

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
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 SD&T where performance is reviewed PCC commissioning of services in addition to policing to support delivery of P&C Plan – 2019-20 commissioning plans being drafted Quarterly reporting to the Panel on performance against plan Publication of annual report summarising progress made against priorities and P&C Plan – published September 2018 Continue to receive 'good' grading in HMICFRS PEEL inspections Following public consultation, police precept for 2019-20 increased by £24 for Band D property Recruitment of police officers Joint OPCC/Force Awayday held in October 	2	2	4	16	19-Feb-19	Reduce (previously 24) - business as usual, increased flexibility in setting precept
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 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) Precept consultation conducted January 2019, findings summarised and reported to PCP in February PCC presented his plans for precept increase to PCP at February meeting Work commenced to identify savings requirement - joint OPCC/Force Awayday held in October Significant national concerns exist with funding of Police Pensions. Discussions with treasury and Home Office on mitigating impact and risks - pensions issue now resolved 	2	3	4	24	19-Feb-19	Reduced (previously 36) - increased flexibility in setting precept and national issue of funding of police pensions resolved

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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 – 2019-20 commissioning plans being drafted • 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 • 2019-20 first year of fully established commissioning structure 	2	2	3	12	19-Feb-19	Increased (previously 4) - new commissioning staffing structure in place

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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 Attendance at monthly SD&T 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 2017, Legitimacy on 12th December, Effectiveness on 22nd March 2018, Wiltshire graded as 'good' in all Working with CC to review all accountable mechanisms to ensure they are fit for purpose DCC/ACC attending all Area Boards OPCC management represented on Specialist Ops Board 	1	2	4	8	19-Feb-19	Maintain - business as usual
I5	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 CJBs from other areas been in contact to learn lessons from progress made to date in Wiltshire Performance dashboard now in place WCJB approved first strategy that sets direction for criminal justice agencies Strong relationships with CSPs and YOTs Reducing Reoffending Board established National changes around Probation Service taking place - awaiting further information 	2	2	3	12	19-Feb-19	Maintain - business as usual
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"> 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 Local Authorities have indicated increased savings requirement for 2019-20 No formal notification received from partners on where savings are being made OPCC working to co-ordinate commissioning of services across local government health 	3	4	2	24	19-Feb-19	Maintain - watching brief
I7	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 Acquisitions and Disposal Board overseeing change Wiltshire Hub Board overseeing CPT Board 	2	2	2	8	19-Feb-19	Maintain - delivering against strategy

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I8	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 / 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"> • Additional resources required to continue to deliver improvements and efficiency, ability to do this is being reviewed • 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 • JIAC received presentation on cyber security at June meeting • Specific resources have been reallocated to manage compliance and updates presented on frequent basis to national accreditors • Op Connect overseeing all ICT issues - major risks have been managed but have identified that with Vision 2025 there will be further ICT problems to be resolved • Unsuccessful attempts made to breakthrough ICT security wall providing some assurance • Emerging divergence of ICT requirements for Police and local authorities • Review of current service provision underway 	4	2	4	32	19-Feb-19	Maintain - major risks have been managed, review of current service provision underway
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"> • Governance arrangements outlined in all collaborative agreements • Performance, finance, and strategic risks are managed at Strategic Board • Collaborative arrangements standing agenda item on CMB • PCC strategic parameters for collaboration set and communicated December 2017 • Tri Force reviewed in order to develop closer working for armed response - A&S and Wiltshire will continue to strengthen collaboration on roads policing and dogs • Discussions continue to support through transition period • Benefits of Tri-Force have been challenged in series of management reports as proposed remedial measures would have transferred direction and control and accountability away from Wiltshire PCC / Chief Constable to that of Avon and Somerset. The impact on accountability and governance outweighed the benefits. 	3	2	3	18	27-Nov-18	Reduced (previously 27) - risk reviewed and scoring reduced 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	19-Feb-19	Maintain - BAU
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 fulfill 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 • Identified gaps to be addressed in next six months • Comparison of resources with other OPCCs • Review national guidance (APCC/APACE) • Results of scoping, identified demands, outcomes of discussions to be fed into planning cycle • Expansion of PCC role - increased devolution from central government (criminal justice / fire governance) • 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 • OPCC resourcing plan agreed at CMB to address identified gaps 	2	2	3	12	19-Feb-19	Reduced (previously 18) - resourcing plan has been approved

