risk register is the document which records these risks and related information.

Risk is assessed by considering the causes of the risk and the consequences if that risk were to happen. The scoring is therefore based on the likelihood multiplied by the impact. The below grids explain the scoring in more detail. Risk is about planning for the future so when considering the assessment it goes beyond current performance.

Impact	5 Extreme	5	10	15	20	25
	4 High	4	8	12	16	20
	3 Moderate	3	6	9	12	15
	2 Low	2	4	6	8	10
	1 Negligible	1	2	3	4	5
	1 Rare	2 Unlikely	3 Possible	4 Likely	5 Almost Certain	
	Probability					

Probability	
5 Almost Certain	Likely to occur within a twelve-month time period, or about a 75% probability of occurrence
4 Likely	Likely to occur within a two-year time period, or about a 50% probability of occurrence
3 Possible	Likely to occur within a three-year time period, or about a 25% probability of occurrence
2 Unlikely	Likely to occur within a five-year time period, or about a 15% probability of occurrence
1 Rare	Likely to occur in a ten year period, or about a 5% probability of occurrence

Impact	
5 Extreme	<ul style="list-style-type: none"> • Fatality of any individual • Financial impact greater than £1/2 m • Vote of no confidence from Local Authorities - failed • National media attention • Government / HO intervention • Total disruption to service • Exceptional / long term reduction in public confidence
4 High	<ul style="list-style-type: none"> • Serious life-threatening injury of any individual • Financial impact greater than £1/4 m • Vote of no confidence from Local Authorities - failed • Regional media attention • Adverse comment by Minister / auditor • Major service disruption / reduction in public confidence
3 Moderate	<ul style="list-style-type: none"> • Serious non-life-threatening injury of any individual • Financial impact greater than £100k • Criticism from the Police and Crime Panel • Local media attention • Significant service disruption • Significant reduction in public confidence
2 Low	<ul style="list-style-type: none"> • Minor injury of any individual • Financial impact up to around £100k • Multiple thematic complaints • Some service disruption • Some reduction in public confidence
1 Negligible	<ul style="list-style-type: none"> • Slight injury of any individual • Low level financial loss • Isolated complaints • Minor service disruption • Minor / contained negative consequences

The unmitigated scores are the assessment based on the current position with no action taken or controls in place. The mitigated scores are based on the success of the controls (anticipated or actual) in reducing the risk.

It should be noted that the OPCC and the Constabulary are separate organisations and therefore each may assess the same risk as being at a different level.

Office of the Police and Crime Commissioner for Avon and Somerset – Strategic Risk Register – December 2025

Risk	URN	Owner	Unmitigated Probability	Unmitigated Impact	Unmitigated Risk			
Governance Failure	SR1	Chief Executive	5	4	20			
			Mitigated Probability	Mitigated Impact	Mitigated Risk			
			3	4	12			
			Mitigated Risk change:		↔			
Cause	Impact							
<ul style="list-style-type: none"> PCCs will be abolished in May-28 and replaced with a Police & Crime Board. Could damage relationships with other organisations. There are too many 'priorities' for the ASP workforce and this may mean the Police & Crime Plan is not understood or prioritised. OPCC failure to engage on the design element of the '3 Ds' ways of working. Joint Governance Framework complexity not fully understood in all aspects by ASP. Failure to ensure effective risk management and support the delivery of service. Information governance failure. Ineffective scrutiny and oversight of services and outcomes delivered by the Constabulary including SPR. Ineffective scrutiny and oversight of the OPCC Equality Duty. Failure to ensure adequate transparency of the OPCC and/or the Constabulary. Failure to ensure Chief Constable sets appropriate culture, ethics and values. Lack of control/influence over Criminal Justice agencies or other partners. 								
MITIGATION								
Controls	Review date	Owner	Commentary / Controls updates					
<ul style="list-style-type: none"> Governance & Scrutiny Board (GSB). OPCC Management Board (OMB) - oversight of performance, risks and issues and provides a formal decision making mechanism for internal (non-Constabulary) business. Joint Governance Framework to be kept under review to ensure up-to-date and fit for purpose OPCC HR policies and procedures being reviewed. OPCC self-assessment of compliance with their Equality Duty. Quarterly performance report and dashboard. PCC and Chief Constable 1:1s. DPCC and DCC 1:1s. OPCC attend CMB, SPM and other strategic meetings (open invitation from the CC). Joint Audit Committee, External Audit, Internal Audit and annual governance statement. Police and Crime Panel meetings. COG attendance at weekly OPCC SLT. Compliance with statutory reporting requirements. Victim Services appointed and managed by the OPCC Commissioning Team. Independent scrutiny panels for complaints, use of police powers & OOCD. OPCC Information Governance Group oversees compliance with GDPR and DPA 2018. PCC chairs the Local Criminal Justice Board Publishing information in line with publication scheme. ASP Leadership Days. 	Jan-26	Director of P&A CEx	<ul style="list-style-type: none"> GSB has functioned in its current format for a year and will be reviewed in early 2026. 					
	Mar-26	CEx CFO	<ul style="list-style-type: none"> A review of the Joint Governance Framework is ongoing, informed by guidance and best practice from a national level. A first draft was shared with the PCC and Chief Constable in Sep-25. Final tranche of policies released in Jun-25. A digital record is being kept when staff confirm they have read the documents with a few completions outstanding. Legal review of policies and procedures carried out to ensure legal compliance. OPCC has decided to expand this work to include APCC self-assessment on equality and race, which was updated and reissued in autumn 2024. Will look at good practice from ASP. Quarterly report against the Police & Crime Plan 2024-29 Implementation Plan includes KPI dashboards. 					
	Mar-26	Head of HR & BS	<ul style="list-style-type: none"> The internal audit report on governance concluded that the PCC and CC have an adequate and effective framework for risk management, governance and internal control. 					
	Mar-26	CEx	<ul style="list-style-type: none"> Specified Information Order - quarterly performance reports and complaints overview on website. 					
		Director of P&A	<ul style="list-style-type: none"> IOPC now publishing regular quarterly data and working with APCC and the IOPC to refine data sets with the aim of providing more useful insight for OPCCs. 					
		PCC CEx CFO	<ul style="list-style-type: none"> Although the governance process is working well the outcomes do not necessarily reflect this. 					
		CEx Director of P&P	<ul style="list-style-type: none"> Leadership days held each year Jan/Feb. PCC (or representative) will be on the agenda in 2026. 					
		Director of P&A						
		Director of P&A						

Office of the Police and Crime Commissioner for Avon and Somerset – Strategic Risk Register – December 2025

Risk	URN	Owner	Unmitigated Probability	Unmitigated Impact	Unmitigated Risk	
Failure to deliver the Police and Crime Plan	SR2	Chief Executive	5	4	20	
			Mitigated Probability	Mitigated Impact	Mitigated Risk	
			4	3	12	
			Mitigated Risk change:		↓	
Cause	Impact					
<ul style="list-style-type: none"> Significant increases in recorded and allocated crime putting the ASP workforce under pressure and impact on service to the public. Savings requirements will result in a significant reduction in Police Staff Investigators – this will reduce the capacity of CID and likely cause further impact on Patrol. Savings requirements have resulted in a significant reduction in PCSOs – this will reduce the capacity to deliver Neighbourhood Policing. Areas for Improvement (from PEEL) relate to significant areas of the Plan also. Spontaneous operational needs divert resources from work that delivers against the Plan. Prevention is hard to measure/evidence and needs more than the police to deliver. Internal police culture and leadership at an operational level. Male violence against women and girls carries significant volume and harm. Limited capacity/capability within the Constabulary – inexperienced workforce (particularly in Patrol). Positive Outcomes – not seeing the improvements hoped for. Police response to 'neighbourhood crimes' does not meet public expectations. Disproportionate outcomes particularly for Black, Asian, mixed and minoritised communities. Workforce not representative of the communities of A&S; insufficient progress has been made. Court backlogs means justice is not being delivered effectively or efficiently. Limited control/influence over partnership agencies e.g. CJS. More officers will result in more people going through an already overstretched criminal justice system. Constabulary staff survey results show a decline in 2024. Limited oversight of improvement activity and related outcomes. Underpinning the delivery risk of all of this is the financial uncertainty and the increased public expectation from the additional funding that policing has received both through central government grant and local taxpayers' increase in precept funding. 						
MITIGATION						
Controls	Review date	Owner	Commentary / Controls updates			
<ul style="list-style-type: none"> Government Neighbourhood Policing Guarantee. Serious violence hotspot and ASB fund. Project Bright Light – using the Soteria methodology to improve the response to Domestic Abuse. Implementation Plan to support delivery of Police & Crime Plan 2024-29. Governance & Scrutiny (GSB). OPCC Business Plan focusses the work of the OPCC on supporting the Police & Crime Plan. OPCC attend CMB and other strategic meetings (open invitation from the CC). PCC and Chief Constable 1:1s. DPCC and DCC 1:1s. Audits and Inspections (HMICFRS & SWAP) overseen by Joint Audit Committee. Internal assurance mechanisms are in place to evaluate delivery of the Plan's objectives. Oversight of all strategic constabulary data through Qlik. 	Feb-26	CFO	<ul style="list-style-type: none"> The national commitment aligns with Priority 1 of the Plan. £4.6 million allocated to ASP for 2025/26. ASP successfully bid for 70 additional officers. Neighbourhood Tasking Teams deployed in each of the 8 LPAs. Winter of Action underway Dec-25/Jan-26. Funding confirmed for the same level in 2025/26. Theory of Change developed. DA process mapped. Started to operationalise the recommendations in planning. Pillar leads assigned and meeting on a regular basis. Plan live. Quarterly reporting in place and reviewed at OMB. This will be considered by the new CEx for 2026/27. 			
	Mar-26	Director of P&P				
	Mar-26	Director of P&P				
	Mar-26	CEx				
	Mar-26	Director of P&A				
		CEx				
		PCC				
		CFO				
		CFO				
		Director of P&A				

Office of the Police and Crime Commissioner for Avon and Somerset – Strategic Risk Register – December 2025

Risk	URN	Owner	Unmitigated Probability	Unmitigated Impact	Unmitigated Risk																					
Financial incapability or ineffectiveness	SR3	CFO	4	5	20																					
			Mitigated Probability	Mitigated Impact	Mitigated Risk																					
			4	3	12																					
			Mitigated Risk change:		↓																					
Cause	Impact																									
<ul style="list-style-type: none"> Cost increases due to high inflation and interest rates. Pay awards may exceed central government projections and effectively be unfunded. Pressure on elements of savings plans due to performance challenges. May not be able to achieve maximum precept increase from 2026/27 onwards. Risks around pension funds due to wider economic impact. Increasing pension costs for officers and staff schemes; although this will probably be funded. Revenue and capital budgets not fully funded for term of MTFP. Diminishing potential for capital receipts. Scale of capital programme increased. National work will require local funding with limited control over decision making e.g. ESMCP, NPAS, national IT. 		<ul style="list-style-type: none"> Officer numbers protected so may lead to using officers in roles currently undertaken by civilians. Failure to set a sustainable revenue budget or capital plan across the medium term. Failure to meet heightened expectations of stakeholders. Loss of public confidence. Unable to fund expected service. Unable to fund delivery of PCC priorities (SR2). Unable to afford change. Revenue budget underspends may undermine support from PCP for sustainable increases to the precept. Failure to ensure value for money. 																								
MITIGATION																										
Controls	Review date	Owner	Commentary / Controls updates																							
<ul style="list-style-type: none"> Spending Review 2025 – sets total police funding for the next three years until 2028/29 – with an average annual real growth of 1.7%. This includes estimated annual income from the Precept. Home Office Police Efficiencies and Collaboration Programme. Joint work on savings plans being progressed through clear governance process. Includes consideration of 'spend to save' plans. Medium and long term financial planning. Regular oversight of revenue & capital budget. Maintain adequate risk-assessed reserves. Subject to external and internal audit both overseen by the Joint Audit Committee. Treasury Management strategy in place outcomes reviewed by CFOs. HMICFRS inspection regime. 		CFO CFO CFO CFO CFO CFO CFO	<p>MTFP Forecast after planned savings:</p> <table border="1"> <thead> <tr> <th>Year</th> <th>Current MTFP</th> <th>Draft new MTFP</th> </tr> </thead> <tbody> <tr> <td>2025/26</td> <td>Balanced</td> <td></td> </tr> <tr> <td>2026/27</td> <td>-£4.6 million</td> <td>Balanced</td> </tr> <tr> <td>2027/28</td> <td>-£5.7 million</td> <td>Balanced</td> </tr> <tr> <td>2028/29</td> <td>-£8.9 million</td> <td>-£1.6 million</td> </tr> <tr> <td>2029/30</td> <td>-£11.2 million</td> <td>-£3.0 million</td> </tr> <tr> <td>2030/31</td> <td></td> <td>-£5.0 million</td> </tr> </tbody> </table> <p>Key assumptions (current MTFP): <i>Income – from 2026/27 core grant funding will increase by 0.9% p.a. and precept funding will increase by £10 in each of the years 26/27 and 27/28 then returning to 2% p.a. increase thereafter.</i> <i>Pay – will increase by 2.8% in 25/26, 2.5% in 26/27 and 2.0% p.a. thereafter</i> <i>Inflation (non-pay) – 3.0% in 2024/25, decreasing to 2.0% p.a. thereafter</i></p>			Year	Current MTFP	Draft new MTFP	2025/26	Balanced		2026/27	-£4.6 million	Balanced	2027/28	-£5.7 million	Balanced	2028/29	-£8.9 million	-£1.6 million	2029/30	-£11.2 million	-£3.0 million	2030/31		-£5.0 million
Year	Current MTFP	Draft new MTFP																								
2025/26	Balanced																									
2026/27	-£4.6 million	Balanced																								
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2030/31		-£5.0 million																								

Office of the Police and Crime Commissioner for Avon and Somerset – Strategic Risk Register – December 2025

Office of the Police and Crime Commissioner for Avon and Somerset – Strategic Risk Register – December 2025

Risk	URN	Owner	Unmitigated Probability	Unmitigated Impact	Unmitigated Risk	
Lack of capacity or capability, or poor wellbeing within the OPCC	SR5	Chief Executive	5	4	20	
			Mitigated Probability	Mitigated Impact	Mitigated Risk	
			3	4	12	
			Mitigated Risk change:			
Cause	Impact					
<ul style="list-style-type: none"> PCCs will be abolished in May-28 and replaced with a Police & Crime Board. Large amount of uncertainty as to how this model will operate in practice although they have stated OPCC staff will be TUPE transferred to new employer. Chief Executive post is vacant Identified gap in the OPCC in terms of Public Affairs and policy development Vacancies and absence have a significant impact in the small OPCC team and can contribute to stress and sick absence. Increased demand on HR while ERP is being tested and implemented and SharePoint migration completed. Increased government legislation and other activity in policing and crime prevention places greater demands on the OPCC, frequently with short notice making it difficult to manage resource. High levels of recruitment in terms of employees, volunteers or panel member roles. As a result of new police misconduct regulations there is an anticipated increase in Police Appeal Tribunals (PATs). Short-term projects funded by government require resource to be recruited or moved within short timescales. 						
MITIGATION						
Controls	Review date	Owner	Commentary / Controls updates			
<ul style="list-style-type: none"> Recruit permanent Chief Executive Deputy PCC appointed PDR process and regular 1:1s between line managers and direct reports. Annual staff survey, supplemented by pulse surveys, to inform internal policy and ways of working. Learning and Development Plan with commensurate training budget maintained. Wellbeing resources and support offered and promoted, including Health and Wellbeing Passports. Salary levels set at a reasonable market rate and in line with other OPCCs. Regular team meetings to share knowledge and resolve issues. Online Applicant Tracking System implemented to make recruitment process more effective and efficient for Hiring Managers, HR team and candidates. Implement new HR and Finance back-office system (ERP Oracle) with ASP to make processes more effective and systems led. 	Feb-26	PCC PCC Head of HR & BS Head of HR & BS	<ul style="list-style-type: none"> Offer made to and accepted by successful candidate. Planning to start Mar-26. DPCC started in Jul-25 and is addressing public affairs gap. 2025 staff survey had 84.2% completion rate, and overall another set of positive indicators. Some areas for improvement include internal comms, improved IT & systems, ways of working and meetings capacity and management development. OPCC Learning & Development Plan (Sept-23). Training opportunities and resources developed and promoted. Competency framework on hold in the absence of the CEx. Wellbeing and financial support initiatives promoted to the team. Wellbeing strategy reviewed and revised edition published Jun-25. Extended Talos contract for an additional year due to ERP delays. HR working alongside ASP colleagues to test and implement new system. Go live delayed to Oct-26. 			
	Apr-26	Head of HR & BS Head of HR & BS Head of HR & BS				
	Oct-26	Head of HR & BS				

