



## Agenda Item 7

<b>Meeting</b>	Police and Crime Panel
<b>Date</b>	19 <sup>th</sup> December 2019
<b>Report Title</b>	PCC Risk Register
<b>Presented by:</b>	Police and Crime Commissioner
<b>Author:</b>	Kieran Kilgallen - Chief Executive

### 1.0 Purpose of Report

1.1 To update the Police and Crime Panel on the PCC Risk Register.

### 2.0 Introduction and Background Information

2.1 The risk register is aligned to the lifespan of the Police and Crime Plan (2017-2021) and has been reviewed and updated as at 28<sup>th</sup> November 2019.

2.2 All risks are split into two categories – they are either inherent risks and will remain on the register regardless of score, or topical risks which will be removed when they have a score of 10 or under. This will assist in ensuring focus remains on current risks and what additional mitigations or plans are needed to reduce the score and thus remove the risk from the register.

2.3 The register is a dynamic document and is intended to capture live management of risk and mitigation, rather than being a record of all possible risks.

2.4 The register is reviewed monthly on an informal basis by the Deputy Chief Executive and formally by the Commissioner's Monitoring Board on a quarterly basis, prior to meetings of the Joint Independent Audit Committee and the Police and Crime Panel. It is now also considered at OPCC Executive Leadership Team meetings on a monthly basis. The Commissioning and Policy Officer has responsibility for the day-to-day management of the register.

2.5 Owners for each risk are identified and they are responsible for providing updates on mitigation and score.

2.6 The risk appetite remains at 30.

2.7 The PCC Risk Register is attached at Appendix A.

2.8 Attached at Appendix B is a glossary setting out the meaning of the acronyms used and the scoring brackets for identifying risks as high, moderate, acceptable or minor.

### **3.0 Key Risks to Consider – Inherent**

3.1 The register identifies eleven inherent risks; seven are considered as either minor or acceptable, two are considered moderate and two are considered major.

3.2 Details on the two risks identified as major are:

- *Risk 12: Failure to produce a MTFs that enables the PCC to deliver his P&C Plan priorities and fails to identify delivery of necessary savings*  
Initial indications are there may be a lower cap on the precept than in the last two years making it harder to produce a balanced budget without the need for significant savings. The financial settlement is not expected now until January 2020 due to the General Election taking place on 12<sup>th</sup> December 2019. As a result, since last reported to the Panel, the likelihood scoring for this risk has increased from 2 to 3 giving an overall score of 36 (previously 24).
- *Risk 18: ICT services are not resilient and transformational to support effective and efficient policing*  
Members will be aware of the decision by both Wiltshire Council and Wiltshire Police to return to individual provision of ICT services. The Chief Finance Officer and senior council officials are overseeing the return of this function and a Head of ICT for Wiltshire Police is now in place. Work is continuing on the transfer of business as usual services back to force control.

3.3 Details on the two risks considered moderate are:

- *Risk 16: Partners make decisions that impact upon the PCC and Police without discussion or involvement in decision making process*  
There has been no formal notification from partners as to if, where, and how they will be required to make savings either in this or future financial years. This risk continues to be monitored.
- *Risk 19: Police collaborative arrangements do not deliver anticipated benefits due to weak governance and accountability and / or the impacts outweigh business benefits*  
This risk has been fully reviewed following the withdrawal from Tri-Force by Avon and Somerset. Scoring is maintained at 18 and the risk continues to be monitored.

### **4.0 Key Risk to Consider – Topical**

4.1 The register identifies seven topical risks, five are considered moderate and two are to be removed.

4.2 Details on the five existing risks considered moderate are:

- *Risk T1: Review of funding formula does not provide additional resources or reduces resources to Wiltshire*  
A total of £750m has been allocated to policing in the spending review but no details have been published yet on allocations to be made to individual forces. Whilst these additional resources will help to mitigate this risk it will not resolve the low level of Wiltshire's funding allocation. As a result of this and since the risk register was last reported to the Panel, the impact of this risk has increased from 2 to 3 and an overall score of 24 (increased from 16).

- *Risk T3: Delayed implementation of new communication system as a result of national change-over from Airwave Tetra to new 4G based ESN*  
The scoring of this risk is maintained at 24. The Wiltshire Chief Constable is the national NPCC lead for this programme and the risk score reflects the reputational risk to the PCC and Wiltshire Police being more closely linked to the programme. The recently published National Audit Office report concludes it is unlikely that ESN will be delivered by the target date of 2022. New national guidance is still awaited with a full business case expected in the New Year.
- *Risk T6: Unable to continue to meet the demands of frontline policing*  
A review of CPT is being undertaken and substantial work has been delivered to address short term concerns in this area of high demand over the summer. This work continues through performance monitoring of CPT resourcing with a further update on this review to be presented to the PCC in December as part of his business planning cycle.
- *Risk T8: Failure to comply with General Data Protection Regulations (GDPR)*  
Work is ongoing to ensure compliance with GDPR. An informal audit process took place in November and the outcomes are awaited. This risk will be fully reviewed once these are known.
- *Risk T10: Impact of Brexit on Wiltshire*  
Members will be aware of the further delay to Brexit. This risk continues to be closely monitored.