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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 - publication of National Audit Office report may reignite this issue 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 PCCs able to increase precept up to maximum of £24 per year for 2019-20 (PCC has held public consultation and increased precept to maximum limit) National report suggests new formula will not be brought in until 2021-22 Review of formula has now been pushed back to 2020-21 	2	4	2	16	19-Feb-19	Maintain - review of funding formula on hold
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 - still awaiting national guidance and business plan with new costings and timeline Funding allocated in capital plan 	4	4	1	16	19-Feb-19	Maintain - no new information available, awaiting national guidance

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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 - currently being reviewed due to 'partial' assurance from Equalities audit • 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 • Equalities internal audit considered at JIAC November meeting - update to be provided at March meeting 	2	3	3	18	19-Feb-19	Maintain - audit taken place and 'partial' opinion given, update to be given to March JIAC meeting

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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 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) Advertised nationally, all DCCs/ACCs written to advising them of vacancy Closing date has now passed and interviews will take place in the near future 	2	2	3	12	02-Nov-18	REMOVE - new Chief Constable appointed November 2018
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 considered at June Panel meeting on PCC's commitment to maintaining frontline policing Police and Crime Panel scrutiny Impact of Avon and Somerset withdrawing from Tri-Force has been assessed and resilience requirements will be met through recruitment of additional officers. There will be a transition arrangement to ensure all demand is met. This will result in 41 officers coming back into force. Report to be presented to March JIAC 	2	2	4	16	19-Feb-19	Maintain - risk to be continually reviewed through 2019-20 as redeployment takes place
T7	04-May-18	Ongoing Op Fairline / Op Fortis 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 reserves 	Financial Operational delivery Performance Reputational	<ul style="list-style-type: none"> £6.6m 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 Ongoing management of TOIL / build-up of annual leave -CC has processes in place to address this to minimise impact on policing in 2018-19 and 2019-20 Wiltshire reputation and public confidence enhanced by successful dealing with critical incident 	2	3	2	12	19-Feb-19	Maintain - to fully review risk in April 2019
T8	07-Jun-18	Failure to comply with General Data Protection Regulations (GDPR)	<ul style="list-style-type: none"> Failure to comply with legislation Damage to reputation of PCC, OPCC, and Force Criticism from Government / HMICFRS / Internal Audit and adverse media attention Staff and partners lose confidence in PCC, OPCC and Force 	Reputational	<ul style="list-style-type: none"> Project Team established Project Team meet bi-monthly Original action plan has been revised and all outstanding tasks have been prioritised and are to be completed within six months Internal Audit have issued a position statement relating to GDPR readiness for both OPCC and the Force Position Statement reported to JIAC meeting held in June Update on GDPR to be provided to November JIAC meeting OPCC internal processes reviewed to ensure robustness PCC and CC agreed new structure for Information Assurance which is now in place and will improve management of this area 	3	3	2	18	19-Feb-19	Maintain - new structure in place
T9	17-Sep-18	Failure to recommission service for victims of crime	<ul style="list-style-type: none"> Failure to deliver statutory responsibility Damage to reputation of PCC and OPCC Criticism from Government / HMICFRS and adverse media attention Staff and partners lose confidence in PCC and OPCC 	Legal Reputational	<ul style="list-style-type: none"> Robust commissioning process in place Partnership with SWPPD regards tendering process Engagement with market - market days taken place Regular project meetings taking place / risk review Project team awayday to finalise commissioning approach 	2	2	3	12	19-Feb-19	REMOVE - contracts for new services awarded and will commence 1st April 2019
T10	19-Feb-19	Impact of a 'No Deal' Brexit on Wiltshire	<ul style="list-style-type: none"> Failure to delivery statutory responsibility 	Operational delivery	<ul style="list-style-type: none"> Gold Group established which OPCC attends Contingency plans in place for OPCC and every Force business area APCC cross party Brexit Working Group established and updates / briefings circulated to PCCs Close monitoring of national developments 	3	2	3	18	19-Mar-19	NEW - PM due to request extension to delay Brexit
T11	19-Feb-19	Failure to provide forensic medical services in Sexual Assault Referral Centres (SARC)	<ul style="list-style-type: none"> Damage to reputation of PCC and OPCC Reduced public and partner satisfaction and confidence in PCC and OPCC Failure to deliver Plan priority of 'putting victims at the heart of everything we do' 	Operational delivery Reputational	<ul style="list-style-type: none"> Regional OPCC Steering Group working to identify possible solutions Engagement with FME leads to fully understand the issue New proposal to be drafted for consideration by service provider 	3	2	3	18		NEW