Office of the Police and Crime Commissioner for Avon and Somerset – Strategic Risk Register – December 2025

Risk	URN	Owner	Unmitigated Probability	Unmitigated Impact	Unmitigated Risk	
Failure to deliver commissioned services	SR6	Director of P&P	3	3	9	
			Mitigated Probability	Mitigated Impact	Mitigated Risk	
			2	3	6	
			Mitigated Risk change:		↓	
Cause	Impact					
<ul style="list-style-type: none"> Employer national insurance increase; and higher wages due to the increase in minimum wage and VCSE sector pay increases will negatively impact services – unknown how they will respond to this. Cost of living / inflationary increases reduce the capacity of commissioned services to deliver. Short term Home Office funding arrangements and cuts to budgets in agreement period. Home Office funding for DRIVE in current model ends Mar-26. Services without sustainable funding and cliff-edge arrangements. Reduction in rape support fund means less funding for therapeutic services. Victims and Prisoners Act is proposing only modest funding to deliver the Collaborative Commissioning Duty. Lighthouse (the primary commissioned service) not delivering to the agreed standard. Increasing demand including victim support services; particularly DA and SV. Significant additional reporting requirements for compliance purposes. Failure to hear the victim's voice may mean services do not meet the actual need. Contractor vetting delays putting some commissioned services at risk. SARCs required to meet the Forensic Science Regulator (FSR) Statutory Code of Practice, including ISO standard, by Oct-25. Compliance will be more expensive and complex than originally predicted. There are many SARCs (including the one in A&S) that may not meet this deadline. 			<ul style="list-style-type: none"> Failure to support and protect, victims particularly vulnerable victims – PCP Priority 1 (SR2). Failure to reduce harm. Loss of public confidence in the PCC. Damaged relationships with Constabulary and partners. Non-compliance with Government grants. Reduction or withdrawal of victims grant from Government. Failure to devolve further funding/commissioning. Lack of compliance from SARC could cause victims to lose confidence, could result in challenge at court and has budgetary implications. 			
MITIGATION						
Controls	Review date	Owner	Commentary / Controls updates			
<ul style="list-style-type: none"> Commissioning Strategy. Victim Services Commissioning. Lighthouse victims' service jointly established with the Constabulary: service under joint review. Maintain a sufficiently resourced commissioning team within the OPCC. Victim Services Provider forum and AWP Partnership Board are regular joint strategic meetings with commissioned services. 6-monthly monitoring of services financial returns. Scan and apply for additional funding as available. Vetting exemptions sought as necessary for contractors to mitigate delays. National rollout of DRIVE. OPCC team working closely with providers to manage impacts of this year's funding reduction and uncertainty. SARC mitigation plans are being developed for each domain area and additional funding will be resolved through the collaborative commissioning agreement. Guidance and a declaration has been developed. 	Mar-26	Director of P&P Director of P&P Director of P&P Director of P&P Director of P&P CFO Director of P&P Director of P&P Director of P&P Director of P&P	<ul style="list-style-type: none"> Commissioning Plan signed-off Mar-24. Victims contracts started Apr-25 on a 5+2 year basis. Lighthouse revised operating model signed off by PCC and Chief Constable and is in place. Provider Forum meeting quarterly. News about PCCs brings further uncertainty, but ongoing funding will bring some stability for the next 2 years. 	<ul style="list-style-type: none"> DRIVE currently operating in BNSSG and agreement to continue into 2026/27. OPCC engaging with the Home Office in relation to national rollout. 2 years' funding, with a 2% increase on this year has been awarded to Victims Providers, both contracted, and recipients of DASV grants. Organisations need to declare compliance with ISO standards until formal accreditation (a national declaration process has been developed). No SARC in the country was accredited by deadline of Oct-25. Collaborative Commissioning agreement has been developed between ASP, NHSE and OPCC which will replace the previous MOU to include the new requirements of the FSR. 		
	Mar-26	Director of P&P Director of P&P Director of P&P Director of P&P Director of P&P				
	Mar-26	Director of P&P				

Office of the Police and Crime Commissioner for Avon and Somerset – Strategic Risk Register – December 2025

Risk	URN	Owner	Unmitigated Probability	Unmitigated Impact	Unmitigated Risk			
Failure to support delivery of effective and efficient collaborations with other forces	SR7	Chief Executive	5	3	15			
			Mitigated Probability	Mitigated Impact	Mitigated Risk			
			4	3	12			
			Mitigated Risk change:		↔			
Cause	Impact							
<ul style="list-style-type: none"> • SW Police Collaboration Board • Challenges with staff retention and capacity in South West Forensics. • Ineffective governance and scrutiny over existing collaborations – particularly SWROCU. • NPAS is particularly challenging in terms of lack of consensus on future direction and sustainable funding. • Failure to agree effective models for collaboration. • Ineffective governance and ownership of regional projects and programmes. • Tension between local forces and collaborations in terms of competing interests and lack of uniformity of people and processes. • Lack of direct influence/control in order to make changes i.e. everything must be done by (multi-force) committee. 	<ul style="list-style-type: none"> • Governance failure as a duty of the PCC (SR1). • Failure to deliver value for money. • Failure to deliver specific services provided by existing collaborations. • Inefficient compared to other regions/areas. • Criticism from HMICFRS. • Government scrutiny/intervention. • Lack of resilience otherwise provided by a collaboration. • Forced to accept others' terms from future alliances or mergers. 							
MITIGATION								
Controls	Review date	Owner	Commentary / Controls updates					
<ul style="list-style-type: none"> • Regional Collaboration Advisor and Coordinator roles recruited to support PCCs. • External review of SW Forensics was commissioned. • Collaboration Governance. • SWAP are the Internal Auditor – working in partnership with other regional forces. • Regional ACC is in place (in line with HMICFRS recommendations). • PCC is national lead on Minerva collaboration, alongside CC as police lead. • SW Police Collaboration Board developing a regional collaboration strategy. 		CEx CEx CEx CEx CEx CEx CEx	<ul style="list-style-type: none"> • Regional Collaboration Advisor started Feb-24 and Coordinator Jul-24. • SW CCs and PCCs agreed to implement review recommendations and extra investment. • Two SW Operational Boards chaired by ACCs, feed into SW Strategic Board. • CC Crew chairing regional group exploring scope for closer collaboration on IT systems. • Regional PCC representation at the NPAS Board. • Op Scorpion – regional anti-drugs operation running (approximately) quarterly. • New Regional ACC recruited in November, with OPCC involvement in selection. • This work will need to adapt in light of abolishment of PCCs. 					

Office of the Police and Crime Commissioner for Avon and Somerset – Strategic Risk Register – December 2025

Risk	URN	Owner	Unmitigated Probability	Unmitigated Impact	Unmitigated Risk				
Failure to deliver effective and efficient collaborations or outcomes with other partners	SR8	Chief Executive	4	4	16				
			Mitigated Probability	Mitigated Impact	Mitigated Risk				
			4	3	12				
			Mitigated Risk change:		↔				
Cause	Impact								
<ul style="list-style-type: none"> The broader Criminal Justice System is not operating effectively with significant delays in cases getting to court and insufficient capacity in prisons. Locally, Op Bluestone/Soteria has put more people and cases into the CJS and this may further increase because of Op Bright Light. Limited control/influence over other criminal justice agencies. Macro-economic factors could have a detrimental effect on partners, particularly Local Authorities. This financial position could cause partners to withdraw or reduce levels of service to partnerships. This increases the risk of demand and funding requests moving to ASP and OPCC. OPCC unable to effectively support the growing number of partnership programmes. Failure to put in place effective governance and ownership of partnership working. Differing priorities and leadership of agencies. Changing political and economic landscape can make partnership working more challenging. Lack of meaningful 'live' information sharing. National review of CSPs. Violence Reduction Unit and Serious Violence Duty funding from Home Office is a single year settlement until March 2026. This funding is critical to the delivery of A&S's VRP activity, including paying for key staffing roles and interventions. Serious Violence Duty – data sharing a particular challenge. NHS England abolished – uncertain of the impact, particularly on Integrated Care Boards locally and their ability to meet the duty to collaborate. 					<ul style="list-style-type: none"> Offenders fail to be brought to justice in a timely manner, or at all. If convicted they may not receive/serve sentences which match public expectations. This damages confidence in the CJS and may lead to future additional harm to victims and the wider public. Governance failure as a duty of the PCC (SR1). Failure to deliver the Police and Crime Plan (SR2). Failure to deliver a whole systems approach to crime and continue the 'revolving door' of offending and victimisation. Failure to deliver value for money. Reduced ability of responsible authorities across A&S to effectively deliver their statutory obligations under the Serious Violence Duty and loss of an A&S wide approach. Sudden end or reduction of services and interventions funded by the A&S VRP structure causing gaps resulting in vulnerable young people not being supported and incidents of serious violence increasing. 				
MITIGATION									
Controls	Review date	Owner	Commentary / Controls updates						
<ul style="list-style-type: none"> Violence Reduction Partnerships (VRPs) facilitated by VRP Directorate of OPCC. Serious Violence Duty governance. Governance of Community Safety Plans. A&S Reducing Reoffending Board and Strategy. Combatting Drugs Partnerships. PCC chairs the Local Criminal Justice Board (LCJB). PP&C team have leads for victims, CJS and reducing re-offending. OPCC continue to be represented at CSPs. Regular meetings (outside of Boards) with LA chairs/CEOs. Information sharing relevant to all partnership working; particularly CJ, reducing reoffending and VRPs. National reviews of sentencing (Gauke), courts (Leveson) and prisons (Timpson) to improve the CJS issues. 	Feb-26	VRP Director	<ul style="list-style-type: none"> VRP structure in place with roles filled. SV Duty governance in place. Convening function for the SV Duty at A&S level will be managed by VRP Directorate. Risks surrounding future funding are being considered by the Director and Board. Need to improve OPCC oversight of these plans but that has to be considered in the context of the national CSP review which is now on hold pending White Paper on police landscape reform. Will also be considered in the context of the OPCC ways of working. A&S RR strategy signed off and revised ToR for the RR Board agreed. 5 CDPs went live in Sept-22. Aligned to local authorities and reporting to their boards. LCJB Business plan for 2025-2027 now in place with 7 areas of focus. LCJB sub-group development and refinement ongoing to ensure clear line of sight to LCJB Business plan and to effectively support collaborative working across agencies. 						
	Mar-26	Director of P&P							
	Mar-26	Director of P&P							
		Respective Strategic Groups							
<ul style="list-style-type: none"> LCJB to be used as a platform to discuss and understand impacts on recent reviews (Gauke & Leveson) – to feed into national conversations and developments as appropriate. 									

Avon & Somerset Constabulary - Corporate (Strategic) Risk Register

Quarter 3 Review 2025/26 Financial Year
[Joint Audit Committee - 16/01/26](#)



Produced by the Portfolio Management Office (PMO) - contact #Governance for more information

Corporate (Strategic) Risk Register - Q3 Overview

Corporate Risk Mitigated Assessments for Q3

Q3 2025/26	Impact = 1 Negligible	Impact = 2 Minor	Impact = 3 Moderate	Impact = 4 Significant	Impact = 5 Severe
Likelihood = 5 Very likely					
Likelihood = 4 Likely					People
Likelihood = 3 Possible				Service Information Governance	Finance Confidence Digital
Likelihood = 2 Unlikely			Governance	Infrastructure	
Likelihood = 1 Very unlikely					

Report Contents

Executive summary of 8 x corporate (strategic risks) and their mitigated risk assessments.
 Single page quarterly updates for 8 x corporate risks including the most relevant / recent mitigations.
 Explanations of the objective rationale for the mitigated risk assessment scores.
 Forecasts for risk mitigation values for the next year.

Additional Risk Management Information (available on request from the Portfolio Management Office (PMO))

Extra information / narrative in relation to the risk mitigations listed.
 Details on the Organisational Risk Register (this is the tactical risk register that sits below the Corporate Risk Register and has circa 200 risks captured)
 Information on the management of the Constabulary risk management processes by the PMO.
 PMO supported activity including representation at the National Risk Management Forum and South West Risk Management Group.
 Information on national strategic risks as reported quarterly by the NPCC Strategic Threat Assessment process.
 We are happy to receive questions before, during or after the Joint Audit Committee.

Corporate Risk Reference
Corporate Risk Title
Reporting Period
Joint Audit Committee Date
Risk Owner

PR/735 - Finance
Inability to deliver a sustainably balanced budget
Q3 2025/26
16/01/26
Nick ADAMS

Risk Overview

The Medium-Term Financial Plan (MTFP) is updated annually to forecasts over a 5-year planning horizon. The last MTFP published in February 2025 looked out to 2029/30. These forecasts predict a continued increase in costs, driven by our assumptions around pay awards, pay progression of a relatively inexperienced workforce, non-pay inflationary pressures and challenges around costs of pensions. On latest forecasts as set out in our draft MTFP we predict a deficit against which we have identified savings to balance the budget in 2025/26 leaving a further saving requirement for later years in the MTFP window. Our Capital Programme continues to reflect a mixture of local and national projects, and predicts increases to costs driven by inflationary pressures.

Risk Assessments

Unmitigated Risk Assessment Score - Likelihood	5
Unmitigated Risk Assessment Score - Impact	5
Unmitigated Risk Assessment Value & RAG	25

Key Mitigations / Changes for Review by the Joint Audit Committee

(1) **General Financial Management** - The latest NPCC CSR assessment (September) provides useful national context and our assessment of **low risk and high resilience** reflects that we are in a stronger position to many Forces. This reflects our financial planning rigour and general preparedness noting the challenges that are still presenting. We continue with our activity to track in-year overtime spend comparing with the last two years reflecting an overall reduction in spend despite demand pressures associated with local public order and national mutual aid requests.

(2) **MTFP development** - The 2026/27 MTFP reflects the positive assumptions from the Comprehensive Spending Review but also cost pressures such as the increased pay award (at 4.2%) and kennelling costs. There are indications that the Council Tax Base increase is not as positive as thought with growth below the assumed 1.1% creating a cost pressure of £300K p/a. The central government grant settlement was to be advised in December (after the writing of this Corporate Risk update).

(3) **Capital Planning** - Here we have increased headroom through the revenue funding of capital of £3M per annum for the MTFP period. This still leaves a small deficit of £3M over the course of the five year plan but this is within margins of error. We continue to work with other Forces to lobby recognising the national challenges with capital funding in support of initiatives such as ESN transition and EVCI infrastructure.

(4) **Neighbourhood Guarantee** - We were expecting confirmation mid-December noting that we need to provide proof of officer uplift into Neighbourhood Policing in order to secure funding. We have over-achieved requisite numbers for Year 1 through the reallocation of REMEDY resources / recruitment to Beat Managers.

(5) **Planned savings** - We recognise there has been some slippage in relation to our planned savings with previous stated PSI savings now reattributed to the Operating Model feasibility work. Additionally, savings expected from the implementation of the ORACLE solution have been delayed (noting the new ORACLE Finance & Procurement Module now has a scheduled go-live of 07/04/26). However, we have identified new areas for saving. We are forecasting balanced positions for revenue and capital through to 2027/28.

Mitigated Risk Assessment Score - Likelihood	3
Mitigated Risk Assessment Score - Impact	5
Mitigated Risk Assessment Value & RAG	15

Risk Assessment Projection Narrative

The impact score will remain relatively static and is assessed high as 5/5. The objective rationale for the likelihood assessment is linked to a balanced revenue position. A score of 1 is awarded for a balanced revenue position for this year and two subsequent years, a score of 2 for a balanced position of this year and next, a score of 3 for a balanced position for this year only, a score of 4 if not balanced this year or next and a 5 is not balanced for this year and the next two years. The current assessment is "3" reflecting the expectation of a balanced in-year budget for 2026/27 with the potential to reduce to 2 (TBC).

Risk Assessment Projection - Q4 2025/26 - Value & RAG	10
Risk Assessment Projection - Q1 2026/27 - Value & RAG	10
Risk Assessment Projection - Q2 2026/27 - Value & RAG	10
Risk Assessment Projection - Q3 2026/27 - Value & RAG	10

Corporate Risk Reference
Corporate Risk Title
Reporting Period
Joint Audit Committee Date
Risk Owner

PR/736 - Service
Failure to meet the five public outcomes and achieve required PEEL grading
Q3 2025/26
16/01/26
DCC REILLY

Risk Overview
The Constabulary recognises its responsibilities to deliver outstanding policing as measured against several national performance frameworks. Central to this is the HMICFRS PEEL Inspection process whereby the Constabulary received an official grading of "requires improvement" in 2024. The Constabulary has 16 formal AFI's and needs to objectively evidence (through metrics) a case for their formal closure alongside the need to demonstrate wider performance improvements in support of improved HMICFRS assessments in the future.