## **5.0 Removal of Risks**

5.1 The following risks have been identified as suitable for removal from the register:

- *Risk T4: Wiltshire Police fail to have operational and organisational policies that meet the duties and aims under the Equality Act 2010*  
Internal Audit now reports reasonable assurance on force policies and the JIAC were satisfied with recommendations. Scoring has therefore been reduced and, as a consequence, may now be removed from the register.
- *Risk T11: Failure to provide forensic medical services in SARC*  
A contract variation until 2021 has been agreed with the current provider and commissioning for a new provider has begun. As a result the overall scoring has reduced from 12 to 6 and can now be removed from the risk register.

## **6.0 Future Reviews of Risk Register**

6.1 Any amendments required following this meeting will be made at the monthly informal review by the Deputy Chief Executive.

## **7.0 Staffing Implications**

7.1 Any staffing implications are set out in the associated risk(s).

## **8.0 Financial Implications**

8.1 Any financial implications are set out in the associated risk(s).

## **9.0 Legal Implications**

9.1 Any legal implications are set out in the associated risk(s).

## **10.0 Sustainability**

10.1 Any sustainability issues are set out in the associated risk(s).

## **11.0 Diversity Issues**

11.1 Equality and diversity issues are reflected in the respective elements of the risk register.

## **12.0 Contribution to the Police and Crime Plan 2017-2021**

12.1 The risk register is aligned to the Police and Crime Plan and identifies risks associated with not delivering the Plan and the priorities set out within it.

