

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)

ID	Date identified	Event	Consequence	Main impact area(s)	Mitigation and Controls	Residual Risk Score				Date Reviewed	Summary
						L	C	I	Score		
Inherent Risks											
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"> Failure to discharge role of PCC Reduced public and partner satisfaction and confidence in PCC and OPCC Damage to partnership relationships Criticism from Government / HMICFRS and adverse media attention 	Financial Legal Operational Delivery Performance Reputational	<ul style="list-style-type: none"> P&C Plan integral part of planning cycle Quarterly reporting to the Panel on performance against plan Publication of annual report summarising progress made against priorities and P&C Plan Continue to receive 'good' grading in HMICFRS PEEL inspections CC has clear plans to deliver P&C Plan and manage performance of Force CC provides monthly update and held accountable by PCC at CMB on performance and delivery of P&C Plan OPCC Delivery Plan overseen by Chief Executive and updates PCC on progress (includes all aspects of OPCC responsibilities including commissioning of services) WCJB (chaired by PCC) has strategy and delivery plans aligned to P&C Plan - performance managed at WCJB OPCC staff working alongside force and partner colleagues to identify and resolve performance issues Integrated OPCC and Force planning cycle ensures changing demand and financial pressures are considered as part of strategic planning 	2	2	4	16	26-Nov-20	Maintain - risk and score will be fully reviewed once full year of planning cycle is completed (June 2021)
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"> PCC and OPCC failure in statutory obligations Unable to commission required services or provide enough funds to CC to provide efficient and effective police service Unable to deliver P&C Plan priorities Incorrect precept sought from Wiltshire public resulting in too much or too little funds being provided Look at borrowing money options – would no longer be debt free Negative impact on future budgets and reserves Impact on Wiltshire public through the services they receive and setting 	Financial Legal Operational Delivery Performance Reputational	<ul style="list-style-type: none"> HO reviewing funding formula, Technical Group established and chaired by the Permanent Secretary at the HO Member of APCCs / APAC2E / PACCTS Horizon scanning database referenced Fortnightly finance meetings between PCC and CFO Continual review and update working closely with CC Collaborations / projects require financial sign-off at CMB MTFS being drafted Mindful of impact of Risk T13 	2	2	4	16	26-Nov-20	Decreased (previously 24) - CSR announced and more detail known
I3	18-Aug-15	OPCC commissioning arrangements are not in place or are ineffective	<ul style="list-style-type: none"> Insufficient resources available Services commissioned that are not required, duplicated elsewhere, do not assist PCC in meeting P&C Plan objectives Failure to maximise performance Failure to secure value for money Stifle innovation and creative / effective solutions Failure to comply with legal requirements on procurement Failure to ensure commissioned agencies comply with PCC legal requirements under Equality Act 	Reputational Operational delivery Performance Legal	<ul style="list-style-type: none"> Commissioning Strategy in place Commissioning Performance Board monitors delivery of commissioning plans (linked to OPCC Delivery Plan) (including risk management and service delivery) Commissioning intentions and budget planning included in joint planning cycle, draft plans in place for 2021-22 including service reviews and recommissioning of services Partnership agreements / grant letters issued for each commissioned service outside of the police Internal Audit reviewed governance arrangements and gave a 'reasonable' assurance with no significant findings 	2	1	3	6	26-Nov-20	Maintain - business as usual
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"> Reduced public and partner satisfaction and confidence in PCC and OPCC Criticism from Government / HMICFRS and adverse media 	Reputational	<ul style="list-style-type: none"> Fortnightly CMB meetings with CC and weekly briefings CC has clear plans to deliver P&C Plan and manage performance of Force CC provides monthly update and held accountable by PCC at CMB on performance and delivery of P&C Plan Regular review of force spend PCC/DPCC engagement with public through Area Boards and partners to understand requirement and needs Development of P&C Plan and objectives in consultation with the CC Continue to receive 'good' grading in HMICFRS PEEL inspections 	1	2	4	8	26-Nov-20	Maintain - business as usual