Risk Assessments
Unmitigated Risk Assessment Score - Likelihood
Unmitigated Risk Assessment Score - Impact
Unmitigated Risk Assessment Value & RAG
4 5 20

Key Mitigations / Changes for Review by the Joint Audit Committee
(1) Performance summary - The Constabulary can demonstrate strong performance across a range of operational outcomes. These include Call Centre (999) performance where our 999 performance is 97.5% (second highest nationally) and our 101 performance (abandonment rate) which is only 3.4% (November data). Our rape charge volumes continued to see a sustained increase - up 104% over the last year. We continue to show progress with the reduction in knife crime with the latest figures showing a yearly reduction of 27%. The latest Knife Enabled Robbery data from the Home Office shows Avon & Somerset has a 18% reduction compared to the baseline figure (year ending June 2024) which compares favourably with the figures for the Metropolitan Police, Greater Manchester Police and West Yorkshire. The latest information on recorded youth related serious violence shows an annual reduction of 9.8%. We recognise the improvements needed with our victim based positive outcome rate which currently stands at 9.2% - although 12.4% was achieved in October.
(2) HMICFRS AFI's - We continue to make positive progress with the management of the 2024 HMICFRS AFI's. As of November 2025, we have closed 7/16 AFI's with recent closures relating to the management of Serious / Violent Offenders, the Domestic Violence Disclosure Scheme and Occupational Health. We will be looking to close the AFI relating to vulnerability soon (December). Early in 2026 there will be meetings with HMICFRS to discuss data, the new Geographic Operating Model, performance outcomes and an engaged workforce.
(3) Neighbourhood Guarantee - The summer Safer Streets initiative received positive feedback via the OPCC on the impact had addressing both business crime and anti-social behaviour. The initiative from the summer is now developing iteratively into a winter Safer Streets approach for the new few months. We will be able to choose our locations and focus on violence against women and girls, the night time economy, drug abuse and vulnerable victims. A new Anti-Social Behaviour Manager will help deliver real improvements in delivery working closely with statutory partners to join up priorities. We will continue to evolve how we deploy our Neighbourhood Tasking Teams. We continue to review and improve our approach to Problem Solving Plans.
(4) Geographic Operating Model - The new model went live successfully on 03/11/25. The latest three month figures (reported November 2025) show a reduction of 14.0% for recorded neighbourhood crime, a reduction of 11.3% for residential burglary, a reduction of 5.4% for vehicle crime and a reduction of 3.5% for personal robbery.
(5) National Performance Context - This is provided by the October Specified Information Order and shows improving or stable trends for several measures. There are encouraging trends in relation to recorded homicide offences, increasing our drug trafficking offences (better crime recording), decreasing levels of personal theft, improved victim satisfaction for burglary and increasing our RASSO referrals to the CPS. We recognise our relative Most Similar Group position for some Neighbourhood Crime measures but expect a positive direction of travel here as our new Geographic Operating Model becomes further established in the months ahead.

Mitigated Risk Assessment Score - Likelihood	3
Mitigated Risk Assessment Score - Impact	4
Mitigated Risk Assessment Value & RAG	12

Risk Assessment Projection Narrative
The impact score of the risk remains static with a value of 4 given the primacy of the AFI's identified by HMICFRS. We note our 2024 assessment of "Requires Improvement". When our associated AFI's are formally closed by the Inspectorate we will have a clear evidence base and rationale to reduce the likelihood score to 2. Therefore, we retain the likelihood score of 3 for Q3 but recognise the potential to reduce the mitigated likelihood score to 2 by 2026/27 Q1 if we maintain the same trajectory with the management of our HMICFRS AFI's.

Risk Assessment Projection - Q4 2025/26 - Value & RAG	12
Risk Assessment Projection - Q1 2026/27 - Value & RAG	8
Risk Assessment Projection - Q2 2026/27 - Value & RAG	8
Risk Assessment Projection - Q3 2026/27 - Value & RAG	8

Corporate Risk Reference
Corporate Risk Title
Reporting Period
Joint Audit Committee Date
Risk Owner

PR/737 - People
Failure to develop a workforce capable of achieving our vision
Q3 2025/26
16/01/26
Lou HUTCHISON

Risk Overview

If we fail to, properly and at sufficient pace, institutionalise inclusion by embedding the right leadership and culture throughout the organisation while effectively managing unprecedented workforce growth, development and change, trust and confidence of the public, our partners and colleagues will drop, performance will falter and our legitimacy to protect and serve will be eroded.

Risk Assessments

Unmitigated Risk Assessment Score - Likelihood

4

Unmitigated Risk Assessment Score - Impact

5

Unmitigated Risk Assessment Value & RAG

20

Key Mitigations / Changes for Review by the Joint Audit Committee

(1) **Workforce Planning (WFP)** - We continue to make significant progress through the development of our WFP capability. The WFP Team have recently completed BCU modelling in support of the go-live of the Geographic Alignment Model ensuring specific areas (e.g. Bristol East) are resourced correctly. The WFP continue to support plans to facilitate the requirements of the Neighbourhood Guarantee. The Strategic Workforce Plan will be presented at the Strategic Planning Meeting in March 2026.

(2) **Leadership Standards** - Comprehensive activity is being delivered in support of continuous improvement of leadership standards. The First Line Leadership, Mid Level Leadership and Elevate Leadership Development Programme are now firmly embedded at business as usual. The new Middle Leadership Group has now held its second event (06/11/25). Additionally, an external service offer is being delivered by Leapwise Consultancy. Over six months, Leapwise will facilitate a number of sessions with a cohort of over 50 leaders to help understand what engaged leadership means when significant organisational change is being introduced. These sessions will help our Leaders understand service leadership and how to support and deliver cultural and performance shifts as our organisation changes shape.

(3) **Leadership Time** - Events for 2026 are being planned for January and February. Sessions will be led by the Chief Constable and will set expectations for engaged leadership and developing a sense of pride, performance improvement and accountability. Sessions will also be used to explore how we can best exploit digital innovation.

(4) **Leadership Community of Practice** - Development of local Talent Development Plan in line with the National Talent Development Strategy.

(5) **Representative Organisation** - We have an Inclusive Workforce Steering Group to oversee our twelve priorities across the four themes of attraction, recruitment, retention and development and organisational culture. A revised Culture & Inclusion Strategy is being readied for January 2026. We recognise there is still more to do but there are some positive signs - the latest Superintendent boards means that we have achieved new levels of diversity for this rank.

(6) **Wellbeing** - This remains a high priority. Our new Force Chaplain is extremely visible and is helping with both community but also internal multi-agency engagement and wellbeing support.

(7) **People Survey 2025** - Although there are some signs of improvement, both the response rate and engagement measures have decreased. This has disproportionately impacted on the overall results. We are able to split the results by geographic location and this will help provide a baseline for future surveys noting the new geographic structures.

Mitigated Risk Assessment Score - Likelihood

4

Mitigated Risk Assessment Score - Impact

5

Mitigated Risk Assessment Value & RAG

20

Risk Assessment Projection Narrative

The impact score remains static as a 5/5. The likelihood score reflected the People Survey results published in the autumn on 2024 and a two tier response in engagement (Enabling Services and Operational Policing). The updated People Survey scores from 2025 have not shown improvements in engagement over the last year. Therefore we retain a score of 4 for Q3 and for the short to medium term. Based on this, the forecast has been amended to a mitigated value of 20 noting the next official data set would be the People Survey 2026 in November 2026.

Risk Assessment Projection - Q4 2025/26 - Value & RAG

20

Risk Assessment Projection - Q1 2026/27 - Value & RAG

20

Risk Assessment Projection - Q2 2026/27 - Value & RAG

20

Risk Assessment Projection - Q3 2026/27 - Value & RAG

20

Corporate Risk Reference
Corporate Risk Title
Reporting Period
Joint Audit Committee Date
Risk Owner

PR/738 - Infrastructure
Failure to develop our infrastructure assets in order to achieve our vision
Q3 2025/26
16/01/26
Nick ADAMS

Risk Overview
<p>Our infrastructure should enable the delivery of our vision to deliver outstanding policing for everyone. It is therefore important that our infrastructure, assets, and services achieve this and are developed sustainably, in a way that is mindful of our financial, political, social and environmental landscape and, in a way that offers value for money. For clarity, this risk focuses on infrastructure, which includes our physical assets (buildings, fleet, equipment, uniform) and facilities, as well as the specialist services that provide and maintain those assets. It also encompasses a range of professional services that support our operational Directorates.</p>

Risk Assessments

Unmitigated Risk Assessment Score - Likelihood	4
Unmitigated Risk Assessment Score - Impact	5
Unmitigated Risk Assessment Value & RAG	20

Key Mitigations / Changes for Review by the Joint Audit Committee
(1) Yeovil - The tender process has completed and contracts have been signed. The contractor is expected on site early 2026 to undertake preparatory work. The initial go-live for the new building in April 2027.
(2) Bath Plymouth House - The project is progressing well with contractors on site and delivery on-track. The current timescales will see the Constabulary take building ownership in May 2026 with occupation from June 2026 - which will then allow decent from other accommodation currently used in Bath.
(3) Bristol Trinity - The site has been sold to The Guinness Partnership (TGP). We continue to track the progression of their redevelopment of this site providing a Neighbourhood Base and Enquiry Office. We recognise the potential for some delays. We continue to liaise with the contractor in respect of community messaging. We are assuring our local plans to ensure we are ready to take over the site when TGP activity is complete.
(4) Estates Strategy - We are refreshing the Estates Strategy in the spring / summer of 2026 which will help develop the direction of travel for longer term investments. For now, we are part of regional collaboration discussions with the CTIU with the potential for consolidation onto the HQ site. We have approved improvement / refurbishment investment for the Wilfred Fuller Training Centre in Clevedon reflecting our PPST requirements.
(5) Fleet Management - Through the Police Efficiencies Collaboration Programme to we continue to leverage buying power across policing to ensure we get the best price for replacement vehicles. We are also making good use of our telematics data in support of managing the cost of our insurance renewals.
(6) Fleet Electrification - We approved two Final Business Cases at December Constabulary Management Board relating to the National Grid Supply and Rapid Chargers. This work with the Distribution Network Operator will help ensure grid capacity at police stations is sufficient for our EVCI infrastructure. We continue to progress EVCI charging procurement for seven sites - working with regional Forces and Blue Light Commercial to develop a National Charging Management System ensure interoperability of charging infrastructures.

Mitigated Risk Assessment Score - Likelihood	2
Mitigated Risk Assessment Score - Impact	4
Mitigated Risk Assessment Value & RAG	8

Risk Assessment Projection Narrative
The impact score will remain relatively static and is assessed as 4/5. The objective rationale for the likelihood assessment reflects a balanced capital position - noting for capital there is flexibility for borrowing timing. A score of 1 is awarded for a balanced capital plan for this year and the next two, a score of 2 where the capital plan is balanced this year and next, a score of 3 where the capital plan is balanced for this financial year only, a score of 4 is there is a small deficit this FY below £5M and a score of 5 if the deficit is above £5M. Therefore, the current assessment is now lowered to "2" reflecting a balanced capital budget for the initial years of five year MTFP period with a residual deficit of circa £2M towards the later years.

Risk Assessment Projection - Q4 2025/26 - Value & RAG	8
Risk Assessment Projection - Q1 2026/27 - Value & RAG	8
Risk Assessment Projection - Q2 2026/27 - Value & RAG	8
Risk Assessment Projection - Q3 2026/27 - Value & RAG	8

Corporate Risk Reference
Corporate Risk Title
Reporting Period
Joint Audit Committee Date
Risk Owner

PR/739 - Information Governance
The Constabulary fails data governance inspections or is subject to a data breach
Q3 2025/26
16/01/26
Ellena TALBOT

Risk Overview
If the Constabulary does not have appropriate information governance controls to support its ambitions in innovations, including exploiting data and information, it may result in an unfavourable finding by a regulatory body potentially leading to reputational damage and/or enforcement action, including the application of a significant financial penalty and potential Civil Litigation.

Risk Assessments

Unmitigated Risk Assessment Score - Likelihood	4
Unmitigated Risk Assessment Score - Impact	5
Unmitigated Risk Assessment Value & RAG	20

Key Mitigations / Changes for Review by the Joint Audit Committee
(1) Data Retention & Quality - We can demonstrate continued improvement with regards to our record retention responsibilities supported by the activity described on the Joint Information Management Plan. Here we work collaboratively with the IT Directorate noting their ownership of tactical deliverables with the Information Governance Team responsible for compliance. The G:Drive deletion project is nearing completion with some data deleted, some retained and some information moved to a different location. The SIRO has been sighted throughout. A Communications Plan has been developed reference retention - this is to be rolled out by the IT Directorate (Spring 2026) noting the current priority for G:Drive decommissioning. Downloads to devices are now cleared automatically after 30 days. We are starting to review the application of retention labels to information held in SHAREPOINT. The retention of materials being retained in the Public Interest is under review from the Senior Information Disclosure Officer.
(2) ROPA Compliance - All Information Asset Owners (IAO's) have been identified and all ROPA's reviewed by the Information Governance Team. ROPA's have been cross-checked to ensure compliance with the Constabulary retention schedule. For some complex systems (NICHE) it is not possible to identify a singular IAO.
(3) Constabulary Data Strategy - The outstanding areas for strategy delivery related to Training Team capacity to develop materials for inclusion as part of the annual integrity check. This capacity issue has recently been addressed - the relevant software is now available for use and timelines are awaited for the delivery of modules.
(4) Information Commissioners Office Audit (ICO) - All findings apart from one (relating to Training) have been delivered. The ICO has accepted this and signed off / published the audit.
(5) Office of the Biometrics Surveillance Camera Commissioner (OBSCC) - We had been liaising with the OBSCC in relation to how applications of biometric retention (fingerprints and DNA-63G-PACE) were managed we had identified an inconsistent approach and outdated guidance. All remaining activity here has been completed within the last three months with activity now managed as Business as Usual.
(6) Collaboration with IT - Information Governance and the IT Directorate continue to work collaboratively across a range of activities. These include working with Project Managers in terms of management of DPA's with potential suppliers, problem solving relating to cyber and / or information security / data breach events, attendance at Team Meetings to help communicate the roles of the Information Governance and IT Teams, sharing of articles where there is a common interest and Information Governance (compliance) representation at meetings such as Digital Board, A.I. Strategy and a joint IT & Compliance Meeting.

Mitigated Risk Assessment Score - Likelihood	3
Mitigated Risk Assessment Score - Impact	4
Mitigated Risk Assessment Value & RAG	12

Risk Assessment Projection Narrative
The revised Information Governance Accountability Tracker compliance figure is 78% - an increase on 2% points from Q2. Therefore, the mitigated risk value remains at 12 for Q3. The scale to be applied for likelihood scores is as follows - 85% =1, 80% =2, 70% =3, 60% =4 and 50% =5. Based on the activity underway, the forecast for the Tracker is over 80% by Q4 (therefore a reduced risk score of 8) and a compliance figure of over 85% by Q2 2026/27 (therefore a reduced risk score of 4). During 2026, once all mitigations move into Business as Usual delivery, there is the possibility to fully close this corporate risk.

Risk Assessment Projection - Q4 2025/26 - Value & RAG	8
Risk Assessment Projection - Q1 2026/27 - Value & RAG	8
Risk Assessment Projection - Q2 2026/27 - Value & RAG	4
Risk Assessment Projection - Q3 2026/27 - Value & RAG	4

Corporate Risk Reference
Corporate Risk Title
Reporting Period
Joint Audit Committee Date
Risk Owner

PR/740 - Governance
Business decisions are made outside of due process and without audit trail
Q3 2025/26
16/01/26
James DAVIS

Risk Overview
Within a professional environment as large and complex as Policing, effective and well-understood governance arrangements are critical to keeping us on track. A robust governance framework will help us ensure we meet our strategic outcomes. The starting point for good governance is having absolute clarity on the rules within which we choose to, and indeed must, operate to ensure consistent, transparent, evidence-based and ethical decision making.

Risk Assessments

Unmitigated Risk Assessment Score - Likelihood	3
Unmitigated Risk Assessment Score - Impact	4
Unmitigated Risk Assessment Value & RAG	12

Key Mitigations / Changes for Review by the Joint Audit Committee
(1) Constabulary Governance Framework - This has now been consistently deployed for three years since implementation in June 2022. Chief Officers have requested to review the current framework during Q3/Q4 to reflect the Geographic Operating Model and also Chief Officer roles and portfolios.
(2) Surveys - The PMO has introduced (from May) individual surveys for Committees to quickly track the effectiveness of their scrutiny of performance and use of data. Management information is now available via a QLIK dashboard with a latest average score (07/11/25) of 8.0.
(3) Annual TOR Review - The PMO, as owners of the governance processes have completed the 2025/26 review of all Terms of Reference for meetings in the Governance Framework and these have been signed off via the respective meeting.
(4) 2025 Governance Handbook - This will provide additional clarification of governance arrangements (classification of workstreams and their governance routing) - this is still subject to final amendments and points of clarification. Once published, the Handbook will provide consistent guidance for the management of the portfolio, continuous improvement and BAU.
(5) Annual Governance Statement for 2024/25 has been completed (May 2025) for inclusion with Constabulary accounts and provides an assessment against the CIPFA framework.

