

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 / HMIC and adverse media attention | Reputational | <ul style="list-style-type: none"> P&C Plan integral part of planning cycle P&C Plan reviewed annually P&C Plan agreed as key document for police community safety partnerships and WCJB Informed by CC's operational advice and partnership delivery plans Comprehensive engagement and consultation with the public in developing final P&C Plan Attendance at strategic boards with partners Attendance at Force SCT where performance is reviewed PCC commissioning of services in addition to policing to support delivery of P&C Plan – 2018-19 commissioning plans agreed Quarterly reporting to the Panel on performance against plan Publication of annual report summarising progress made against priorities and P&C Plan – work commenced on 2017-18 report Continue to receive 'good' grading in HMICFRS PEEL inspections Following public consultation, police precept for 2018-19 increased by £12 for Band D property Recruitment of police officers Force currently reviewing impact of Op Fairline against delivery of P&C Plan priorities, impact is expected to be upon timescales rather than work not being delivered | 3 | 2 | 4 | 24 | 04-May-18 | Increased (previously 16) - due to impact of Op Fairline on resources |
| 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 of the precept Reduced public and partner satisfaction and confidence in PCC and OPCC Criticism from Government / HMIC 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 Member of APCCs / APAC²E / PACCTS Horizon scanning database referenced Fortnightly finance meetings between PCC and CFO Collaborations / projects require financial sign-off at CMB Continual review and update working closely with CC Central government determined by Treasury Restrictions on council tax amended, PCCs now able to increase precept up to maximum of £12 per year and for 2019-20 (PCC has held public consultation on proposal and increased precept to maximum limit) Precept consultation conducted January 2018, findings summarised and reported to PCP in February PCC presented his plans for precept increase to PCP at February meeting | 2 | 2 | 4 | 16 | 04-May-18 | Maintain - business as usual |
| 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 Partnership agreements / grant letters issued for each commissioned service outside of the police Commissioned services provided by Wiltshire Police reviewed Regular / Final reports a prerequisite of all commissioned services Quarterly meetings of the Commissioning and Policy Group which keeps all commissioned services under review Monthly Commissioning Update meetings established between officers Constant future planning of allocation of Community Safety Fund and Victims Fund – 2018-19 commissioning plans agreed at February meeting CMB Planning underway for review of services to ensure timely and smooth transition to new provider where necessary Ongoing / New commissioning with LAs meeting all legal and procurement requirements Internal audit reviewed ethical arrangements and gave a 'reasonable' assurance with no significant findings Internal Audit reviewed governance arrangements and gave a 'reasonable' assurance with no significant findings | 1 | 2 | 2 | 4 | 04-May-18 | Maintain - business as usual |

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| 14 | 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 Attendance at monthly SCT Review of performance data Regular review of force spend Engagement with public and partners to understand requirement and needs Development of P&C Plan and objectives in consultation with the CC HMICFRS inspections – PEEL efficiency grading published on 9th November and Legitimacy on 12th December, Wiltshire graded as 'good' in both Working with CC to review all accountable mechanisms to ensure they are fit for purpose | 1 | 2 | 4 | 8 | 04-May-18 | Maintain - business as usual |
| 15 | 18-Aug-15 | Failure to maintain effective partnerships with criminal justice agencies and commissioning of effective services for victims | <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, additional support being provided by OPCC PCC has coordination role across CJS system on behalf of victims WCJB delivering substantial parts of the P&C Plan WCJB action plan in place and being delivered by sub-groups Victims, Witnesses and Most Vulnerable sub group coordinate victim through CJS and CSPs manage offender work RJ strategy agreed by WCJB Partnership working to support delivery of specialist victim services for DA and SA Victim services being redeveloped to further integrate support Work to improve interface between force and CPS to improve efficiency with sexual offences In conjunction with Northumbria OPCC, Wiltshire is coordinating WCJB work to identify areas for improvement in specialist courts and support for victims Improved links and coordination between local and national CJB through APCC and portfolio leads OPCC working with PPA to establish performance dashboard covering all agencies – to be achieved in six months WCJB planning day held to develop strategic direction and plans for next three years (to be approved at May WCJB) | 2 | 2 | 3 | 12 | 04-May-18 | Maintain - business as usual |