## **13.0 Recommendations**

13.1 The Police and Crime Panel is invited to note the content of the report and the risk register.

### **Appendices:**

Appendix A – PCC Risk Register

Appendix B – Glossary

**WILTSHIRE AND SWINDON POLICE AND CRIME COMMISSIONER DYNAMIC RISK REGISTER 2017-2021**

Risk Appetite is: 30 (NB: inherent risks will always remain on the register, topical risks with a score under 10 will be removed)						Residual Risk Score					
ID	Date identified	Event	Consequence	Main impact area(s)	Mitigation and Controls	L	C	I	Score	Date Reviewed	Summary
<b>Inherent Risks</b>											
I1	31-Jan-17	Failure to deliver the priorities set out in the Police and Crime Plan due to lack of resources or emerging threats	<ul style="list-style-type: none"> <li>Failure to discharge role of PCC</li> <li>Reduced public and partner satisfaction and confidence in PCC and OPCC</li> <li>Damage to partnership relationships</li> <li>Criticism from Government / HMICFRS and adverse media attention</li> </ul>	Financial Legal Operational Delivery Performance Reputational	<ul style="list-style-type: none"> <li>P&amp;C Plan integral part of planning cycle</li> <li>P&amp;C Plan reviewed annually as part of annual report process (13th May 2019)</li> <li>P&amp;C Plan agreed as key document for police community safety partnerships and WCJB</li> <li>Informed by CC's operational advice and partnership delivery plans</li> <li>Comprehensive engagement and consultation with the public in developing final P&amp;C Plan</li> <li>Attendance at strategic boards with partners</li> <li>Attendance at Force SD&amp;T where performance is reviewed</li> <li>PCC commissioning of services in addition to policing to support delivery of P&amp;C Plan – commissioning intentions for 2020-21 being considered</li> <li>Quarterly reporting to the Panel on performance against plan</li> <li>Publication of annual report summarising progress made against priorities and P&amp;C Plan – 2018-19 annual report published</li> <li>Continue to receive 'good' grading in HMICFRS PEEL inspections</li> <li>Following public consultation, police precept for 2019-20 increased by £24 for Band D property</li> <li>Recruitment of police officers</li> <li>Integrated OPCC and Force Planning cycle introduced in 2019-20</li> </ul>	2	2	4	16	28-Nov-29	Maintain - business as usual
I2	15-May-17	Failure to produce a MTFS that enables the PCC to deliver his P&C Plan priorities and fails to identify delivery of necessary savings	<ul style="list-style-type: none"> <li>PCC and OPCC failure in statutory obligations</li> <li>Unable to commission required services or provide enough funds to CC to provide efficient and effective police service</li> <li>Unable to deliver P&amp;C Plan priorities</li> <li>Incorrect precept sought from Wiltshire public resulting in too much or too little funds being provided</li> <li>Look at borrowing money options – would no longer be debt free</li> <li>Negative impact on future budgets and reserves</li> <li>Impact on Wiltshire public through the services they receive and setting of the precept</li> <li>Reduced public and partner satisfaction and confidence in PCC and OPCC</li> <li>Criticism from Government / HMICFRS and adverse media attention</li> </ul>	Financial Legal Operational Delivery Performance Reputational	<ul style="list-style-type: none"> <li>HO reviewing funding formula, Technical Group established and chaired by the Permanent Secretary at the HO</li> <li>Member of APCCs / APAC<sup>2</sup>E / PACCTS</li> <li>Horizon scanning database referenced</li> <li>Fortnightly finance meetings between PCC and CFO</li> <li>Collaborations / projects require financial sign-off at CMB</li> <li>Continual review and update working closely with CC</li> <li>Central government determined by Treasury</li> <li>Restrictions on council tax amended, PCCs able to increase precept up to maximum of £24 per year for 2019-20 (PCC has held public consultation on proposal and increased precept to maximum limit)</li> <li>Awaiting further details on national announcement of police officer and support staff uplift. Further details anticipated mid Sep / October from Home Office.</li> <li>Work commenced on early assumptions for initial draft MTFS</li> <li>Decision making in quick time due to late financial settlement (January 2020) as a result of the General Election</li> </ul>	3	3	4	36	28-Nov-19	Maintain - financial settlement will not be announced now until January 2020 due to General Election
I3	18-Aug-15	OPCC commissioning arrangements are not in place or are ineffective	<ul style="list-style-type: none"> <li>Insufficient resources available</li> <li>Services commissioned that are not required, duplicated elsewhere, do not assist PCC in meeting P&amp;C Plan objectives</li> <li>Failure to maximise performance</li> <li>Failure to secure value for money</li> <li>Stifle innovation and creative / effective solutions</li> <li>Failure to comply with legal requirements on procurement</li> <li>Failure to ensure commissioned agencies comply with PCC legal requirements under Equality Act</li> </ul>	Reputational Operational delivery Performance Legal	<ul style="list-style-type: none"> <li>Commissioning Strategy in place</li> <li>Partnership agreements / grant letters issued for each commissioned service outside of the police</li> <li>Commissioned services provided by Wiltshire Police reviewed</li> <li>Regular / Final reports a prerequisite of all commissioned services</li> <li>Quarterly meetings of the Commissioning and Policy Group which keeps all commissioned services under review</li> <li>Monthly Commissioning Team meetings take place</li> <li>Constant future planning of allocation of Community Safety Fund and Victims Fund – 2020-21 commissioning intentions form part of business planning cycle</li> <li>Planning underway for review of services to ensure timely and smooth transition to new provider where necessary</li> <li>Ongoing / New commissioning with LAs meeting all legal and procurement requirements</li> <li>Internal Audit reviewed governance arrangements and gave a 'reasonable' assurance with no significant findings</li> <li>2019-20 first year of fully established commissioning structure - Commissioning Team now up to full strength</li> <li>Clear processes in place and have been tested for full financial year</li> <li>Commissioning process embedded</li> </ul>	2	1	3	6	28-Nov-19	Maintain - Commissioning Team up to full strength