Mitigated Risk Assessment Score - Likelihood	2
Mitigated Risk Assessment Score - Impact	3
Mitigated Risk Assessment Value & RAG	6

Risk Assessment Projection Narrative
The risk impact is static and remains at 3/5. The likelihood score remains 3 for now. The objective metric to assess likelihood will be the overall survey score for governance effectiveness. The likelihood scale applied will be >9=1, >8=2, >7=3, >6=4 <6=5. The latest average governance survey score of 8.0 means the likelihood score has now been reduced to 2 and consequently an overall mitigated risk score of 6.

Risk Assessment Projection - Q4 2025/26 - Value & RAG	6
Risk Assessment Projection - Q1 2026/27 - Value & RAG	6
Risk Assessment Projection - Q2 2026/27 - Value & RAG	6
Risk Assessment Projection - Q3 2026/27 - Value & RAG	6

Corporate Risk Reference
Corporate Risk Title
Reporting Period
Joint Audit Committee Date
Risk Owner

PR/1436 - Confidence

The Constabulary has decreasing public confidence survey results

Q3 2025/26

16/01/26

DCC REILLY

Risk Overview

Public confidence and legitimacy is central to the ability to police effectively through consent. We understand that our own culture will directly impact on how the public feels about us. We are aware of the impact of the reporting of national failings and local complaints will have on public confidence. We recognise the requirement to mitigate this risk through policing competence, engagement and adherence to policing standards.

Risk Assessments

Unmitigated Risk Assessment Score - Likelihood

4

Unmitigated Risk Assessment Score - Impact

5

Unmitigated Risk Assessment Value & RAG

20

Key Mitigations / Changes for Review by the Joint Audit Committee

- (1) We continue to anchor our **confidence** risk mitigations around **policing competence, engagement, and policing standards**.
- (2) **Policing confidence - Public Confidence** - The latest Crime Survey England and Wales (CSEW) quarterly data reported in October shows an overall confidence rating of 68.3% showing a 2.5% increase over the last 12 months. The % of those surveyed who perceived police in the local area doing an excellent job was 53.0% - showing an increase of 8.0% over the last 12 months.
- (3) **Policing confidence - Victim based crime positive outcome rate** - Although the current rate of 9.2% still has the Force in the bottom quartile nationally, an intensification of Operation JUSTICE has helped achieve significant increases in positive outcomes.
- (4) **Policing confidence - Cyber security** - We have recently had our annual SyAP Security Assessment from the Police Digital Service. We have scored above the national average for all indicators.
- (5) **Engagement - Communication and Engagement Strategy** - This is being developed by Corporate Communications covering a three tier approach from corporate down to hyper-local.
- (6) **Engagement - Geographic Policing Model** - The new model supports the visible presence of Operational Police leads back in geographic areas which affords opportunities to develop local relationships. Within this model we have an identified Superintendent for Bristol, North East and Somerset designated to lead on partnership working. The new model represents a significant change with leadership on the ground helping create conditions for success for our staff.
- (7) **Engagement - Anti-Racist Work** - The delivery of our Anti-Racist work through Race Matters is overseen by an Independent Scrutiny and Advisory Board (community members).
- (8) **Policing Standards - Integrity Inspection** - This has been published providing the Constabulary with clear AFI's to address being managed through an Action Plan.
- (9) **Policing Standards - Professional Standards (PSD) investment** - We have seen a growth in PSD proactive elements such as the Counter Corruption Unit. We also have greater capacity to get through reactive work such as complaints with an additional Inspector now in place.

Mitigated Risk Assessment Score - Likelihood

3

Mitigated Risk Assessment Score - Impact

5

Mitigated Risk Assessment Value & RAG

15

Risk Assessment Projection Narrative

The impact score of the risk remains static with a value of 5. The likelihood score is determined by the objective public confidence rating. The latest position reported is 68% (October IPQR). A confidence score of 80%+ would score a likelihood score of 1, 70%+ a score of 2, 60%+ a score of 3, 50%+ a score of 4 and less than 50% a score of 5. Therefore for Q3 the assessment is still 3.

Risk Assessment Projection - Q4 2025/26 - Value & RAG

15

Risk Assessment Projection - Q1 2026/27 - Value & RAG

15

Risk Assessment Projection - Q2 2026/27 - Value & RAG

15

Risk Assessment Projection - Q3 2026/27 - Value & RAG

15

Avon & Somerset Constabulary Portfolio Management Office (PMO) - Strategic Corporate Risk Reporting

Corporate Risk Reference
Corporate Risk Title
Reporting Period
Joint Audit Committee Date
Risk Owner

PR/1887 - Digital
Inadequate readiness for Digital Transformation in Policing
Q3 2025/26
16/01/26
DCC REILLY (then Chief Digital Officer)

Risk Description
The risk that the organisation is not adequately prepared to adopt and integrate digital technologies into policing operations, leading to inefficiencies, ethical concerns, and reduced public confidence. This is caused by legacy systems, insufficient digital skills, fragmented innovation, lack of governance frameworks, and infrastructure development challenges. The impact of this is operational inefficiency, inability to respond to emerging digital threats, reputational damage, legal and ethical breaches, and erosion of public trust.

Risk Assessments

Unmitigated Risk Assessment Score - Likelihood	5
Unmitigated Risk Assessment Score - Impact	5
Mitigated Risk Assessment Value & RAG	25

Key Mitigations / Changes for Review by the Joint Audit Committee

- (1) **Strategy** - Recent National Strategy for Digital & Data and technology has been approved. Regional Business Digital Strategy written seeking PCC/Chief approvals. Includes tactical statements for delivery. Regional Workshop on 15/01/26 to take forward practical steps for implementation. Additionally the National Technology Strategy will have an impact for Forces - covers a ten year vision across three phases.
- (2) **Training Needs Analysis** - We are giving further consideration to the Open University Report (Training Needs Analysis of the workforce). Awaiting reply from NPCC about National Training. Opportunity to work with the Open University to seek procurement of bespoke package for regional training as a minimum. Also hoping to secure pilot of AI and Digital Apprenticeships via third party provider.
- (3) **Digi-SPOC Network** - The activity of this network remains BAU with frequent meetings and many examples of helpful training products (covering M365, NICHE)
- (4) **Benefits Management** - SWAP Benefit Management Audit Report received listing recommendations. Chief of Staff Task & Finish Benefits Working Group have identified activities to close off recommendations. The approach is at organisational level - but this will impact the delivery of IT projects mapped to the Constabulary Portfolio.
- (5) **Digital Leadership** - The informal GARTNER briefing was held at October Strategic Planning Meeting. Conversations have continued reference context of digital leadership expectations for the Chief Officer Group, Senior Leadership Group and Senior Leadership Teams. Additionally, the potential for a Chief Transformation Officer role is being explored.
- (6) **Digital Key Performance Indicators** - Reviewed at the November IT Directorate Away Day with development by the local IT-PMO. Opportunity to consolidate from existing products of the monthly Service Report and I.T. Portfolio Report.
- (7) **Portfolio of digital technologies** - Recent developments in the last quarter have included the go-live for Digital Evidence Management (DEMS), the continued Proof of Value work for SOZE, the development of an Outline Business Case for early 2026 for a new CX-Platform and the ongoing implementation of the ERP Programme of Work noting the go-live for the Finance element on 07/04/26.
- (8) **Cyber Security** - The Constabulary continues with its SYAP initiatives reflecting continuous improvement to protect the Constabulary against cyber-attacks.

Mitigated Risk Assessment Score - Likelihood	3
Mitigated Risk Assessment Score - Impact	5
Mitigated Risk Assessment Value & RAG	15

Risk Assessment Projection Narrative
The objective criteria for measurement of the mitigated "likelihood" assessment is still to be developed but will be linked to the requirement to develop Digital Key Performance Indicators. For Q3, a pragmatic assessment of "3" is retained reflecting the mitigations currently listed.

Risk Assessment Projection - Q4 2025/26 - Value & RAG	15
Risk Assessment Projection - Q1 2026/27 - Value & RAG	15
Risk Assessment Projection - Q2 2026/27 - Value & RAG	15
Risk Assessment Projection - Q3 2026/27 - Value & RAG	15

Avon & Somerset Police Audit Progress Report and Sector Update

Audit progress report and sector updates

January 2026



Agenda

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Audit Progress Report

Introduction



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This paper provides the Joint Audit Committee with a report on progress in delivering our responsibilities as your external auditors.

The paper also includes a series of sector updates in respect of emerging issues which the Committee may wish to consider.

Members of the Joint Audit Committee can find further useful material on our website, where we have a section dedicated to our work in the public sector. Here you can download copies of our publications:

[Local government | Grant Thornton](#)

If you would like further information on any items in this briefing or would like to register with Grant Thornton to receive regular email updates on issues that are of interest to you, please contact either your Engagement Lead or Engagement Manager.

Progress at January 2026

Financial Statements Audit

Our audit of your financial statements for 2024/25 was completed between June and September 2025, and we issued an unqualified opinion on 21 October 2025.

In February 2026 we will commence our audit risk assessment for 2025/26. We will issue a detailed audit plan, setting out our proposed approach to the audit of the 2025/26 financial statements to management before the end of April, and this will be presented to the Joint Audit Committee in the June meeting.

We plan to commence our audit fieldwork in late June 2026, subject to draft financial statements being published. We will discuss with management whether this timescale is realistic, given the statutory deadline for publishing of draft financial statements is 30 June 2026.

Value for Money

We aim to complete all 2025/26 Value for Money audit reviews by 30 November 2026.

We anticipate that financial sustainability will remain a key focus for our 2025/26 Value for Money reviews, particularly given the uncertainties around the timing and detail of the police grant settlement and the resulting impact on medium-term financial planning. Arrangements for governance and improving economy, efficiency and effectiveness will also be reviewed.

Where there are lessons to be learnt from the findings for our 2025/26 value for money reviews, we will seek to share them on a timely basis, to inform future practice.

We anticipate issuing our Auditor's Annual Report in September 2026.

Progress at January 2026 (cont.)

Meetings

We continue to liaise with Chief Finance Officers regarding strategic priorities and plans, with the latest meeting held on 5th January 2026.

Audit Fees

PSAA published their scale fees for 2025/26: [2025/26 audit fee scale – PSAA](#)

For the Police and Crime Commissioner and Chief Constable of Avon and Somerset these fees are £119,383 for the Police and Crime Commissioner and £63,838 for the Chief Constable. These fees are derived from the procurement exercise carried out by PSAA in 2022. They reflect both the increased work auditors must now undertake as well as the scarcity of audit firms willing to do this work.

Events

We plan to hold a webinar for members of [Audit Committees on 10th February 2026](#). We will be discussing best steps to take “After the Backstop”, including:

- ❖ Adding value to the financial reporting function; and
- ❖ How to navigate the external audit process with success.

We also plan to hold the Annual Local Government Accounts webinar for [preparers of accounts on 5th and 11th February 2026](#). Topics we will be discussing include:

- ❖ Aspects of financial reporting that are complex or challenging this year;
- ❖ Lessons from the implementation of IFRS 16, with good practice tips for Year Two;
- ❖ Avoiding pitfalls in financial instruments;
- ❖ Other common accounting and disclosure issues;
- ❖ Indexation for property, plant and equipment in 2025/26; and
- ❖ Revised statutory guidance affecting Minimum Revenue Provision

Invitations for the all our webinars will be available shortly on our website or can be obtained from your Engagement Lead or Audit Manager.

Audit Deliverables

Below are some of the audit deliverables planned for 2025/26

2025/26 Deliverables	Planned Date	Status
<p>Audit Plan We are required to issue a detailed audit plan to the Joint Audit Committee setting out our proposed approach in order to give our opinions on the 2025/26 financial statements.</p>	April 2026 to management July 2026 to JAC	Not yet due
<p>Audit Findings Report The Audit Findings Report is planned to be reported to the September Joint Audit Committee.</p>	September 2026	Not yet due
<p>Auditors Report These are the opinions on your financial statements and annual governance statements.</p>	September 2026	Not yet due
<p>Auditor's Annual Report The key output from local audit work on arrangements to secure Value for Money is an annual commentary on arrangements, which will be published as part of the Auditor's Annual Report (AAR). A draft of the AAR will be taken to the September Joint Audit Committee.</p>	September 2026	Not yet due

Policing Sector Update

Policing services are rapidly changing. Increased demand from the public and more complex crimes require a continuing drive to achieve greater efficiency in the delivery of police services. Public expectations of the service continue to rise in the wake of recent high-profile incidents, and there is an increased drive for greater collaboration between Forces and wider blue-light services.

Our sector update provides you with an up-to-date summary of emerging national issues and developments to support you. We cover areas which may have an impact on your organisation, the wider Police service and the public sector as a whole. Links are provided to the detailed report/briefing to allow you to delve further and find out more.

Our public sector team at Grant Thornton also undertake research on service and technical issues. We will bring you the latest research publications in this update. We also include areas of potential interest to start conversations within the organisation and with audit committee members, as well as any accounting and regulatory updates.

More information can be found on our dedicated public sector and police sections on the Grant Thornton website by clicking on the logo below:



Grant Thornton Publications
Insights from sector specialists
Accounting and regulatory updates

In his third annual assessment of policing in England and Wales, Sir Andy Cooke has said now is the moment to make sure the Government's Safer Streets mission and other policing reforms are properly funded, otherwise they risk falling short. They are vital to building the public's trust and making our communities safer. The previous Home Secretary should be recognised for her determination in taking forward reform and her support of policing over many years.

There has been a renewed focus on neighbourhood policing to help forces be more visible and responsive to community concerns. While further work is needed in this area, pledges such as the Neighbourhood Policing Guarantee are welcomed and helping forces to strengthen their approach.

New structures proposed by the then Home Secretary in November 2024, including a National Centre of Policing, should also help improve police procurement and access to technology and equipment. By centralising many support functions that forces rely on, such as IT, it could improve consistency between forces and potentially lead to efficiency savings.

In previous 'State of Policing' reports, HM Chief Inspector of Constabulary Sir Andy Cooke QPM DL raised his concerns over the decline in public confidence in the police service. This year, he has said it is promising that the evidence shows that this appears to be levelling out, but policing must continue to make concerted efforts before public confidence starts to improve.

The full report can be found [here](#).

HMICFRS



In a new PEEL spotlight report, 'How effectively do the police record crime?', His Majesty's Inspectorate of Constabulary and Fire and Rescue Services (HMICFRS) found that over the past decade, forces' awareness and understanding of how to prioritise and accurately record crimes has increased.

The full report can be found [here](#).

Wider sector updates

A briefing for audit committees on the wider sector updates across Public Sector Audit, Financial Reporting and the responsibilities of Audit Committee members

Lessons from 2023/24 auditors' annual reports

Recommended reading for Audit Committees:

In August 2025, we published a review of 100 Auditors' Annual Reports (AARs) produced by Grant Thornton for our local government audited bodies across England. This represents about a third of all councils in the country. The AARs offer a wealth of insights on what works, and what doesn't, when it comes to value for money and governance.

The reports in our sample showed that financial sustainability remains the major challenge for the majority of councils. Poor governance has led to some councils depleting their reserves and others incurring excessive borrowing, which current government policies around exceptional financial support and statutory override for dedicated schools grant deficits are not helping.

Common challenges for councils include gaps in risk management; high vacancy rates in internal audit; de-centralised contract management; under-supported project management; and the need for stronger, timelier data on performance. For Councils with Housing Revenue Accounts, there are also significant challenges with identifying, costing and managing high volumes of backlog repairs and maintenance work needed to meet regulatory standards.

However, with this being the second year of reporting on lessons from AARs, we also charted notable examples of cases where arrangements have been strengthened since 2022/23, yielding benefits. As well as good practice questions and reminders, the report includes case studies showing better: Control over transformation planning; approach to internal audit; project management; key performance indicator reporting; and rightsized workforce.

AAR findings in August 2025 can be compared to those from one year earlier by accessing the two years of full reporting here:

[Lessons from 2023/24 auditors' annual reports](#)

[Lessons from recent auditor's annual reports](#)



Future Webinar for Audit Committee members



We plan to hold a webinar for members of Audit Committees on 10th February 2026. Invitations will be available shortly on our website or can be obtained from your Engagement Lead or Audit Manager.

We will be hearing from two external speakers on best steps to take “After the Backstop”. With them, we will be discussing:

- ❖ Adding value to the financial reporting function; and
- ❖ How to navigate the external audit process with success.

We will also be covering latest developments in proposed reforms to the audit framework; updates on the new Local Audit Office; and what best to focus on while waiting for new audit arrangements to be finalised.