| 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 Increased 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"> Regular engagement with LA Leaders Attendance at strategic boards with partners OPCC engagement with partners and stakeholders and attendance at relevant boards Fortnightly meetings of CMB discuss emerging developments with partners Updating and monitoring of Horizon Scanning database Early engagement with LAs and partners to identify and reduce demand on policing services PCC Chairs Tri-Force Board and is supported by CX SBC required to make savings and already impacting on services in place, PCC / OPCC being consulted with Investment in mental health collectively worked through to reduce demand on policing No formal notification received from partners on where savings are being made | 2 | 4 | 2 | 16 | 04-May-18 | Reduced (previously 24) - maintain watching brief |
| 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 PCC met with Wiltshire and Swindon MPs to advise them of strategy Estates strategy governance in place and appropriate Boards PCC holding officers to account for delivery of strategy CC has provided operational requirements to PCC Operational requirements developed across all police departments and informed by current and future predicted demand Delivering against Estate Strategy Plans being designed and developed, business cases due | 2 | 2 | 2 | 8 | 04-May-18 | Maintain - delivering against strategy |

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| I8 | 15-May-17 | ICT services with Wiltshire Council 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 / HMIC 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"> • Strategic Partnership with WC has significantly improved capability and delivery • Strategic work ongoing with WC to identify priorities, timescales and governance – expectation is for improved clarity surrounding ICT • Regular meetings with service providers and increased monitoring occurring • Test incident conducted with GCHQ • Business continuity plans in place for all business areas • PCC identified funds available for specific ICT projects in capital plan • Joint Technology Board meets regularly – PCC, CC, and WC are represented • ICT disaster recovery plan received • Formal agreement with WC for signing, revised version sent end of October 2017, OPCC working to revised version • Protective Security Manager presenting to June JIAC on cyber security • Specific resources have been reallocated to manage compliance and updates presented on frequent basis to national accreditors • Op Connect overseeing all ICT issues has reduced outstanding issues by two thirds, plans in place to deal with remaining issues • Unsuccessful attempts made to breakthrough ICT security wall providing some assurance | 3 | 2 | 4 | 24 | 04-May-18 | Reduced (previously 32) - Gold Group established and working through issues |
| I9 | 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"> • PCCs or CCs do not agree on a model of collaboration for any particular function • 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"> • Contracts and agreements in place for all collaborations • Governance arrangements outlined in all collaborative agreements • PCC / OPCC represented at relevant Boards where performance, finance, and strategic risks are managed • CCs manage operational service risks and escalate to PCCs as required • ACCs in place for Tri-force collaborations and regionalised services • PCCs receive regular updates on collaborative service arrangements • Collaborative arrangements standing agenda item on CMB • HMICFRS undertake specific service inspections for collaborative arrangements and is also included in HMICFRS PEEL inspection regime • PCC Chairs Tri-Force Board and is supported by CX • Current review of employment model and management framework of all collaborations • D&C and Dorset planned merger has implications for all collaboration work • Strategic seminar planned for 14th March postponed due to Op Falrine, will now take place in June | 3 | 3 | 3 | 27 | 08-May-18 | Maintain - risk to be reviewed following strategic seminar |
| 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 • PCC staff conduct horizon scanning and provide regular briefings to the PCC | 2 | 2 | 2 | 8 | 04-May-18 | Maintain - BAU |
| 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 / HMIC 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 • D&C PCC is a member of the Technical Group and PCC able to channel his views through her • Review put on hold following announcement of general election and purdah and no further announcement with regard to review • 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 • £1.7m of additional savings will be required from 2017-18 onwards if funding formula not revised as proposed in 2015-16 • Restrictions on council tax amended with PCCs now able to increase precept up to maximum of £12 per year and for 2019-20 (PCC has held public consultation and increased precept to maximum limit) | 2 | 4 | 2 | 16 | 04-May-18 | Reduced (previously 24) - due to local precept capping higher than expected |