ID	Date identified	Event	Consequence	Main impact area(s)	Mitigation and Controls	L	C	I	Score	Date Reviewed	Summary
I4	15-May-17	Failure by the PCC to hold the CC to account for the delivery of an efficient and effective police service that meets public expectations	<ul style="list-style-type: none"> <li>Reduced public and partner satisfaction and confidence in PCC and OPCC</li> <li>Criticism from Government / HMICFRS and adverse media</li> </ul>	Reputational	<ul style="list-style-type: none"> <li>Fortnightly CMB meetings with CC</li> <li>Attendance at monthly performance and programme meetings - OPCC attendance and meetings more operationally focussed</li> <li>Review of performance data</li> <li>Regular review of force spend</li> <li>Engagement with public and partners to understand requirement and needs</li> <li>Development of P&amp;C Plan and objectives in consultation with the CC</li> <li>Continue to receive 'good' grading in HMICFRS PEEL inspections</li> <li>Working with CC to review all accountable mechanisms to ensure they are fit for purpose</li> <li>PCC/DPCC attending all Area Boards</li> </ul>	1	2	4	8	28-Nov-19	Maintain - business as usual
I5	18-Aug-15	Failure to maintain effective partnerships with criminal justice agencies	<ul style="list-style-type: none"> <li>Justice processes become inefficient and not joined up</li> <li>Justice outcomes, victim satisfaction, and care declines</li> <li>Reduced satisfaction and confidence in criminal justice process by victims of crime</li> <li>Reduced public satisfaction and confidence in PCC which is likely to extend to Wiltshire Police and CJS partners</li> </ul>	Reputational Operational delivery Performance	<ul style="list-style-type: none"> <li>PCC Chair of WCJB, additional support being provided by OPCC</li> <li>PCC has coordination role across CJS system on behalf of victims</li> <li>WCJB delivering substantial parts of the P&amp;C Plan</li> <li>WCJB action plan in place and being delivered by sub-groups</li> <li>Victims, Witnesses and Most Vulnerable sub group coordinate victim through CJS and CSPs manage offender work</li> <li>Partnership working to support delivery of specialist victim services for DA and SA</li> <li>Work to improve interface between force and CPS to improve efficiency with sexual offences</li> <li>In conjunction with Northumbria OPCC, Wiltshire is coordinating WCJB work to identify areas for improvement in specialist courts and support for victims</li> <li>Improved links and coordination between local and national CJB through APCC and portfolio leads</li> <li>CJBs from other areas been in contact to learn lessons from progress made to date in Wiltshire</li> <li>Performance dashboard now in place</li> <li>Annual review of WCJB strategy completed by WCJB Manager and with partners, identified areas of service improvement, but overall strategy is on course and targeting the right areas</li> <li>Strong relationships with CSPs and YOTs</li> <li>Commissioning manager (CJS &amp; Reducing Reoffending) within OPCC</li> <li>Reducing Reoffending Board established</li> <li>National changes around Probation Service taking place - awaiting further information</li> <li>Local CJB protocol being drafted by APCC and MoJ, Wiltshire already adheres to all elements</li> </ul>	2	2	3	12	28-Nov-19	Increased (previously 6) - recent revelations about CPS being followed up
I6	18-Aug-15	Partners make decisions that impact upon the PCC and Police without discussion or involvement in decision making process	<ul style="list-style-type: none"> <li>Missed opportunities to collaborate / save money / provide a more efficient and effective service</li> <li>Unexpected detrimental impact on the PCC's ability to deliver the P&amp;C Plan objectives</li> <li>Unexpected detrimental impact on policing affecting funding and police officer time</li> <li>Increase demand on PCC and OPCC staff</li> <li>Increased demand on policing services</li> <li>Loss of satisfaction and confidence in relationships with partners and their decision making / consultation process</li> <li>Negative reaction from the public / media</li> </ul>	Reputational Operational Delivery Performance	<ul style="list-style-type: none"> <li>Regular engagement with LA Leaders</li> <li>Attendance at strategic boards with partners</li> <li>OPCC engagement with partners and stakeholders and attendance at relevant boards</li> <li>Fortnightly meetings of CMB discuss emerging developments with partners</li> <li>Updating and monitoring of Horizon Scanning database</li> <li>Early engagement with LAs and partners to identify and reduce demand on policing services</li> <li>LAs have indicated increased savings requirement for 2019-20</li> <li>No formal notification received from partners on where savings are being made</li> <li>OPCC working to co-ordinate commissioning of services across local government health</li> </ul>	3	4	2	24	28-Nov-19	Maintain - watching brief