Join us to welcome-in 2026 and to plan good habits for the financial years ahead.

We look forward to seeing you.

Annual Local Government Accounts Webinar

We hold annual local government accounts webinars to help preparers meet their statutory deadlines and work effectively with auditors. We plan to host the next webinars on Thursday 5th February and Wednesday 11th February 2026 from 10.00am until 3.00pm.

Invitations will be available shortly on our website or can be obtained from your Engagement Lead or Audit Manager.

Specific aspects of the webinars will include:

- ❖ Practical considerations for working effectively with your auditors in shortening timescales, and reminders of what good supporting analysis and evidence looks like;
- ❖ Lessons from the implementation of IFRS 16, with good practice tips for Year Two;
- ❖ Avoiding pitfalls in financial instruments;
- ❖ Other common accounting and disclosure issues;
- ❖ The use of indexation for property, plant and equipment for 2025/26; and
- ❖ Revised statutory guidance affecting Minimum Revenue Provision.

It is critical to plan for the audit process as early as possible; and helpful to think ahead about how you can prepare. Your audit team can provide tools to ensure that key areas are considered before your audit is underway:

- ❖ Accounts consistency checker – to help local government bodies check consistency of key accounting entries and disclosures within the financial statements, and identify any anomalies to address before publishing draft statements of accounts; and
- ❖ Financial reporting issues checklist – covering the most frequent issues arising from our reviews of local authority financial statements and setting out questions to help local government bodies with their own quality checks as they prepare financial statements.



Joint Audit Committee resources

The Audit Committee and organisational effectiveness in local authorities (CIPFA):

<https://www.cipfa.org/services/support-for-audit-committees/local-authority-audit-committees>

LGA Regional Audit Forums for Audit Committee Chairs

These are convened at least three times a year and are supported by the LGA. The forums provide an opportunity to share good practice, discuss common issues and offer training on key topics. Forums are organised by a lead authority in each region. Please email ami.beeton@local.gov.uk LGA Senior Adviser, for more information.

CIPFA Application Note: Global Internal Audit Standards in the UK Public Sector

[Global Internal Audit Standards in the UK Public Sector | CIPFA](#)

CIPFA Good Governance

[Delivering Good Governance in Local Government Addendum](#)

Code of Audit Practice for local auditors (NAO):

<https://www.nao.org.uk/code-audit-practice/>

The Three Lines of Defence Model (IAA)

<https://www.theiia.org/globalassets/documents/resources/the-iias-three-lines-model-an-update-of-the-three-lines-of-defense-july-2020/three-lines-model-updated-english.pdf>

Risk Management Guidance / The Orange Book (UK Government):

<https://www.gov.uk/government/publications/orange-book>

Other CIPFA Guidance and Codes

The following are available from CIPFA but have a charge. We encourage you to make enquiries to determine if copies are available within your organisation:

- Audit Committees: Assessing effectiveness
- Financial Management Code
- Prudential Code
- Treasury Management Code



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**AVON &
SOMERSET**
POLICE & CRIME
COMMISSIONER



Report 9a

Avon & Somerset Constabulary and Office of the Police and Crime Commissioner Joint Audit Committee (JAC)

Report of Internal Audit Activity – January 2026

Internal Audit ▪ Risk ▪ Special Investigations ▪ Consultancy

Executive Summary

SWAP is required to provide an annual opinion to support the Annual Governance Statement.

As part of our plan progress reports, we will look to provide an ongoing opinion to support the end of year annual opinion.

We will also provide details of any significant risks that we have identified in our work. A reminder of our assurance opinions and risk assessment is on our [website](#).

The Chief Executive for SWAP reports company performance on a regular basis to the SWAP Directors and Owners Boards.

Audit Opinion & Significant Risks

We are able to provide a reasonable rolling assurance opinion, based on work completed in 2025/26 to date. We have identified no significant risks via our work this year.

Audit Plan Progress

Since the last committee in September 2025, the following audits have been completed:

- Benefits Realisation
- Overtime and Shift Allowances
- Network Boundary Defences
- Ammunition and Armoury Management – Follow Up

These audit reports are submitted with this update. Further detail is provided on the status of each audit in **Appendix A** and performance against the annual budget is summarised in the table below:

Performance Measure	2025/26 Performance
Delivery of Annual Audit Plan	
Completed	19%
Reporting	0%
In Progress	37%
Not Started	8%
Not Yet Due (Q4)	25%
Ongoing Support (Planning, reporting & Advice)	11%

The **ICT Disaster Recovery** audit, deferred from Q1 due to ICT pressures, has been delayed further as requested evidence and supporting information were not provided; the Force is now drafting a new DR plan, and scope discussions with the OPCC CFO are ongoing.

The **ICT Procurement and Contract Management** review, originally deferred from Q2 to Q3, is now likely to start in Q4 at the earliest, depending on completion of the Disaster Recovery audit and engagement from the Force.

All remaining Q2 and Q3 audits are either in progress or complete.

Internal Audit Plan Progress 2025/26

Appendix A

Audit Area	Period	Estimated Cost	Status	Opinion	No of Recs	1 = Major	↔	3 = Minor
						Recommendations		
						1	2	3
2024/25								
Network Boundary Defences	Q4	£4,776.00	Completed	Limited	5	1	4	-
2025/26								
Overtime and Shift Allowances	Q1	£4,920	Completed	Limited	5	0	2	3
Benefits Realisation	Q2	£6,150	Completed	Reasonable	4	0	2	2
Corporate Credit Cards Follow Up	Q1	£615	Completed	Follow Up	N/A	-	-	-
Criminal Justice Follow Up	Q2	£1,025	Completed	Follow Up	N/A	-	-	-
Ammunition and Armoury Management Follow Up	Q3	£1,230	Completed	Follow Up	N/A	-	-	-
Hybrid Working	Q1	£6,150	In Progress	-	-	-	-	-
ICT Disaster Recovery	Q2	£4,920	In Progress	-	-	-	-	-
Payroll and Expenses	Q3	£6,150	In Progress	-	-	-	-	-
Management of Officer Restrictions	Q3	£6,150	In Progress	-	-	-	-	-
Regional Motor Insurance	Q3	£2,050	In Progress	-	-	-	-	-
ICT Procurement and Contract Management	Q3	£6,150	Not Started	-	-	-	-	-
Workforce Planning	Q4	£6,150	Not Yet Due	-	-	-	-	-
Neighbourhood Policing and Public Engagement – Implementation and Change Effectiveness Review	Q4	£4,920	Not Yet Due	-	-	-	-	-

Audit Area	Period	Estimated Cost	Status	Opinion	No of Recs	1 = Major	↔	3 = Minor
						Recommendations		
						1	2	3
FMS Assurance Mapping	Q4	£4,920	Not Yet Due	-	-	-	-	-
Regional Collaboration Governance Review	Q4	£2,050	Not Yet Due	-	-	-	-	-

Audit Objective

To provide assurance regarding the Forces accurate application of overtime and shift allowance regulations and provisions.

Executive Summary

	Assurance Opinion	Management Actions		Organisational Risk Assessment	Medium
		Priority 1	0		
		Priority 2	2		
		Priority 3	3		
		Total	5		

Key Conclusions

		Audit Scope
	Testing identified weaknesses in the overtime approval process, particularly for paper form claims submitted beyond 26 weeks. Some instances were noted where officers claimed for work already paid or not undertaken (e.g., during periods of leave). Although managers signed declarations confirming the accuracy of these claims, evidence suggests that appropriate checks were not undertaken, with issues only identified by Payroll, whose role does not include claim verification. To mitigate the risk of overpayments, fraud, and non-compliance, managers should be reminded of their responsibility to thoroughly review and validate all claims prior to approval, regardless of the submission method.	This review focused on the following: <ul style="list-style-type: none"> A review of overtime and shift allowance payments for April 2024 to May 2025, including data analysis and sample testing to identify anomalies and/ or inflated or non-compliant claims. A review of policies, procedures, roles and responsibilities regarding overtime and shift allowances and compliance regarding eligibility/ legitimacy, authorisation, and limits. An evaluation of supporting systems. An evaluation of the provision of ongoing reporting and management information. A review of the accounting for overtime, in particular where this is incurred in support of specific events or incidents ensuring an appropriate code is used to enable reporting of costs against any funding or income that might be provided.
	The data analysis identified old claims for overtime and additional hours, submitted more than 26 weeks after the work was performed, including claims dating back as far as 2014. Sample testing revealed limited supporting evidence beyond officer and manager sign-off. This presents a risk of duplicate payments and financial inaccuracies. Senior managers should determine whether to implement a cut-off date for claims, taking into account the potential risk.	
	The review established that all relevant procedures for overtime and shift allowance are fully aligned to the Police Staff Handbook and Police Officer Regulations. This ensures a consistent approach to the administration of additional payments, providing greater assurance of compliance with internal guidelines and relevant regulations.	

Conclusion

The review has identified weaknesses in the overtime approval process, particularly in relation to legacy paper-based claims and insufficient scrutiny by line managers. Instances of claims for work not undertaken or previously compensated highlight the need for remedial action to strengthen internal controls. Significantly delayed submissions, some dating back to 2014, further increases the risk of duplicate payments and financial misstatement. While the relevant procedures align with the Staff Handbook and Police Officer Regulations, ensuring procedural consistency, the lack of verification undermines overall compliance. It is therefore imperative that managers are reminded of their responsibility to conduct thorough reviews prior to approving claims. Senior management should also consider implementing a definitive cut-off date for historical overtime submissions to mitigate future risk. With new software expected to remove pre-authorisation, greater responsibility will fall on managers, and the Force must be aware of the potential risks this change introduces.

The opinion provided in this review also takes into account the areas we were unable to assess due to limitations in the available data.

Appendix 1

Findings and Action Plan

1.1 Managers not completing the correct checks on overtime claims	1.1a Action
<p>Overtime and other non-standard working hours are processed through a three-step system. First, the manager must pre-authorise the overtime. Next, the officer submits their claim, and finally, the manager approves the submitted claim. However, if the claim relates to work completed more than 26 weeks prior, the officer must complete a paper form, which must then be reviewed and signed by their manager.</p> <p>Testing identified 7 out of 43 cases (16%) where paper form claims included hours already paid or work not actually performed, such as during periods of leave. These inaccurate submissions were often the result of delays by officers in submitting their claims on time.</p>	<p>The Assistant HR Business Partner and the Director of HR and OD have agreed to ensure managers validate all overtime claims, especially paper forms for work over 26 weeks old, ensuring hours are accurate, not previously paid, and align with approved work. Introducing a validation checklist, targeted training, and regular reminders will strengthen oversight.</p>
	<p>Priority 2 SWAP Ref. AP#7408</p>
	<p>Responsible Officer Assistant HR Business Partner/ Director of HR and OD</p>
	<p>Timescale 31st March 2026</p>
1.2 Overtime claims dating back many years	1.2a Action
<p>The data analysis review identified overtime, bank holiday, and rest day claims dating back to 2019, with one claim as far back as 2014, despite guidance stating that they should be submitted timely.</p> <p>Sample testing revealed that the only evidence of work completed was a signed form by the officer and manager, no further evidence was presented to payroll. Officers provide a signed declaration form confirming the claim represents a true record of hours worked and has not previously been paid or taken as time off in lieu. As discussed in the finding above, managers also certify the claim by signing to confirm they have reviewed and validated its accuracy.</p>	<p>The Assistant HR Business Partner and the Director of HR and OD have agreed to determine and implement a clear timescale for submitting overtime claims, balancing operational needs with the risk of duplicate payments from delayed submissions.</p>
	<p>Additionally, all officers will be reminded of their responsibility to submit overtime claims promptly to support accurate payroll processing and financial management in line with the above.</p>
	<p>It is also recommended that officers submit all outstanding overtime claims related to their current role before transitioning to a new position. Likewise, managers or approvers changing roles should ensure they review and approve any pending claims for their existing team.</p>
	<p>Priority 2 SWAP Ref. AP#7409</p>
	<p>Responsible Officer Assistant HR Business Partner/ Director of HR and OD</p>
	<p>Timescale 31st March 2026</p>

1.3	Managers understanding of overtime	1.3a	Action	
<p>Finance business partners are responsible for producing monthly financial reports that are used to inform management discussions. These reports include detailed analyses of overtime expenditure, broken down by directorate, and provide visibility over a 14-month period. The reports also include a year-on-year comparison, enabling directorates to track trends in overtime usage and assess any increases or reductions over time.</p> <p>While these reports are a valuable resource intended to support informed decision-making and financial oversight, the current review did not extend to evaluating how these reports are interpreted or used by directorate managers. Specifically, we did not assess the extent to which managers understand the data presented, nor how effectively they apply this information to control and manage overtime within their respective areas.</p> <p>If managers do not fully understand or effectively use overtime reports, there is a risk of uncontrolled overtime spending, budget overspends and missed opportunities to improve workforce efficiency. This could lead to poor financial management, inconsistent decision-making, and reduced accountability within directorates.</p>		<p>The Head of Finance will ensure that overtime information supports managers in effectively managing the overtime within their directorates. This will include:</p> <ul style="list-style-type: none"> Reviewing the pre-authorisation of overtime compared to the budget to identify variances and trends. Engaging with managers to assess their understanding and utilisation of the overtime reports. Exploring options for managers to generate their own reports, where appropriate, to enhance oversight and decision making. 		
		Priority	3	SWAP Ref.
		Responsible Officer	Head of Finance	
		Timescale	31 st March 2026	
1.4	Coding of overtime for specific events	1.4a	Action	
<p>We conducted a thorough review of the process for recording overtime hours related to specific events, such as football matches and concerts. Our analysis revealed that there is a shared responsibility between officers and managers to ensure that overtime is accurately coded to the corresponding event. Specifically, managers hold the primary responsibility for assigning event codes during the pre-authorisation stage, which helps streamline the tracking process before the overtime is incurred. However, in instances where managers do not complete this step, officers themselves have the ability to apply the appropriate event codes retrospectively.</p> <p>Our review found that the application of event codes to overtime entries is not consistently performed across all cases. This inconsistency results in a portion of overtime not being directly linked to specific events within the system. Consequently, the Finance team is required to intervene by manually reviewing and adjusting overtime reports to incorporate the full extent of event-related hours. This additional manual step not only increases the workload for Finance but also introduces the potential for errors or omissions.</p> <p>The lack of uniform coding practices presents a risk of inaccurate reporting, which can compromise the organisation's ability to effectively monitor and control event-related expenditures. Furthermore, these inefficiencies hinder timely and accurate financial analysis, affecting budget management and strategic planning.</p>		<p>The Head of Finance has agreed to ensure that managers and officers are reminded of the importance of accurately coding overtime to specific events when working non-standard hours. Clear communication and refresher training on coding responsibilities will help ensure overtime is correctly recorded, enhancing reporting accuracy and reducing the need for manual adjustments.</p>		
		Priority	3	SWAP Ref.
		Responsible Officer	Head of Finance	
		Timescale	30th November 2025	

1.5	Data analysis limitations	1.5a	Action
Data was requested from the service to help support testing and outcomes of the review. There were a number of limitations, as follows:		<p>The Payroll and Pensions Manager and the Director – Finance and Business Services have agreed to address data quality and system limitations to improve oversight, reporting, and operational control. Specifically:</p> <ul style="list-style-type: none"> • Claim Dates: The dataset did not include the dates on which claims were submitted or the date to which the claims related. As a result, it was not possible to assess the risk of duplicate claims with any degree of assurance. • Authorisation Records: Authorisation information was absent from both datasets, limiting our ability to confirm whether appropriate approval processes had been followed across the entire population. Verification could only be performed through limited sample testing. • System Transition: Due to a change in pay scales, historical claim data was restricted to records dated from 01/04/2021 onwards. While data captured after this point generally appeared accurate, there were a small number of exceptions which were subject to further review. • Directorate Data: Although the overtime dataset included the officer's area of employment, it did not capture their rank at the time of the claim, as ranks are updated when an officer changes teams. The shift allowance dataset contained neither team nor rank information. Consequently, it was not possible to conduct any area-based analysis of shift allowance claims. <p>Due to the time constraints associated with the audit, the analysis was conducted using only the data that was provided, which may limit the scope of conclusions. Please see Appendix 1 for further detail around data analysis.</p> <p>The absence of key data and reliance on partial datasets restrict the depth and breadth of analysis, increasing the likelihood that material errors, irregularities, or instances of non-compliance and/or fraud may go undetected.</p>	
		Priority	3
		Responsible Officer	Payroll and Pensions Manager/ Director – Finance & Business Services
		Timescale	31 st December 2026

Audit Assessment of Agreed Themes		
Theme	RAG Rating	Rationale
Leadership & Culture		Our audit has highlighted areas where the Force could strengthen its controls. The findings indicate a leadership and cultural issue regarding compliance responsibilities. Effective leadership engagement, accountability, and a culture of integrity and ownership are essential to address these weaknesses and strengthen operational and financial management.
Learning		Our findings highlight opportunities to enhance learning. Training should focus on equipping managers and officers with the knowledge, skills, and mindset to fulfil their roles properly, understand the risks involved, and use systems effectively. This will help reduce errors, prevent financial losses, improve operational efficiency, and embed a culture of accountability and continuous improvement.
Diversity & Inclusion	N/A	We have been unable to provide an opinion on diversity and inclusion due to the scope of this review.