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| 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 by PCC Katy Bourne on HO Oversight Group • National meetings taking place at which police forces are represented • CC SW representative – information received more timely and increased force focus • Situation reviewed by the Public Accounts Committee and has national profile • 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 • Concerns around devices provided and whether they can deliver the necessary technology • Potential for significant cost increases • CFO delivered update to JIAC December meeting • Refreshed business case, budget and timeline to be produced as part of programme reset – expected later in the year • Stop on project team recruitment to limit cost and no longer rolling funds forward • New communications expected imminently • Funding allocated in capital plan | 4 | 4 | 1 | 16 | 04-May-18 | Reduced (previously 32) - finances allocated (although may not be sufficient) and impact of any further delay is not considered significant |
| 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"> • Failure of the PCC to hold the CC to account • Wiltshire Police does not fulfil legal duty and values of organisation • Wiltshire Police does not reflect the diversity of the community it serves • Failure to identify and respond to demands of diverse communities • Reduced public satisfaction and confidence – disproportionate effect in diverse communities • Reputational damage to PCC, OPCC and Police • Increased risk of HR tribunals and litigation • Damaged relationship and reputation as an employer | Legal Operational Delivery Reputational | <ul style="list-style-type: none"> • Assessment undertaken of victim's vulnerability, including aspects of diversity • Specialist support services in place for ensuring support for a range of diverse groups • Force has S&S policies in place and is BUSS compliant • Recruitment of 3x Positive Action Officers to review and advise on internal policies and procedures • Hate crime scrutiny group established to provide challenge and advice on policies and procedures related to diversity • HR Policies set out obligations and procedures to meet Force duties • Recruitment, redeployment and support policies in place • Force implementing action plan including leadership, coaching and mentoring support, redesigning recruitment of officers, specials, and staff to attract more diverse applicants • Force presented CMB with comprehensive action plan to address areas for improvement • PCC receiving monthly briefings on delivery against improvement plan from lead officer • Updates will now be provided by exception through the usual performance mechanisms | 2 | 3 | 3 | 18 | 04-May-18 | Maintain - audit taken place and discussion document issued to Force. Risk will be reviewed once final report has been issued |
| T5 | 13-Feb-18 | Failure to secure a high-calibre candidate, who shares the ambitions and vision of the PCC, for the role of Chief Constable due to extremely competitive market | <ul style="list-style-type: none"> • Decline in force performance • Decline in force morale • Reputational damage • Not delivering or unable to deliver P&C plan | Operational delivery Performance Reputational | <ul style="list-style-type: none"> • T/CC appointed as of 5th March to ensure stability • T/CC appointed from within existing leadership team ensuring course and progress maintained • Early preparations for permanent appointment likely to begin within next six months • APCC working with College of Policing to ensure that the talent pool of applicants is as broad and deep as possible (APCC Police Leadership Portfolio Lead, PCC Dafydd Llywelyn) | 2 | 2 | 3 | 12 | 04-May-18 | Maintain - to review risk once appointment process begins, the event has been updated following comments made at the March Panel meeting |
| T6 | 13-Feb-18 | Unable to continue to meet demands of 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"> • Ongoing recruitment of police officers and PCSOs • Ongoing review of assets / resources • Working towards identifying a maximum level of abstraction for CPTs to ensure policing remains visible • Intake of new police officers progressing through training • Maintaining 'good' gradings for HMICFRS PEEL assessments • Report to be considered at June Panel meeting on PCC's commitment to maintaining frontline policing | 2 | 2 | 4 | 16 | 04-May-18 | Reduce (previously 24) - |
| T7 | 04-May-18 | Ongoing Op Fairline impacting upon community confidence and police resources | <ul style="list-style-type: none"> • 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 • Decline in force performance • Decline in force moral • Use of reseves | Financial Operational delivery Performance Reputational | <ul style="list-style-type: none"> • £1.6m additional funding provided by government to help cover Op Fairline costs • Mutual aid has been instigated helping to limit impact on budgets and reserves • Regular media releases published • Engagement with public / visits to Salisbury | 3 | 4 | 2 | 24 | 04-May-18 | NEW |