ID	Date identified	Event	Consequence	Main impact area(s)	Mitigation and Controls	L	C	I	Score	Date Reviewed	Summary
17	31-Jan-17	PCC estate fails to enable effective and efficient policing	<ul style="list-style-type: none"> <li>• Unnecessary maintenance of surplus buildings and associated utility costs</li> <li>• Waste of resources maintaining surplus estate</li> <li>• Damage to community relationships</li> <li>• Negative impact on CPT and provision of local policing</li> <li>• Negative comments from public / local media</li> <li>• Underestimate estate requirement and dispose of too much estate</li> <li>• Sub-optimal estate provision is ineffective use of resources</li> <li>• Loss of opportunity to share properties and associated costs with local partners / communities</li> </ul>	Financial Reputational Operational Delivery	<ul style="list-style-type: none"> <li>• PCC's Estate Strategy published and key stakeholders (including the public) notified</li> <li>• Estates strategy governance in place and appropriate Boards</li> <li>• PCC holding officers to account for delivery of strategy</li> <li>• CC has provided operational requirements to PCC</li> <li>• Operational requirements developed across all police departments and informed by current and future predicted demand</li> <li>• Programme plan delivering against Estate Strategy (Marlborough has been delivered, work ongoing at Royal Wootton Bassett, planning approved on Warminster)</li> <li>• Range of business cases, approved / being developed</li> <li>• Acquisitions and Disposal Board overseeing commercial aspects</li> <li>• Wiltshire Hub Board overseeing Force estate programme operations</li> <li>• Service requirements being identified for operational and learning and development requirements at HQ</li> </ul>	2	2	2	8	28-Nov-19	Maintain - delivering against strategy
18	15-May-17	ICT services are not resilient and transformational to support effective and efficient policing	<ul style="list-style-type: none"> <li>• ICT vulnerable to cyber attack</li> <li>• ICT is out of date, fails and is unsupported</li> <li>• Missed opportunities of improvement technology</li> <li>• Impacts upon delivering P&amp;C Plan objectives</li> <li>• Use of older / out of date equipment limits capability</li> <li>• Criticism from Government / HMICFRS and adverse media</li> <li>• Reduced public and partner satisfaction and confidence in PCC and OPCC</li> </ul>	Financial Operational Delivery Performance Reputational	<ul style="list-style-type: none"> <li>• ICT project delivery overseen by the Digital Programme Board with risks central to discussions</li> <li>• The independent accreditation review has seen a reduction in the risks open to the joint service</li> <li>• The introduction of the National Management Centre under NEP will bolster security</li> <li>• Management of risk is reviewed every 6-8 weeks in the Joint Technology Board</li> <li>• Business Continuity Plans in place and have been used with short term issues</li> <li>• PCC has agreed significant investment to ensure continuity and improvement of services</li> <li>• Frequent contact with national police ICT departments surrounding requirements and resilience</li> <li>• Service delivery reviewed and due to more 'police only' standards change in model agreed</li> <li>• Working towards standalone Police only model utilising the cloud and latest technology</li> <li>• Cloud technology is more secure and resilient than on premises solutions</li> <li>• Resources identified to deliver improvements and efficiency. Reviewed in line with national programme rollout</li> <li>• New Head of ICT in post working on transformation programme - enhanced reporting of progress to strategic boards</li> <li>• Work continues on transferring BAU services back to force control</li> </ul>	4	2	4	32	28-Nov-19	Maintain - New Head of ICT appointed, risks are being managed and with delivery of projects during 2019/20 will be reduced
19	18-Aug-15	Police collaborative arrangements do not deliver anticipated benefits due to weak governance and accountability and / or the impacts outweigh business benefits	<ul style="list-style-type: none"> <li>• Collaborative partners do not wish to pursue collaborative opportunities</li> <li>• Key delivery areas are compromised or do not address the requirements of PCC, Police, collaborative partner(s), or the Wiltshire public</li> <li>• Reduced influence of PCC to provide local accountability</li> <li>• Effective and efficient service not delivered</li> <li>• Reduced public and partner confidence and satisfaction in PCC and police</li> <li>• Negative reaction from the public / media</li> <li>• Criticism from Government / HMICFRS</li> <li>• Damage to partnership relationships</li> </ul>	of	<ul style="list-style-type: none"> <li>• Governance arrangements outlined in all collaborative agreements</li> <li>• Performance, finance, and strategic risks are managed at Strategic Board</li> <li>• Collaborative arrangements standing agenda item on CMB</li> <li>• PCC strategic parameters for collaboration set and communicated December 2017</li> <li>• Governance arrangements have been reviewed for all collaborative agreements</li> <li>• Performance, finance, and strategic risks are managed at Strategic Board</li> <li>• Collaborative arrangements updates given regularly at CMB</li> <li>• PCC strategic parameters for collaboration set and communicated December 2017</li> <li>• Specialist operations have been brought back under local control save for Firearms Training (at Black Rock); Counter Terrorism Firearms Command; Major Crime Investigation</li> <li>• Quarterly meetings taking place for all collaborations</li> </ul>	3	3	2	18	28-Nov-19	Maintain - business as usual
110	31-Jan-17	OPCC fails to meet its legal requirements as set out in various legislation including but not limited to the Police Reform and Social Responsibility Act, Specified Information Order, Equalities Act 2010	<ul style="list-style-type: none"> <li>• Reduced public and partner satisfaction and confidence in PCC and OPCC</li> <li>• Criticism from Government / HMICFRS and adverse media attention</li> <li>• Damaged relationship and reputation as an employer</li> </ul>	Reputational	<ul style="list-style-type: none"> <li>• Membership of APCC, APAC<sup>2</sup>E, and PACCTS</li> <li>• All HMICFRS reports considered and responded to</li> <li>• Appropriate staffing structure in place with clearly defined roles and responsibilities</li> <li>• PCC staff conduct horizon scanning and provide regular briefings to the PCC</li> </ul>	2	2	2	8	28-Nov-19	Maintain - business as usual