Appendix A

Detailed Data Analysis

This section has been included to provide additional context on the approach taken during the audit, as well as to present selected findings from the data analysis that was conducted. The purpose of this analysis was to identify trends, anomalies, or risk indicators within the dataset that could inform the audit strategy. Based on these insights, a risk-based sample of transactions was selected for detailed testing as shown in the main report above. This sampling approach ensured that audit efforts were focused on areas of higher risk.

Data analysis completed

* The data analysis was conducted using the information provided to audit. As noted in the action above, certain data was unavailable at the time, which imposed limitations on the review.

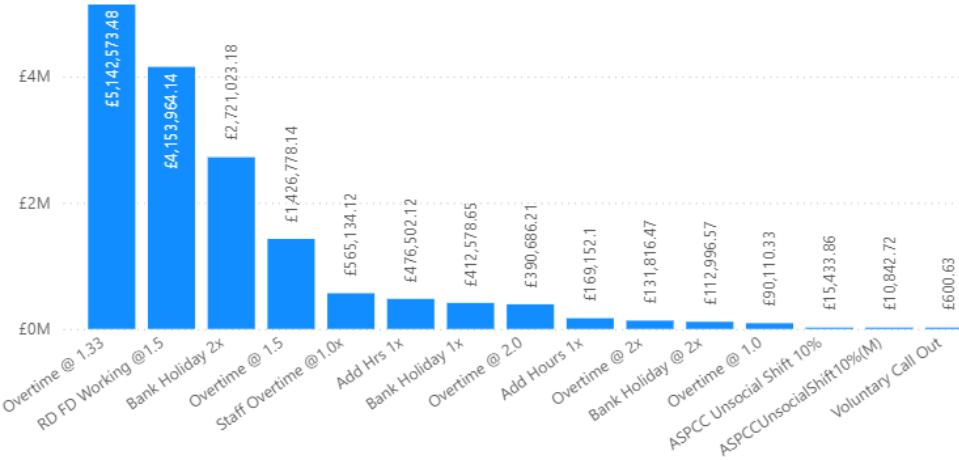
Type	Overall Value	3 Month old claims	3 Month percentage	6 month old claims	6 month percentage
Add Hours 1x	£ 169,152.10	£ 10,359.04	6.12%	£ 365.26	0.22%
Add Hrs 1x	£ 476,502.12	£ 21,017.83	4.41%	£ 10,281.73	2.16%
ASPC Unsocial Shift 10%	£ 15,433.86	£ 11,892.75	77.06%	£ 10,406.54	67.43%
ASPC Unsocial Shift 10% (M)	£ 10,842.72	£ 1,423.36	13.13%	£ 775.74	7.15%
Bank Holiday @ 2x	£ 112,996.57	£ 5,649.71	5.00%	£ 1,390.48	1.23%
Bank Holiday 1x	£ 412,578.65	£ 8,037.22	1.95%	£ 2,032.96	0.49%
Bank Holiday 2x	£ 2,721,023.18	£ 133,530.78	4.91%	£ 35,822.99	1.32%
Overtime @ 1.0	£ 90,110.33	£ 1,406.41	1.56%	£ 21.65	0.02%
Overtime @ 1.33	£ 5,142,573.48	£ 295,356.41	5.74%	£ 54,842.24	1.07%
Overtime @ 1.5	£ 1,426,778.14	£ 60,832.69	4.26%	£ 22,236.74	1.56%
Overtime @ 2.0	£ 390,686.21	£ 14,578.18	3.73%	£ 2,944.72	0.75%
Overtime @ 2x	£ 131,816.47	£ 3,178.63	2.41%	£ 155.94	0.12%
RD FD Working @ 1.5	£ 4,153,964.14	£ 286,327.33	6.89%	£ 103,150.49	2.48%
Staff Overtime @ 1.0x	£ 565,134.12	£ 31,170.74	5.52%	£ 10,457.49	1.85%
Voluntary Call Out	£ 600.63	£ 34.19	5.69%	£ -	0.00%
Grand Total	£ 15,820,192.72	£ 884,795.27	5.59%	£ 254,884.97	1.61%

Row Labels	Directorate	Sum of Amount	Average monthly claim
Officer A	Detainee Inv	£ 47,299.54	£ 3,378.54
Officer B	Specialist Ops	£ 42,980.66	£ 3,070.05
Officer C	Patrol	£ 42,726.87	£ 3,051.92
Officer D	Tactical Sup	£ 37,751.14	£ 2,696.51
	Triforce Train		
Officer E	Triforce	£ 36,047.42	£ 2,574.82
Officer F	SW ROCU	£ 33,306.33	£ 2,379.02
Officer G	Triforce	£ 33,099.97	£ 2,364.28
Officer H	Patrol	£ 32,296.89	£ 2,306.92
Officer I	Estates and FM	£ 32,131.95	£ 2,295.14
Officer J	CT Inv Unit	£ 31,922.54	£ 2,280.18
	SW ROCU		

The first chart on the left provides a breakdown of the various categories of overtime and non-standard working hours. The total value represents the cumulative cost of each category for the period from April 2024 to the end of May 2025. The column titled "Three-Month-Old Claims" shows the total value of claims submitted by officers more than three months after the associated work was completed. The subsequent column illustrates the proportion of each claim type as a percentage of the total cost incurred by the Force. "Six-Month-Old Claims" refers to claims submitted more than six months after the work was undertaken. As noted in the accompanying audit report, these claims are submitted via paper forms, which introduces certain operational risks associated with manual processing.

The second chart on the right identifies the individuals with the highest total claims during the 14-month reporting period. The "Sum" column reflects the total amount paid to each officer, while the "Average Monthly Claims" figure is calculated by dividing the total claim value by 14 months. These figures encompass all categories of working claims, including but not limited to overtime, as detailed in the preceding chart.

Amount spent on each type of non-standard working hours (Figure1)



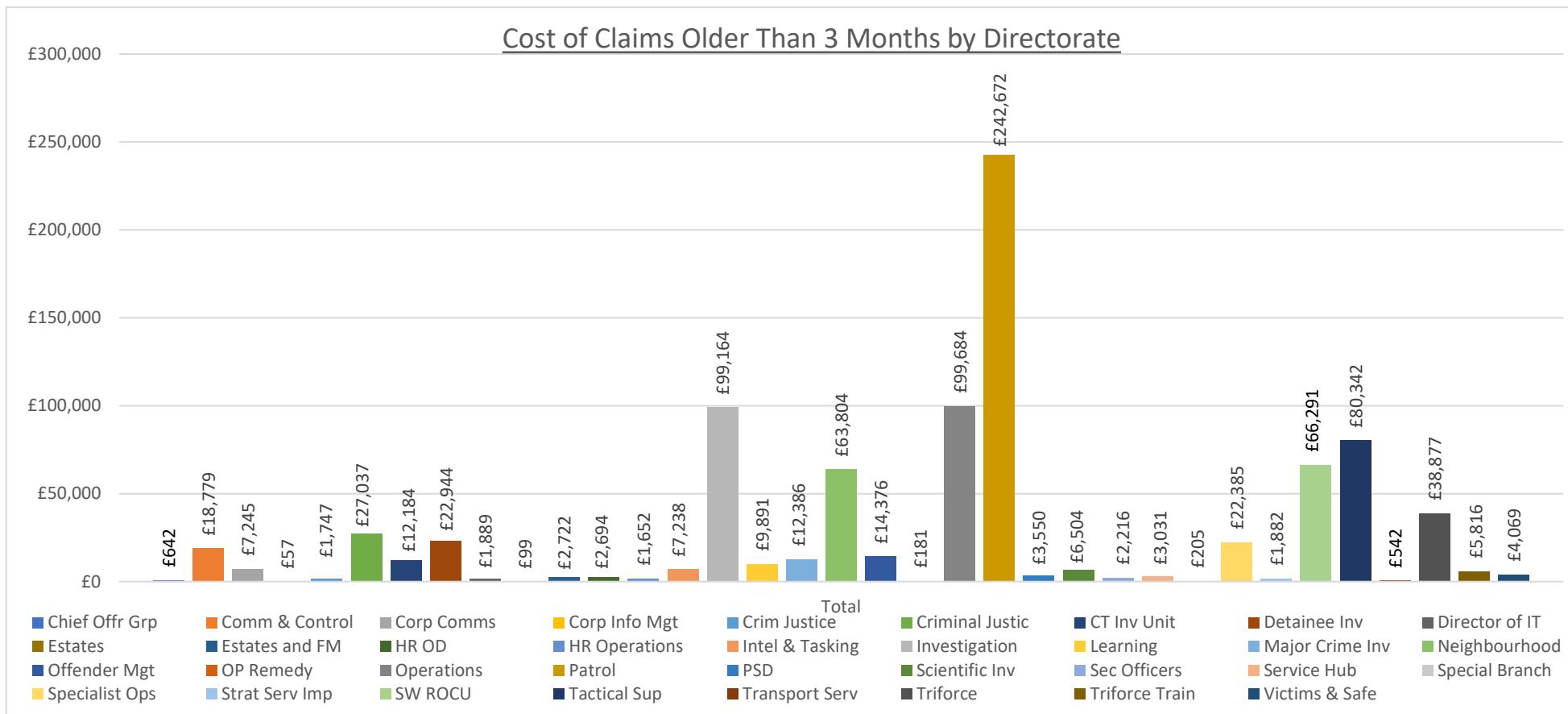
This graph illustrates total expenditure by category of additional work, as outlined in the initial chart. The highest expenditure was for overtime paid at a rate of 1.33, with total payments exceeding £5.14 million over the 14-month period. The second highest category was "rest day working", paid at a rate of 1.5, with total payments exceeding £4.15 million during the same period.

This chart presents the total number of claims processed over the 14-month period. The second column shows the number of claims submitted by officers across the various categories of additional working. We also analysed claims submitted more than three months after the completion of the associated work, including a breakdown by type of work and their respective proportions.

In line with the methodology used in the previous chart, we also examined claims submitted more than six months after the work was carried out. These claims, which were submitted via paper forms, have likewise been analysed by type and expressed as a percentage of total claims.

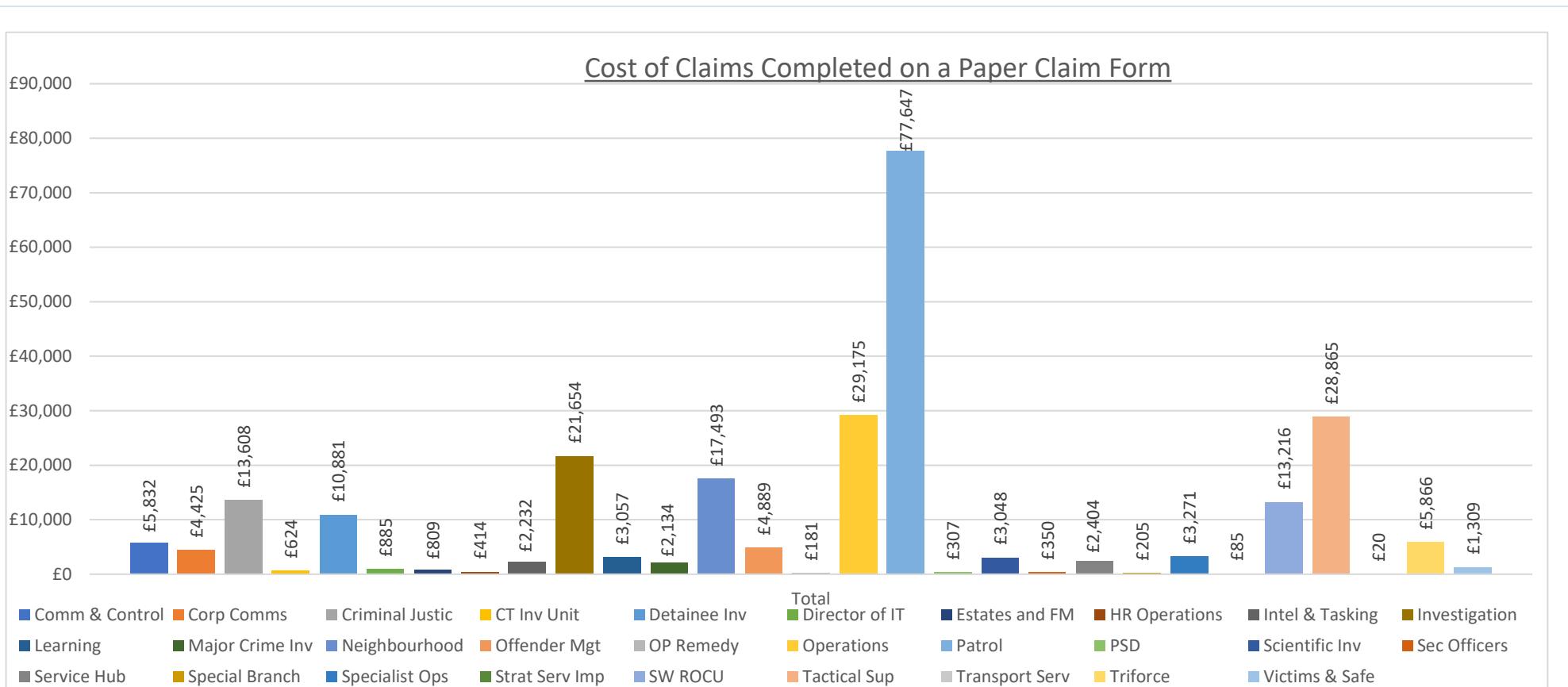
Comparison with the financial data in the first chart shows that the proportion of 'old claims' is higher by volume than by value. This suggests that the individual value of delayed claims is generally lower than those submitted within the expected timeframe.

Type	Overall Value	3 Months	3 Month percentage	6 months	6 month percentage
Add Hours 1x	1,319	109	8.26%	19	1.44%
Add Hrs 1x	2,389	209	8.75%	100	4.19%
ASPCC Unsocial Shift 10%	302	175	57.95%	158	52.32%
ASPCCUnsocialShift10%(M)	385	31	8.05%	11	2.86%
Bank Holiday @ 2x	740	32	4.32%	8	1.08%
Bank Holiday 1x	3,282	69	2.10%	15	0.46%
Bank Holiday 2x	7,690	440	5.72%	130	1.69%
Overtime @ 1.0	532	14	2.63%	3	0.56%
Overtime @ 1.33	30,824	2,273	7.37%	567	1.84%
Overtime @ 1.5	7,623	456	5.98%	183	2.40%
Overtime @ 2.0	745	54	7.25%	11	1.48%
Overtime @ 2x	564	17	3.01%	1	0.18%
RD FD Working @ 1.5	11,753	913	7.77%	345	2.94%
Staff Overtime @ 1.0x	5,683	427	7.51%	173	3.04%
Voluntary Call Out	16	1	6.25%	-	0.00%
Grand Total	73,847	5,220	7.07%	1,724	2.33%



This graph illustrates the total value of claims submitted more than three months after the work was completed and subsequently approved. The figures represent the monetary value of the claims, rather than the number of individual submissions.

The values have been categorised by directorate, as shown in the legend below the graph. The Patrol Directorate accounted for the highest total, with delayed claims amounting to £242,672.42. Two other directorates—Investigations and Operations—also recorded significant values, each with almost £100,000 in claims submitted beyond the three-month timeframe.



This graph shows the total value of claims submitted more than six months after the associated work was completed and approved. The figures represent the financial cost of the claims, rather than the number of individual submissions.

The figures are broken down by directorate, as shown in the legend beneath the graph. The Patrol Directorate recorded the highest total, with delayed claims amounting to £77,646.79. Three other directorates - Operations, Tactical Support, and Investigations - each submitted claims exceeding £20,000 beyond the six-month threshold.