I5	18-Aug-15	Failure to maintain effective partnerships with criminal justice agencies	<ul style="list-style-type: none"> Justice processes become inefficient and not joined up Justice outcomes, victim satisfaction, and care declines Reduced satisfaction and confidence in criminal justice process by victims of crime Reduced public satisfaction and confidence in PCC which is likely to extend to Wiltshire Police and CJS partners 	Reputational Operational delivery Performance	<ul style="list-style-type: none"> PCC Chair of WCJB and Chair of two WCJB sub-groups WCJB Strategy, action plan and performance dashboard established and being delivered by sub-groups aligned to P&C Plan RASSO areas of performance concern across Wessex - Dorset, Hampshire and Wiltshire forces and CPS requested support from OPCCs in improving services, OPCCs commissioning external support to hold CJS partners to account (Wiltshire leading) Covid response has led to significant improvements in collaboration and joint management of CJS in Wiltshire, Wessex and nationally Links to Risk T12 	2	2	3	12	26-Nov-20	Maintain - business as usual

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16	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"> Missed opportunities to collaborate / save money / provide a more efficient and effective service Unexpected detrimental impact on the PCC's ability to deliver the P&C Plan objectives Unexpected detrimental impact on policing affecting funding and police officer time Increase demand on PCC and OPCC staff Increase demand on policing services Loss of satisfaction and confidence in relationships with partners and their decision making / consultation process Negative reaction from the public / media 	Reputational Operational Delivery Performance	<ul style="list-style-type: none"> OPCC building relationships through regular engagement with LAs, public, private and third sector leaders and managers OPCC attendance at strategic boards with partners OPCC engagement with partners and stakeholders and attendance at relevant tactical and operational boards numerous forums for political and executives to discuss changes in service including Covid19 recovery, OPCC executive meetings and monthly meetings with MPs and LA Leaders Fortnightly meetings of CMB discuss emerging developments with partners Updating and monitoring of Horizon Scanning database OPCC working to co-ordinate commissioning of services across local government, health and CJS 	3	3	2	18	26-Nov-20	Maintain - partnerships are working well
17	31-Jan-17	PCC estate fails to enable effective and efficient policing	<ul style="list-style-type: none"> Unnecessary maintenance of surplus buildings and associated utility costs Waste of resources maintaining surplus estate Damage to community relationships Negative impact on CPT and provision of local policing Negative comments from public / local media Underestimate estate requirement and dispose of too much estate Sub-optimal estate provision is ineffective use of resources Loss of opportunity to share properties and associated costs with local partners / communities 	Financial Reputational Operational Delivery	<ul style="list-style-type: none"> PCC's Estate Strategy published and key stakeholders (including the public) notified Estates strategy governance in place and appropriate Boards Significant progress in delivery strategy (almost completed) Covid19 has had positive impact on cultural benefits of remote working, these will be embraced by the OPCC / Force to ensure they remain Negative impact of Covid19 puts pressure on available space due to social distancing requirements CC reviewing operational requirement for short term Covid19 impact PCC holding officers to account for delivery of strategy Acquisitions and Disposal Board overseeing commercial aspects Wiltshire Police Estate Board overseeing Force estate programme operations 	2	3	2	12	26-Nov-20	Reduced (previously 18) - Estate Strategy is being delivered
18	15-May-17	ICT services are not resilient and transformational to support effective and efficient policing	<ul style="list-style-type: none"> ICT vulnerable to cyber attack ICT is out of date, fails and is unsupported Missed opportunities of improvement technology Impacts upon delivering P&C Plan objectives Use of older / out of date equipment limits capability Criticism from Government / HMICFRS and adverse media Reduced public and partner satisfaction and confidence in PCC and OPCC 	Financial Operational Delivery Performance Reputational	<ul style="list-style-type: none"> ICT project delivery overseen by the Digital Programme Board with risks central to discussions The independent accreditation review has seen a reduction in the risks open to the joint service The introduction of the National Management Centre under NEP will bolster security Frequent contact with national police ICT departments surrounding requirements and resilience Cloud technology is more secure and resilient than on premises solutions Resources identified to deliver improvements and efficiency - reviewed in line with national programme rollout Tactical Transition Board established and meets fortnightly Work being undertaken to finalise design of ICT operating model Local risk registers in place for Tactical Transition and NEP projects - reviewed monthly at Digital Programme Board Due to transfer all services from WC by 31 March 2021, progress and improvements being made but risk that not all services will transfer by this date Weekly governance meetings taking place to oversee project, manage risk and decision making process 	3	2	4	24	26-Nov-20	Increased (previously 16) - due to increase risk that not all services will be transferred to the Force by 31 March 2021