ID	Date identified	Event	Consequence	Main impact area(s)	Mitigation and Controls	L	C	I	Score	Date Reviewed	Summary
I11	17-Sep-18	OPCC does not have enough resource to discharge its responsibilities to the standard set by the PCC and external bodies	<ul style="list-style-type: none"> <li>Failure to deliver statutory responsibilities</li> <li>Failure to support the PCC to fulfil his role and responsibilities</li> <li>All risks in every aspect will increase</li> </ul>	Legal Reputational	<ul style="list-style-type: none"> <li>Annual review of OPCC delivery demands</li> <li>Policy and horizon scanning for changes in PCC statutory responsibilities</li> <li>Discussions with PCC and partners on anticipated direction and requirement for officers</li> <li>Comparison of resources with other OPCCs</li> <li>Review national guidance (APCC/APACE)</li> <li>Results of scoping, identified demands, outcomes of discussions to be fed into planning cycle</li> <li>Expansion of PCC role - increased devolution from central government (criminal justice / fire governance)</li> <li>Further refinement of shared service model with Wiltshire Police - provides access to greater range of services than an OPCC can deliver but additional resources required</li> <li>OPCC resourcing plan agreed at CMB to address identified gaps</li> <li>Vacant posts have been filled</li> </ul>	2	2	3	12	28-Nov-19	<b>Maintain</b> - vacant posts have now been filled
<b>Topical Risks</b>											
T1	05-Jan-16	Review of funding formula does not provide additional resources or reduces resources to Wiltshire	<ul style="list-style-type: none"> <li>PCC and OPCC failure in statutory obligations</li> <li>Not able to provide enough funds to Chief Constable to provide an efficient and effective police service</li> <li>Unable to commission required services due to reduced funding</li> <li>Unable to deliver P&amp;C Plan priorities</li> <li>Further savings would need to be identified</li> <li>Reduction in reserves</li> <li>Reduced satisfaction and confidence in PCC and OPCC</li> <li>Criticism from Government / HMICFRS and adverse media attention</li> </ul>	Financial Legal Operational Delivery Performance Reputational	<ul style="list-style-type: none"> <li>HO reviewing funding formula, Technical Group established and chaired by the Permanent Secretary at the HO</li> <li>D&amp;C PCC is a member of the Technical Group and PCC able to channel his views through her</li> <li>Review put on hold following announcement of general election and purdah and no further announcement with regard to review - publication of National Audit Office report (September 2018) may reignite this issue</li> <li>PCC continually informing Wiltshire and Swindon MPs of the current situation, this is now a national issue which may lead to overall higher funding levels but there is no guarantee of this</li> <li>Reserves used to smooth trajectory in MTFS to avoid short term reduction in service before completion of formula review</li> <li>National report suggests new formula will not be brought in until 2021-22</li> <li>PCC seeking clarification on new timescale</li> <li>Additional resources for policing will mitigate risk, but not resolve disparity in funding</li> <li>£750m allocated to policing in spending review but no details on allocations to be made to individual forces</li> <li>Review on hold as a result of uncertainty around political changes</li> </ul>	2	4	3	24	28-Nov-19	<b>Maintain</b> - awaiting details of police allocation from spending review
T3	02-Mar-17	Delayed implementation of new communication system as a result of national change-over from Airwave Tetra to new 4G based ESN	<ul style="list-style-type: none"> <li>ESN is not fit for purpose or equal to the Airwave network it replaces (including gaps in coverage)</li> <li>Commons Public Accounts Committee has been told that ESN will be running in September 2020</li> <li>Financial impact of delayed implementation on PCCs budgets and some high level costs are unknown</li> <li>Negative reaction from the public / media</li> <li>Damage to reputation of PCC, OPCC, and Force</li> <li>Limited control due to national programme</li> </ul>	Financial Operational Delivery Reputation	<ul style="list-style-type: none"> <li>PCCs represented by PCC Katy Bourne on HO Oversight Group</li> <li>National meetings taking place at which police forces are represented</li> <li>Situation reviewed by the Public Accounts Committee and has national profile</li> <li>Updates being received on a regular basis but not providing confidence or clarity on timescales and costs – latest update provided to PCCs at January APCC General Meeting</li> <li>Concerns around devices provided and whether they can deliver the necessary technology</li> <li>Potential for significant cost increases</li> <li>Refreshed business case, budget and timeline to be produced as part of programme reset – expected later in the year</li> <li>Stop on project team recruitment to limit cost and no longer rolling funds forward</li> <li>Funding allocated in capital plan</li> <li>NAO report published May 2019 highlighting significant risks and seems unlikely ESN will be delivered by target date of 2022</li> <li>Wiltshire CC appointed NPCC National Lead</li> <li>Full business case expected in the New Year</li> <li>National decision taken to change covert radios due to delays in delivering via ESN programme</li> </ul>	4	3	2	24	28-Nov-19	<b>Maintain</b> - new business case expected in New Year