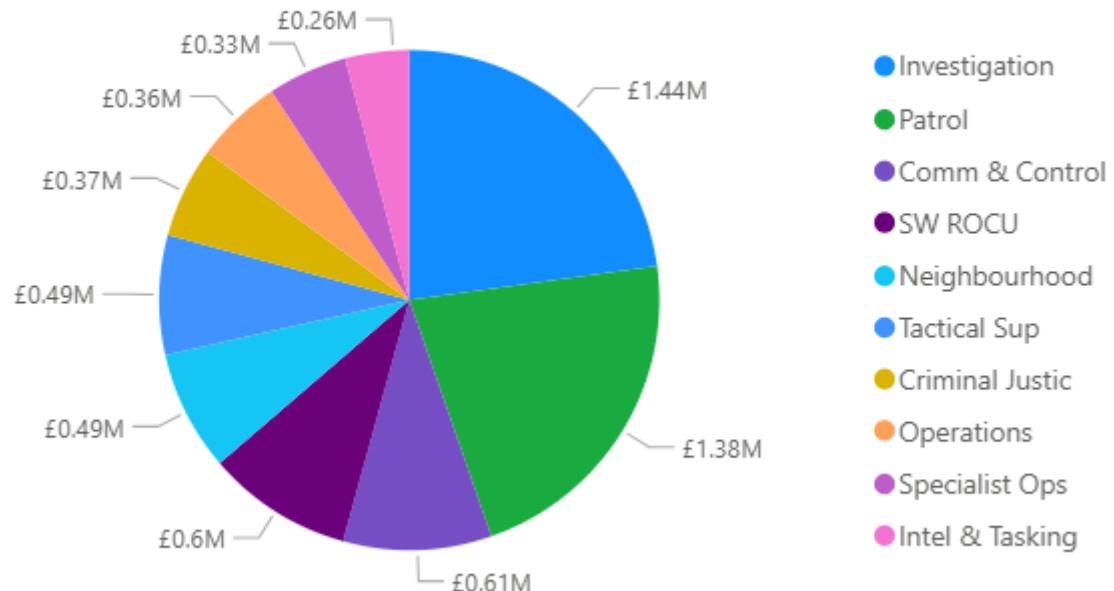
As previously noted, all of these claims were submitted via paper forms and manually entered into the system by the Payroll Team.

Overtime Information Only

* The following data focuses solely on the overtime data with other types of non-standard working excluded from the data.

<u>Number of claims</u>	<u>Number of officers who claimed overtime</u>	<u>Total spend on overtime only</u>
45971	4239	£7.75M

Top 10 Directorates in amounts spent (figure 1)



The figures at the top of the page represent the total overtime expenditure incurred by the Force during the 14-month period from April 2024 to May 2025. In this period, 45,971 overtime claims were submitted by 4,239 individual officers.

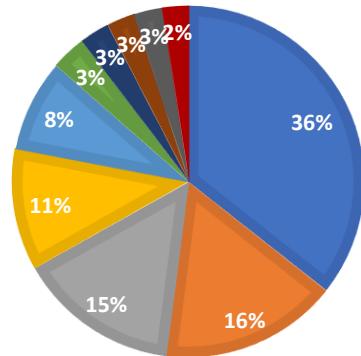
The accompanying pie chart highlights the top ten directorates by total value of overtime claims. Together, these directorates account for £6.33 million, representing 82% of the total overtime expenditure.

The Investigations Directorate recorded the highest overtime spend at £1.44 million, followed by the Patrol Directorate at £1.38 million. Combined, these two directorates are responsible for over one-third of the overtime claimed by the top ten directorates and account for 36% of the Force's overall overtime costs.

* This page looks only at overtime claims submitted more than 6 months after the work was completed and were therefore processed on a paper form.

CLAIMS - TOP 10 DIRECTORATES OVER 6 MONTHS

- Patrol
- Investigation
- Neighbourhood
- Comm & Control
- SW ROCU
- Specialist Ops
- Tactical Sup
- Corp Comms
- Criminal Justic
- Offender Mgt



Directorate	Sum of over 6 months
Tactical Sup	£ 16,937.39
Patrol	£ 15,660.76
SW ROCU	£ 11,131.22
Investigation	£ 7,563.07
Neighbourhood	£ 5,960.08
Criminal Justic	£ 5,765.10
Comm & Control	£ 4,174.76
Corp Comms	£ 4,162.26
Operations	£ 2,941.07
Triforce	£ 2,490.07

The first pie chart illustrates the number of individual overtime claims submitted on paper forms during the 14-month review period. It highlights the top ten directorates by volume of claims.

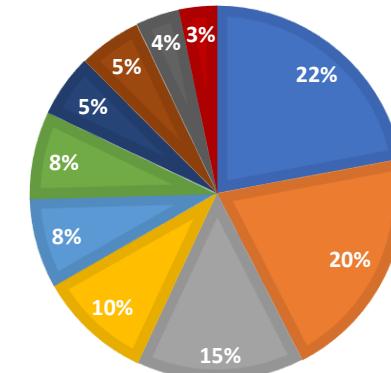
Within this group, the Patrol Directorate accounted for the largest share, representing 36% of total claims, followed by the Investigations Directorate at 16%.

The second pie chart below shows the total value of paper-form overtime claims, again focusing on the top ten directorates by cost. The accompanying bar chart provides a detailed breakdown of this data.

The Tactical Support Directorate recorded the highest overtime cost among these directorates, with claims totalling £16,937.39 (22% of the top ten by value). Against the overall cost of paper-based overtime claims (£90,658.78), Tactical Support accounts for 19% of the total.

AMOUNTS - TOP 10 DIRECTORATES OVER 6 MONTHS

- Tactical Sup
- Patrol
- SW ROCU
- Investigation
- Neighbourhood
- Criminal Justic
- Comm & Control
- Corp Comms
- Operations
- Triforce



Benefit Realisation – Final Report – November 2025



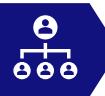
Audit Objective

To provide assurance that the benefit realisation process is implemented effectively and to identify any areas for improvement.

Executive Summary

	Assurance Opinion <p>The review highlighted a generally sound system of governance, risk management and control in place. We identified some issues, non-compliance or scope for improvement which may put at risk the achievement of objectives in the area audited.</p>	Management Actions		Organisational Risk Assessment <p>Our audit work includes areas that we consider have a medium organisational risk and potential impact. The key audit conclusions and resulting outcomes warrant further discussion and attention at senior management level.</p>	Low
		Priority 1	0		
		Priority 2	2		
		Priority 3	2		
		Total	4		

Key Conclusions

		Audit Scope
	<p>Benefit realisation is embedded in the Benefits Management Framework; however, the Framework is out of date and does not align to current practices, including governance, approval and benefit change processes. Additionally, audit testing found that while SMART benefits are being captured by the Project Management Office (PMO) within VERTO, this is a result of proactive PMO work rather than the benefits being consistently defined as SMART within business cases. A review of report templates also found they do not adequately support the reporting of SMART benefits, limiting oversight and consistent monitoring across projects.</p>	<p>The audit considered the following:</p> <ul style="list-style-type: none"> ▪ Benefit realisation is embedded in the project management framework.
	<p>A review of four business cases confirmed that project benefits were not defined as SMART. This issue has also been identified by the PMO through post implementation and captured via lessons learned. While guidance and support is provided by the PMO when required, the introduction of written guidance on formulating SMART benefits would help improve consistency and strengthen project benefit development and outcomes. Additionally, a reporting gap exists: Benefit Realisation Plans and Benefit Realisation Reports are not consistently used, limiting visibility of benefit progress, emerging trends, and exception reporting for high risk or off-track benefits that could impact the organisation.</p>	<ul style="list-style-type: none"> ▪ Governance processes are in place to control benefit changes, ensure accountability, and appropriate reporting and approval lines.
	<p>The Seven Stages of the Project Lifecycle have been implemented, providing structured governance from initiation through to closure. A review of four projects confirmed consistent application of this process.</p> <p>The PMO provides independent scrutiny and centralised oversight of benefits using VERTO (benefit management system). A review of benefit records for four projects found that benefits were SMART, up to date, comprehensive, relevant, and accurate. A benefit confidence assessment is in place, using a well-structured five-level scale linked to clear, objective questions supporting consistent and on-going evaluation.</p> <p>Off-track benefits are reported in project closure reports and reviewed during post implementation evaluations carried out by the PMO. Any undelivered benefits or issues identified during this process are captured in QLIK (data management system), which captures lessons learned. Both VERTO and QLIK were found to be effective systems for tracking benefits and lessons learned, supporting analysing, monitoring, and central oversight.</p>	<ul style="list-style-type: none"> ▪ Guidance and training are available to staff. ▪ To review of a sample of projects end to end to ensure the benefit realisation processes are being implemented. ▪ To review a sample of benefits to ensure they are SMART. ▪ There is effective tracking, analysing, monitoring and oversight in place of benefits.

Conclusion

The Force has a generally sound governance and benefits management system in place, with strong PMO oversight and functioning systems. The weaknesses identified – outdated Framework, inconsistent SMART benefits in business cases, and reporting gaps – represent areas for improvement but do not indicate fundamental failure or immediate risk to objectives.

The key findings and observations from our review are details within the Findings and Action Plan below.



1.1	Benefits Management Framework	1.1a	Action
<p>The Benefits Management Framework was produced in July 2022 and has not been subject to review since its publication. Since that time, improvements have been made to processes and governance arrangements, as well as implementing the seven stages of the project lifecycle approach; however, these updates are not reflected in the Framework. Additionally, during our review of the Framework, we noted that benefit change processes were not outlined.</p>			<p>The Delivery Manager – Portfolio to review the Benefits Management Framework to ensure alignment with current practices and governance arrangements. Thereafter, the Framework should be reviewed annually to ensure it remains current and reflects and process or governance changes.</p>
Priority	2	SWAP Ref.	AP#7844
Responsible Officer	Delivery Manager – Portfolio		
Timescale	31/03/2026		

1.2	Project Templates	1.2a	Action
<p>Testing during the audit identified that current project templates do not consistently support the clear definition and evaluation of benefits. Business cases often lack SMART benefit statements, and baseline data is embedded within narrative rather than being clearly presented. The design of the benefits section does not encourage structured input, leading to inconsistent reporting and difficulties in developing SMART benefits.</p> <p>There is also a disconnect between the business case and the project closure report, making it difficult to identify benefit exceptions. This is primarily due to Time, Cost, and Quality tolerances not being overtly defined within business cases. Consequently, this can make it harder to assess delivery effectiveness and hold staff accountable, as success criteria and performance measures are not always clear.</p> <p>Additionally, the audit identified that:</p> <ul style="list-style-type: none"> Project teams were not always using the correct templates. The checklist section within the business case template was not consistently completed. Officers advised that this was not required as the relevant information was captured in VERTO. <p>Post-project evaluation was being undertaken through independent Project Management Office (PMO) reviews; however, the following key elements were not captured in the project closure or post implementation review templates:</p> <ul style="list-style-type: none"> Confirmation that benefits remain aligned with original objectives. Identification of unforeseen benefits. Independent validation of realised benefits. Identification of potential risks to the organisation if benefits are not fully realised. <p>Updating the templates to include clearer reporting expectations, risk indicators, and benefit confidence measures would strengthen oversight, improve consistency, and support more effective decision-making.</p>			<p>The Delivery Manager – Portfolio to review and update the business case template to ensure it:</p> <ul style="list-style-type: none"> Aligns with the project closure report for consistent reporting; Supports the development and presentation of SMART benefits; Includes relevant information that is of value to decision makers; and Consistently used by all project teams.
Priority	2	SWAP Ref.	AP#7853
Responsible Officer	Delivery Manager – Portfolio		
Timescale	31/03/2026		

1.3	SMART Guidance	1.3a	Action		
	<p>The PMO does not currently provide formal training, as programme and project officers are expected to be appropriately qualified or experienced. While the PMO offers ad-hoc guidance when required, a review of four business cases found that project benefits were not defined in a SMART format. This has also been identified as an issue by the PMO through the post implementation review process and captured via lessons learned.</p> <p>It is recognised that providing written guidance or structured training from the PMO would help improve consistency, strengthen benefit development, and support better project outcomes.</p>		<p>The Project Manager – Portfolio to develop and issue guidance to support project teams in creating and documenting SMART benefits. This guidance should then be communicated to all relevant staff.</p>		
		Priority	3	SWAP Ref.	AP#7862
		Responsible Officer	Delivery Manager – Portfolio		
		Timescale	31/03/2026		

1.4	Benefit Reporting	1.4a	Action		
	<p>Benefit reporting is currently limited to business cases, project closure reports, and post-implementation reviews. A gap was identified in the use of benefit realisation plans and benefit realisation reports, which reduces visibility of benefit progress, emerging trends, and off-track or high-risk benefits that may impact the organisation.</p> <p>The organisation has the necessary tools and systems in place to support this level of reporting and has expressed a clear intention to implement more robust benefit tracking and monitoring in the future.</p>		<p>The Delivery Manager – Portfolio to develop and implement standardised Benefit Realisation Plan and Reporting templates to improve visibility of benefit progress, emerging trends, and risks across the project portfolio. The templates should be rolled out to all project teams and regularly reviewed to ensure they remain fit for purpose.</p>		
		Priority	3	SWAP Ref.	AP#7906
		Responsible Officer	Delivery Manager – Portfolio		
		Timescale	31/03/2026		

Audit Assessment of Agreed Themes

Theme	RAG Rating	Rationale
Leadership & Culture	Green	Good governance arrangements are in place to ensure benefits are monitored, scrutinised and approved.
Learning	Yellow	Our findings/observations above highlight potential areas of learning.
Diversity & Inclusion	N/A	We have been unable to provide an opinion on diversity and inclusion specific to the areas we have reviewed.



MEETING NAME	DATE	AGENDA NO
Joint Audit Committee	January 2026	10a
DIRECTORATE / DEPARTMENT	AUTHOR	COG SPONSOR
Force Inspection and Crime Standards	Supt Jason SHEARS	DCC Jon Reilly
NAME OF PAPER	PURPOSE OF THE PAPER	SESSION
Avon and Somerset PEEL Assessment 23-25	Progress report	

1. PURPOSE OF REPORT

To provide JAC with a strategic update on progress made against the Areas for Improvement (AFIs) identified in the HMICFRS PEEL 2023-25 inspection report (06th February 2025).

2. Executive Summary

As of December 2025:

- 7 of 16 AFIs have been formally closed and 1 has been submitted for a formal closure review by HMICFRS
- 3 AFIs are scheduled for HMICFRS closure assessment in February 2026.
- Of the remaining 5 AFIs:
 - 2 are on track for April closure reviews.
 - 3 are scheduled for closure reviews mid-2026.

This trajectory suggests that 11 AFIs will be closed within 12 months of being issued, reflecting strong progress and commitment to continuous improvement.

3. Introduction

Between January and September 2024, ASC were inspected by HMICFRS as part of their PEEL inspection, with their final report being published on 06th February 2025 for public viewing.

Using HMICFRS findings, we identified several points which will help us grow as an organisation. An improvement plan covering each recommendation has been developed and highlights key points, areas of negative or positive narrative, signposting to other forces who have strong performance in each area and importantly, clear routes to closure of each Areas for Improvement (AFI).

The AFIs span multiple thematic areas including:

- Call Handling and Response Times
- Investigative Standards
- Vulnerability Risk Assessments
- Organisational Learning and Performance Management

Each AFI is assigned a Strategic and Tactical lead, with progress monitored through internal governance structures and supported by cross-directorate collaboration. This paper outlines the current status, key developments, and strategic actions undertaken to address these areas.

Below are the overall gradings awarded for each area. A detailed breakdown report of these performance areas is included in support of this brief.