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"> Collaborative partners do not wish to pursue collaborative opportunities Key delivery areas are compromised or do not address the requirements of PCC, Police, collaborative partner(s), or the Wiltshire public Reduced influence of PCC to provide local accountability Effective and efficient service not delivered Reduced public and partner confidence and satisfaction in PCC and police Negative reaction from the public / media Criticism from Government / HMICFRS Damage to partnership relationships 	Financial Operational Delivery Performance Reputational	<ul style="list-style-type: none"> Governance arrangements outlined in all collaborative agreements Performance, finance, and strategic risks are managed at Strategic Board Collaborative arrangements standing agenda item on CMB Governance arrangements have been reviewed for all collaborative agreements Specialist operations have been brought back under local control save for Firearms Training (at Black Rock); Counter Terrorism Firearms Command; Major Crime Investigation Quarterly meetings taking place for all collaborations Composite funding agreement across all PCCs/Forces to be agreed 	3	3	2	18	26-Nov-20	Maintain - funding agreement to be agreed across all PCCs/Forces

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I10	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"> Reduced public and partner satisfaction and confidence in PCC and OPCC Criticism from Government / HMICFRS and adverse media attention Damaged relationship and reputation as an employer 	Reputational	<ul style="list-style-type: none"> Membership of APCC, APAC²E, and PACCTS All HMICFRS reports considered and responded to Appropriate staffing structure in place with clearly defined roles and responsibilities SSOs ensure PCC and Executive Team are briefed on policy changes 	1	2	2	4	26-Nov-20	Maintain - business as usual
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"> Failure to deliver statutory responsibilities Failure to support the PCC to fulfil his role and responsibilities All risks in every aspect will increase 	Legal Reputational	<ul style="list-style-type: none"> Annual review of OPCC delivery demands Policy and horizon scanning for changes in PCC statutory responsibilities Discussions with PCC and partners on anticipated direction and requirement for officers Comparison of resources with other OPCCs Review national guidance (APCC/APACE) OPCC benefits from sharing support services with Force (ie. ICT, performance, information governance) OPCC resource requirements form part of joint planning with Force (PCC advised of requirement, benefits and risks enabling a decision to be made on resources required) 	1	2	3	6	26-Nov-20	Maintain - business as usual
Topical Risks											
T1	05-Jan-16	Review of funding formula does not provide additional resources or reduces resources to Wiltshire	<ul style="list-style-type: none"> PCC and OPCC failure in statutory obligations Not able to provide enough funds to Chief Constable to provide an efficient and effective police service Unable to commission required services due to reduced funding Unable to deliver P&C Plan priorities Further savings would need to be identified Reduction in reserves Reduced satisfaction and confidence in PCC and OPCC Criticism from Government / HMICFRS and adverse media attention 	Financial Legal Operational Delivery Performance Reputational	<ul style="list-style-type: none"> HO reviewing funding formula, Technical Group established and chaired by the Permanent Secretary at the HO 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 Reserves used to smooth trajectory in MTFs to avoid short term reduction in service before completion of formula review Additional resources for policing will mitigate risk, but not resolve disparity in funding Review expected Autumn 2020 but now anticipated to be delayed One year CSR announced Nov 2020 	2	4	3	24	26-Nov-20	Maintain - review likely to be delayed as a result of Covid-19
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"> ESN is not fit for purpose or equal to the Airwave network it replaces (including gaps in coverage) Commons Public Accounts Committee has been told that ESN will be running in September 2020 Financial impact of delayed implementation on PCCs budgets and some high level costs are unknown Negative reaction from the public / media Damage to reputation of PCC, OPCC, and Force Limited control due to national programme 	Financial Operational Delivery Reputation	<ul style="list-style-type: none"> PCCs represented on HO Oversight Group National meetings taking place at which police forces are represented Situation reviewed by the Public Accounts Committee and has national profile Potential for significant cost increases Funding allocated in capital plan Wiltshire CC appointed NPCC National Lead Full business case expected in the New Year National decision taken to change covert radios due to delays in delivering via ESN programme Wiltshire has agreed to take on assurance role as from 1 April 2021 New costing model produced but number of unknowns remain (including what costs to PCCs will be) 	4	3	2	24	26-Nov-20	Maintain - new business case awaited