ID	Date identified	Event	Consequence	Main impact area(s)	Mitigation and Controls	L	C	I	Score	Date Reviewed	Summary
T4	18-Aug-15	Wiltshire Police fail to have operational and organisational policies that meet the duties and aims under the Equality Act 2010	<ul style="list-style-type: none"> <li>• Failure of the PCC to hold the CC to account</li> <li>• Wiltshire Police does not fulfil legal duty and values of organisation</li> <li>• Wiltshire Police does not reflect the diversity of the community it serves</li> <li>• Failure to identify and respond to demands of diverse communities</li> <li>• Reduced public satisfaction and confidence – disproportionate effect in diverse communities</li> <li>• Reputational damage to PCC, OPCC and Police</li> <li>• Increased risk of HR tribunals and litigation</li> <li>• Damaged relationship and reputation as an employer</li> </ul>	Legal Operational Delivery Reputational	<ul style="list-style-type: none"> <li>• Assessment undertaken of victim's vulnerability, including aspects of diversity</li> <li>• Specialist support services in place for ensuring support for a range of diverse groups</li> <li>• Force has S&amp;S policies in place and is BUSS compliant</li> <li>• Recruitment of 3x Positive Action Officers to review and advise on internal policies and procedures</li> <li>• Hate crime scrutiny group established to provide challenge and advice on policies and procedures related to diversity</li> <li>• HR Policies set out obligations and procedures to meet Force duties - currently being reviewed due to 'partial' assurance from Equalities audit</li> <li>• Recruitment, redeployment and support policies in place</li> <li>• Force implementing action plan including leadership, coaching and mentoring support, redesigning recruitment of officers, specials, and staff to attract more diverse applicants</li> <li>• PCC receiving monthly briefings on delivery against improvement plan from lead officer</li> <li>• Force Equal Opportunities policy updated and published</li> <li>• Internal Audit follow-up recognised majority of recommendations from initial audit substantially completed although general process to ensure policies updated promptly 'remains under review to refine and fully embed'</li> <li>• Recommendations from follow up audit will continue to be monitored through the CFO's Outstanding Audit Recommendations report to JIAC - audit recommendations now completed</li> </ul>	1	3	3	9	28-Nov-19	<b>REMOVE</b> - Internal Audit reports reasonable assurance on force policies and JIAC satisfied with recommendations
T6	13-Feb-18	Unable to continue to meet demands of frontline policing	<ul style="list-style-type: none"> <li>• Decline in force performance</li> <li>• Decline in force morale</li> <li>• Damage to reputation of PCC, OPCC, and Force</li> <li>• Reduced public and partner satisfaction and confidence in PCC and OPCC</li> <li>• Criticism from Government / HMICFRS and adverse media attention</li> <li>• Service quality decreases and visibility falls</li> </ul>	Operational delivery Performance Reputational	<ul style="list-style-type: none"> <li>• Ongoing recruitment of police officers and PCSOs</li> <li>• Ongoing review of assets / resources</li> <li>• CPT resource and officer deployability scorecard developed and used by force, PCC and PCP</li> <li>• Intake of new police officers progressing through training</li> <li>• Reviewing HMIC inspection reports and PEEL assessments</li> <li>• PCP scrutiny</li> <li>• 40+ police officers allocated to CPT following increase in precept</li> <li>• Force performance and resourcing reviewed as part of planning cycle in Autumn of each year</li> <li>• Utilises evidence and demand planning produced in Force Management Statement - further work to fully understand demand and align to capacity and capability</li> <li>• CC advice on resourcing, staff mix and policing threats</li> <li>• Focus on CPT resources and availability</li> <li>• National uplift has provisionally identified 49 additional officers for Wiltshire - the usual recruitment process will be followed so will not be immediately on patrol</li> <li>• Increased focus on CPT model with expectation that changes made to enhance local policing</li> <li>• Review linked to FMS structured plans and business planning timeframes - Force presented initial update and now in consultation with staff unions</li> </ul>	3	2	4	24	28-Nov-19	<b>Maintain</b> - consultation with staff unions currently taking place
T8	07-Jun-18	Failure to comply with GDPR	<ul style="list-style-type: none"> <li>• Failure to comply with legislation</li> <li>• Damage to reputation of PCC, OPCC, and Force</li> <li>• Criticism from Government / HMICFRS / Internal Audit and adverse media attention</li> <li>• Staff and partners lose confidence in PCC, OPCC and Force</li> </ul>	Reputational	<ul style="list-style-type: none"> <li>• Project Team established</li> <li>• Project Team meet bi-monthly</li> <li>• Original action plan has been revised and all outstanding tasks have been prioritised and are to be completed within six months</li> <li>• Internal Audit have issued a position statement relating to GDPR readiness for both OPCC and the Force</li> <li>• Position Statement reported to JIAC meeting held in June 2018</li> <li>• Update on GDPR provided to November 2019 JIAC meeting</li> <li>• OPCC internal processes reviewed to ensure robustness</li> <li>• PCC and CC agreed new structure for Information Assurance which is now in place and will improve management of this area</li> <li>• All contracts have robust information agreements as mandatory element &amp; reviewed by information governance team</li> <li>• Informal audit process to be undertaken in November</li> </ul>	3	3	2	18	28-Nov-19	<b>Maintain</b> - informal audit process completed and awaiting findings
T10	19-Feb-19	Impact of Brexit on Wiltshire	<ul style="list-style-type: none"> <li>• Failure to delivery statutory responsibility</li> <li>• Financial risk impacts on policing settlement</li> </ul>	Financial Operational delivery	<ul style="list-style-type: none"> <li>• Gold Group established which OPCC attends</li> <li>• Contingency plans in place for OPCC and every Force business area</li> <li>• APCC cross party Brexit Working Group established and updates / briefings circulated to PCCs</li> <li>• Close monitoring of national developments</li> <li>• Chief Constable risk register managed operational policing risks</li> </ul>	3	2	3	18	28-Nov-19	<b>Maintain</b> - watching brief