[Avon and Somerset PEEL Assessment 2023–2025 - His Majesty's Inspectorate of Constabulary and Fire & Rescue Services](#)

Outstanding	Good	Adequate	Requires Improvement	Inadequate
		Police Powers and public treatment	Building, supporting and protecting the workforce	
		Preventing Crime	Investigating Crime	
			Protecting Vulnerable People	
			Managing Offenders	
			Leadership & Force Management	

Areas for Improvement (AFIs) issued

PEEL 2024/25 AFIs

AFI Progress will be governed monthly through committees, with a summary provided to CMB monthly as follows:				
Not Started	Initial Work	Work Ongoing	Improving	Closure Pending
Responding to the Public				
1. The constabulary needs to improve the time it takes to answer emergency calls				
Gold Lead: ACC Cummings Operational Improvement Committee Tactical Lead: Tara Bryant Target closure date: Jun 2025				
2. The constabulary needs to reduce the number of non-emergency calls the caller abandons because they aren't answered				
Gold Lead: ACC Cummings Operational Improvement Committee Tactical Lead: Tara Bryant Target closure date: Jun 2025				
3. The constabulary needs to attend calls for service in line with its published attendance times, make sure there is effective supervision of deployment decisions and that callers are updated if there are delays				
Gold Lead: ACC Cummings Operational Improvement Committee Tactical Lead: C/Supt Rees Target closure date: Aug 2025				
Investigating Crime				
4. The constabulary should carry out timely investigations into all reported crimes, including investigation plans and supervisory oversight to make sure that all investigative opportunities are taken				
Gold Lead: T/ACC Rees Investigative Standards Committee Tactical Lead: T/Supt Baker Target closure date: Jun 2026				
5. The constabulary needs to make sure it is using outcomes appropriately, which comply with force and national policies, leading to satisfactory results for victims				
Gold Lead: T/ACC Rees Investigative Standards Committee Tactical Lead: Supt Shears Target closure date: Feb 2026				
6. The constabulary should ensure that it consistently achieves appropriate outcomes for victims				
Gold Lead: T/ACC Rees Investigative Standards Committee Tactical Lead: T/Supt Baker Target closure date: Mar 2026				
9. The constabulary should improve its governance and approach to managing suspects and wanted persons.				
Gold Lead: T/ACC Rees Investigative Standards Committee Lead: T/Supt Baker Target closure date: Mar 2026				
Protecting Vulnerable People				
7. The constabulary should ensure that its vulnerability risk assessments are properly documented, supervised, quality assured, and checked for compliance				
Gold Lead: ACC Hall AI Gold Tactical Lead: Supt Windsor Target closure date: Oct 2025				
8. The constabulary needs to make sure it has sufficiently trained officers and staff resources to make sure the Domestic Violence Disclosure Scheme function complies with the required legislative processes and timescales				
Gold Lead: ACC Hall CLC-Vulnerability Committee Tactical Lead: Victoria Caple Target closure date: Jun 2025				
Managing Offenders				
10. The constabulary should ensure that it has processes and resources in place to visit and manage the risk posed by registered sex offenders				
Gold Lead: ACC Hall CLC-Vulnerability Committee Tactical Lead: Supt Dixsey Target closure date: Sep 2025				
11. The constabulary should ensure that its Internet Child Abuse Team (ICAT) is able to manage images of online child abuse in line with nationally recognised risk assessment timescales, and that supervisors regularly review officers' performance				
Gold Lead: ACC Hall CLC-Vulnerability Committee Tactical Lead: Supt Buck Target closure date: Apr 2025				
12. The constabulary should ensure that it continually risk-assesses any backlog in online child abuse referrals and cases awaiting enforcement action, and that bail checks and intelligence refreshes take place following enforcement action				
Gold Lead: ACC Hall CLC-Vulnerability Committee Tactical Lead: Supt Buck Target closure date: Apr 2025				
Leadership and Force Management				
14. The constabulary should use relevant data and analysis to ensure it is operating efficiently and effectively.				
Lead: DCC Reilly Constabulary Management Board Target closure date: Sept 2025				
15. The constabulary needs to make sure that its senior leaders are more connected to its workforce.				
Gold Lead: Louise Hutchison People Committee Tactical Lead: Neil Bennett Target closure date: Dec 2025				
16. The constabulary needs to make sure its operating model helps its workforce to respond to priorities and current and future demand				
Lead: C/Supt Wigginton Constabulary Management Board Portfolio Scrutiny Board Target closure date: Apr 2026				
Building, supporting and Protecting the workplace				
13. The constabulary needs to ensure the findings of its occupational health unit review are implemented quickly, in order that the improvements and benefits offered to the workforce and organisation				
Gold Lead: Louise Hutchison People Committee Tactical Lead: Rhona Galt Target closure date: Jun 2025				

Current position

HMICFRS PEEL 2023-25 Areas For Improvement

AFI Progress will be governed monthly through committees, with a position summary provided to CMB monthly as follows:				
Not Started	Initial Work	Work Ongoing	Improving	Closure Requested
Investigating Crime				
4. The constabulary should carry out timely investigations into all reported crimes, including investigation plans and supervisory oversight to make sure that all investigative opportunities are taken				
Gold Lead: T/ACC Rees Investigative Standards Committee Tactical Lead: T/Supt Baker Target closure date: Jun 2026				
5. The constabulary needs to make sure it is using outcomes appropriately, which comply with force and national policies, leading to satisfactory results for victims				
Gold Lead: T/ACC Rees Investigative Standards Committee Tactical Lead: Supt Shears Target closure date: Feb 2026				
6. The constabulary should ensure that it consistently achieves appropriate outcomes for victims				
Gold Lead: T/ACC Rees Investigative Standards Committee Tactical Lead: T/Supt Baker Target closure date: Jun 2026				
9. The constabulary should improve its governance and approach to managing suspects and wanted persons.				
Gold Lead: T/ACC Rees Investigative Standards Committee Lead: T/Supt Baker Target closure date: Apr 2026				
Leadership and Force Management				
14. The constabulary should use relevant data and analysis to ensure it is operating efficiently and effectively.				
Lead: DCC Reilly Constabulary Management Board Target closure date: Feb 2026				
15. The constabulary needs to make sure that its senior leaders are more connected to its workforce.				
Gold Lead: Louise Hutchison People Committee Tactical Lead: Neil Bennett Target closure date: Feb 2026				
16. The constabulary needs to make sure its operating model helps its workforce to respond to priorities and current and future demand				
Lead: C/Supt Wigginton Constabulary Management Board Portfolio Scrutiny Board Target closure date: Apr 2026				
Responding to the Public				
3. The constabulary needs to attend calls for service in line with its published attendance times, make sure there is effective supervision of deployment decisions and that callers are updated if there are delays				
Gold Lead: ACC Cummings Operational Improvement Committee Tactical Lead: T/C/Supt Raphael Target closure date: Jun 2026				
Protecting Vulnerable People				
7. The constabulary should ensure that its vulnerability risk assessments are properly documented, supervised, quality assured, and checked for compliance				
Gold Lead: ACC Hall AI Gold Tactical Lead: Supt Windsor Target closure date: Dec 2025				

AFI Status Breakdown

- Grey: Submitted for formal closure.
- Green: Performance at closure-ready level; requires short-term stability before HMICFRS reassessment.
- Yellow: Improvements underway but internal performance targets not yet met.
- Amber: Work continues to identify the route to sustained improvements

Key AFI Groupings and Progress

Priority Attendance -AFI 3

- This AFI has Chief Officer oversight through Operational Improvement Committee.
- Similar to Investigative Standards AFIs, the new Operating Model leadership has led to some positive improvements in this area and further sustained improvement will be seen as a result of the Phase 2 work.
- Actions to date include:
 - Enhanced deployment scrutiny in the control room, with delays escalated early.
 - Increased oversight by frontline Inspectors and Sergeants.

Investigative Standards -AFIs 4, 5, 6, and 9

- These AFIs are interlinked and have Chief Officer oversight through Investigative Standard Committee. Tactical improvements are being driven through Operation Justice.
- AFI 5- Outcome compliance has shown sustained improvements and will be reviewed for closure in February.
- Geographical leadership brought about with the Op Model changes are showing positive progress, however elements of the AFI's require improvements which will be brought about during Phase 2 Op Model changes.
- Due to the span of areas included in these AFI's, more time has been provided for the required improvements. This approach is supported by our HMIC FLO who recognises allowing time to embed the new operating structure will lead to long-term improvements rather than short term gains.

Vulnerability Risk Assessments -AFI 7

- This enduring AFI has been submitted for formal closure. This will take place in January.

Leadership and Force Management -AFI 14, 15 and 16

- AFIs 14 and 15 will be reviewed by HMICFRS in Feb with a view to closure. Sustained gains can be evidenced in both.
- AFI 16 is linked to the Op Model changes made in November. Although there is already evidence to support closure, HMIC have suggested delaying a review until the 6 month point to ensure changes are offering sustained improvements.

4. Summary

The current trajectory demonstrates promising progress across the majority of AFIs, with a clear path toward closure for most by early 2026. Of those proving to be slower in improvements, there is clear awareness of the challenges faced and senior oversight to close the gaps.

The strategic focus remains on:

- Sustaining improvements through stability and embedding.
- New geographical based operating model, Phase 1&2 designed for enhanced local prioritisation and leadership.
- Targeted interventions for more complex AFIs.
- Cross-directorate collaboration to drive systemic change.

ASC Ammunition & Armoury Management - Follow Up Report - December 2025



Follow Up Audit Objective

To provide assurance that the actions agreed to mitigate against the risk exposure identified within the May 2025 limited assurance opinion audit of Ammunition and Armoury Management have been implemented.

Follow Up Progress Summary				
Priority	Complete	In Progress	Not Started	Summary
Priority 1	0	0	0	0
Priority 2	8	0	0	8
Priority 3	0	0	0	0
Total	0	0	0	8

Follow Up Assessment

The original audit of Ammunition and Armoury Management was completed in May 2025 and received a 'limited' assurance opinion. The objective of that audit was to provide assurance over the effectiveness of controls in place to manage firearms, tasers and ammunition within armouries and police stations across Avon & Somerset Constabulary.

This audit sought to 'follow-up' on the implementation of the actions agreed as part of the original audit. Audit testing was performed in relation to these actions and supporting evidence obtained where possible to demonstrate the progress made towards the implementation of mitigating action.

Key Findings

	<p>The Force has upgraded to Chronicle 4, which has improved armoury and ammunition management through a more user-friendly interface and default ammunition settings. Comprehensive user guides, training, and reminders of new and existing processes have been circulated to ensure all relevant officers are aware of their responsibilities regarding armoury and ammunition management.</p> <p>Enhanced stock checking processes and regular stock checking updates to senior operations officers have been implemented, which have strengthened controls and placed accountability on individuals to follow strict processes. A data cleanse of Chronicle against physical ammunition held has ensured the system reconciles with stock held within armouries.</p> <p>Chronicle training is being delivered to remaining Armed Response Vehicle Officers in December 2025 who have not yet received training. We are satisfied, however, that the additional controls implemented have provided mitigation to the core issues raised.</p>
	<p>Accountability to ensure records are kept of tasers being booked in and out has been reinforced through reminders to all taser carrying officers. To further enhance accountability, the development of a mobile app is in progress, which will require officers to log in, scan their phone and taser, and confirm their training status before use. Rollout has been delayed, however, due to existing IT commitments.</p>

Conclusion

We have assessed all actions raised in the original audit as complete. Chronicle training has yet to be fully delivered to all Armed Response Vehicle Officers, however, we are satisfied that controls have been implemented to address the core issues raised. Further details, including mitigating activities for each specific action, are provided in Appendix 1 below.

Appendix 1

Agreed Actions & Follow Up Assessment

1a	Agreed Action			Follow Up Assessment	Complete
The Force Armourer has agreed to examine our list of potential unauthorised firearm check outs to ensure none of these were unauthorised. Where unauthorised firearm check outs are identified, these should be investigated fully					
Priority	2	SWAP Ref.	AP# 6462		
Responsible Officer					Force Armourer
Timescale					Completed during the initial audit

2a	Agreed Action			Follow Up Assessment	Complete
The Force Armourer has agreed to investigate options where Chronicle touch screens can be updated so that either ammunition is selected by default when checking out a firearm, or for the box to be made bigger to allow officers to select the required ammunition more easily. Also to explore whether RFID technology can be applied to magazines.					
Priority	2	SWAP Ref.	AP# 6463		
Responsible Officer					Force Armourer
Timescale					30/06/2025
					<p>The Force has transitioned from Chronicle 3, the version used during the original audit, to Chronicle 4. The system interface has improved under this new version, allowing users to select compatible ammunition packs from a larger, more accessible list. When firearms are booked out, Chronicle now defaults to a pre-set ammunition type. Officers must manually change this if they are not booking out ammunition.</p> <p>Radio Frequency Identification (RFID) technology on magazines, intended to allow officers to scan a magazine out rather than select the ammunition type used, was tested by the Force. This approach was not approved by the Deputy Chief Firearms Instructor at the time due to concerns regarding an increased risk of human error.</p> <p>User guides have been created to outline how all authorised personnel should check out firearms under Chronicle 4.</p> <p>We are satisfied the changes made within the Chronicle system have improved the user experience and addressed the main issue of being able to easily select the ammunition type. We have assessed this action as complete.</p>

2b	Agreed Action	Follow Up Assessment	Complete
	<p>The Force Armourer has agreed to remind all officers who complete armoury stock checks to ensure stock check forms are dated and signed off by two officers and for details of the audit to be uploaded onto Chronicle promptly.</p>	<p>Training on Chronicle 4 has been provided to all Sergeants, Operational Firearms Commanders, armoury single points of contact (SPOC), and officers with single access permissions.</p> <p>Training included stock check procedures and audit requirements, highlighting the requirement to date and dual sign all stock checks. All stock checks are now completed within Chronicle 4; paper audits are no longer required. A reminder of expectations was further relayed in an email to all Authorised Firearms Officers (AFOs) by the Head of Tactical Support.</p> <p>Chronicle has undergone a data cleanse so that the system now reconciles to all ammunition held within armouries. Evidence of this has been seen.</p> <p>Additional measures to ensure stock checks are accurately completed include:</p> <ul style="list-style-type: none"> • Weekly audits completed with the Force Armourer present since July 2025; ongoing assurance reviews are chaired by Ops senior leaders. • Chronicle training for Armed Response Vehicle Officers (ARVO), which is due to finish in December 2025. • Flow diagrams have been posted in armouries outlining the process for error correction. • Counter Terrorist Specialist Firearms Officer (CTSFO) audits are now handled by Force Armouries for consistency. Enhanced monitoring in this area is to continue until December 2025 	
Priority	2	SWAP Ref.	AP# 6464
Responsible Officer		Force Armourer	
Timescale		30/06/2025	We are satisfied that appropriate measures have been implemented to address stock check issues raised in the original audit. We have assessed this action as complete following review of evidence of the Chronicle data cleanse, new user guides, recent stock check records results submitted to senior leaders, and the email reminder to all authorised personnel.



2c	Agreed Action			Follow Up Assessment	Complete
The Force Armourer, in liaison with the Operations Superintendent, has agreed to develop a process which ensures that any stock checks which are not signed off on Chronicle, are rectified and updated promptly. Notes should be entered to confirm remediation action and sign off.					A revised process has been implemented at Force Armouries to ensure all stock checks are signed off in Chronicle and any errors investigated promptly. The process includes the following steps: <ul style="list-style-type: none"> Initial stock checks are completed by Force armoury SPOCs. Secondary checks are completed by a supervisor, who is also required to review and confirm any discrepancies. The stock check should be submitted to Chronicle once both checks agree and errors are resolved. Faults are to be escalated to BlackRock for correction. Where ammunition and firearms are missing, this is escalated through the Operations command structure for investigation and resolution. Unsigned stock audits will be visible during follow up audits and should be discussed directly with Operations supervisors. The Force Armourer currently attends all operational audits to ensure the process is completed as intended, with results shared with the Head of Tactical Support. Weekly compliance checks are monitored by senior leadership to ensure compliance, which we have confirmed via email examples of October and November 2025 weekly armoury checks results. We have assessed this action as complete.
Priority	2	SWAP Ref.	AP# 6465		
Responsible Officer		Force Armourer / Operations Superintendent			
Timescale		30/06/2025			

3a	Agreed Action			Follow Up Assessment	Complete
In conjunction with action 2b (AP# 6464), the Force Armourer has agreed to remind all staff completing stock checks of armouries to note defective equipment on the whiteboards provided in the armouries, and, where ammunitions counts do not reconcile, staff to alert the duty sergeant, or equivalent, immediately so that any missing ammunition can be accounted for.					Defective equipment reporting is embedded within current operational practices. Since moving to Chronicle 4, discrepancies are now reported directly through the system, with Armourers being notified where necessary. All officers have been trained on how to report defective equipment in Chronicle. User guides were shared with us.
Priority	2	SWAP Ref.	AP# 6466		
Responsible Officer		Force Armourer			We saw an email from the Head of Tactical Support to all AFOs and Inspectors, communicating these process changes and reconfirming the importance of ensuring all authorised personnel book firearms and ammunition in and out correctly.
Timescale		30/06/2025			If a weekly stock audit cannot be completed, the Head of Tactical Support, Policy Inspector, and Duty Inspector are informed to ensure a new time is identified to complete the audit. We have assessed this action as complete.



4a	Agreed Action			Follow Up Assessment	Complete
The Force Armourer has agreed to check the three instances where potential unauthorised firearm check outs may have occurred. Any confirmed unauthorised firearm check outs should be investigated fully.					
Priority	2	SWAP Ref.	AP# 6468		
Responsible Officer			Force Armourer		
Timescale			Completed during the initial audit		

5a	Agreed Action			Follow Up Assessment	Complete
The Force Armourer has agreed to implement the same process for ensuring unsigned stock checks are rectified at the Force armouries (AP# 6465), are also introduced for the training armoury.					
Priority	2	SWAP Ref.	AP# 6469		
Responsible Officer			Force Armourer		
Timescale			30/06/2025		
			We have assessed this action as complete.		

6a	Agreed Action			Follow Up Assessment	Complete
The Chief Taser Instructor has agreed to remind all authorised taser users to complete the taser sign in and out sheets so that a clear audit trail is maintained. Where a taser changes owner mid-shift, this should also be recorded.					
Priority	2	SWAP Ref.	AP# 6470		
Responsible Officer			Chief Taser Instructor		
Timescale			30/06/2025		
			We are satisfied this action is complete.		