T6	13-Feb-18	Unable to provide adequate frontline policing	<ul style="list-style-type: none"> Decline in force performance Decline in force morale Damage to reputation of PCC, OPCC, and Force Reduced public and partner satisfaction and confidence in PCC and OPCC Criticism from Government / HMICFRS and adverse media attention Service quality decreases and visibility falls 	Operational delivery Performance Reputational	<ul style="list-style-type: none"> Joint planning cycle enables PCC and CC to receive outline detailed advice on resource requirements, demand and risks to ensure delivery of an efficient and effective police service Evidence based on FMS informs integral part of planning in preparation for revised P&C Plan, MTFs and changes in policing delivery CC has clear plans to deliver P&C Plan and manage performance of Force CC provides monthly update and held accountable by PCC at CMB on performance and delivery of P&C Plan Ongoing recruitment of additional 75 police officers by April 2021 and maintain PCSO numbers CPT resource and officer deployability scorecard developed and used by force, PCC and PCP Increased resources available to frontline due to Covid-19, crime and demand has decreased although offset by Covid-19 incidents Deployability has been maintained to date throughout Covid-19 	2	2	4	16	26-Nov-20	Maintain - Covid-19 has not impact on deployability

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T12	16-Mar-20	Impact of Covid-19 on criminal justice capacity and backlog	<ul style="list-style-type: none"> • Significant impact on BAU • Staff absences due to illness, self-isolating, or caring responsibilities • Impact on partner BAU and resources • Decline in Force performance • Failure to deliver statutory responsibilities • Delays for victims, defendants and system • Increased demand in system as holding capacity is required • Reduced service provided by those services commissioned by the PCC • Public loss of confidence in CJS 	Financial Reputational Operational Delivery Performance Legal	<ul style="list-style-type: none"> • Criminal Justice Board lead on recovery of CJS system and into LRF & recovery groups • Wessex CJS Recovery Group meets weekly to manage CJS performance (co-chaired by Wilts PCC and Hamps police) • CJS partners across Wessex at senior level are represented (PCC, Police, CPS, Courts, Probation, Prison, YOT and Legal Aid Agency) • Regular communications from PCC to CJ partners and stakeholders • Regular communication from PCC and CC to whole force three times a week (was five) • Fortnightly calls are held with all PCCs and Home Office and Ministry of Justice ministers • Plans in place responding to issues of court capacity, criminal justice backlog, local recovery plans, ensuring victims and witnesses are supported through Covid19 recovery • Resource increase negotiated to manage backlog in Wiltshire Magistrates (moved from elsewhere in South West to Wiltshire) - five additional court days a week now in place and looking to increase to six in December, anticipated Magistrate court backlog would return to pre-Covid19 levels by mid-February • Crown Court backlog is at pre-Covid19 levels, Wessex Group monitoring any impact created by increase in Magistrates capacity - waiting time for trials may increase as more Magistrate cases are processed 	3	4	4	48	26-Nov-20	Maintain - risk will be fully reviewed pending completion of Magistrate backlog (February/March 2021)
T13	25-Jun-20	Reduced resources in 2020-21 impacting baseline and ability to deliver a policing service	<ul style="list-style-type: none"> • PCC will have to reduce funding provided to the Chief Constable and for commissioning • CC will have to consider what services he can deliver and make difficult recommendations to the PCC which may have political ramifications • PCC will need to review these recommendations and decide on the strategic approach 	Financial Reputational Operational Delivery Performance	<ul style="list-style-type: none"> • CSR announcement made 25 Nov – no increase in general grant and no pay award for majority of staff (positive impact on funding) • MTFS being drafted • PCCs given flexibility to increase precept up to maximum of £15 per year for 2020-21 	3	4	3	36	26-Nov-20	Maintain - at the time of reviewing this risk register (26 November), full consideration had not yet been given to the details of the CSR announcement. A number of meetings are planned between now and the announcement of the financial settlement where this will be done.
T14	26-Nov-20	Impact of Covid19 on health and welling of OPCC and Force workforce means P&C Plan is not delivered	<ul style="list-style-type: none"> • Low staff morale • Increase in levels of sickness / absences through long-term sickness • Reduced staff levels to delivery plans on page, ultimately leading to P&C Plan priorities not being delivered 		<ul style="list-style-type: none"> • Regular communication to staff highlighting importance on good mental health • Promoting services offered by OHU and how to access these • Where possible staff offered flexibility on hours worked to assist homeschooling / shielding scenarios • OPCC and Force working collaboratively to conduct regular engagement with staff (including staff survey) 	2	3	2	12		NEW