ID	Date identified	Event	Consequence	Main impact area(s)	Mitigation and Controls	L	C	I	Score	Date Reviewed	Summary
T11	19-Feb-19	Failure to provide forensic medical services in SARC	<ul style="list-style-type: none"> <li>• Damage to reputation of PCC and OPCC</li> <li>• Reduced public and partner satisfaction and confidence in PCC and OPCC</li> <li>• Failure to deliver Plan priority of 'putting victims at the heart of everything we do'</li> </ul>	Operational delivery Reputational	<ul style="list-style-type: none"> <li>• Regional OPCC Steering Group working to identify possible solutions</li> <li>• Engagement with FME leads to fully understand the issue</li> <li>• Extension agreements agreed in principle with current supplier</li> <li>• Contract variation to 2021 agreed with provider</li> <li>• Commissioning for new service now beginning</li> </ul>	1	2	3	6	28-Nov-19	<b>REMOVE</b> - contract variation to 2021 agreed and commissioning for new service has begun

<b>ACRONYM</b>	<b>MEANING</b>
ACCs	Assistant Chief Constables
APAC <sup>2</sup> E	Association of Police and Crime Commissioners Chief Executives
APCC	Association of Police and Crime Commissioners
BUSS	Best Use of Stop and Search
CC	Chief Constable
CFO	Chief Finance Officer
CJB	Criminal Justice Board
CJS	Criminal Justice System
CMB	Commissioner's Monitoring Board
CPS	Crown Prosecution Service
CPT	Community Policing Team
CSPs	Community Safety Partnerships
D&C	Devon and Cornwall
DA	Domestic Abuse
DCC	Deputy Chief Constable
ESN	Emergency Services Network
FME	Forensic Medical Examiner
FMS	Force Management Statement
GCHQ	Government Communications Headquarters
GDPR	General Data Protection Regulations
HMICFRS	Her Majesty's Inspectorate of Constabulary and Fire & Rescue Service
HO	Home Office
HR	Human Resources
ICT	Information Communication Technology
JIAC	Joint Independent Audit Committee
LA / LAs	Local Authority / Local Authority's
MPs	Members of Parliament
MoJ	Ministry of Justice
MTFS	Medium Term Financial Strategy
NAO	National Audit Office
NPCC	National Police Chiefs Council
Op Fairline	First Salisbury incident
OP Fortis	Second Salisbury incident
OPCC	Office of Police and Crime Commissioner
P&C Plan	Police and Crime Plan
PACCTS	Police and Crime Commissioners Treasurer Society
Panel	Police and Crime Panel
PCC	Police and Crime Commissioner
PCP	Police and Crime Panel
PCSOs	Police Community Support Officers
PEEL	Police Effectiveness, Efficiency and Legitimacy Programme
RJ	Restorative Justice
S&S	Stop and Search
SA	Sexual Abuse
SARC	Sexual Assault Referral Centre
SD&T	Service, Delivery and Transformation

<b>ACRONYM</b>	<b>MEANING</b>
SW	South West
TOIL	Time Off In Lieu
WC	Wiltshire Council
WCJB	Wiltshire Criminal Justice Board
YOTs	Youth Offending Teams

**RISK KEY**

risk score 30+ Major
risk score 18-29 Moderate
risk score 8-17 Acceptable
risk score 1-7 Minor