

**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				Date Reviewed	Summary
ID	Date identified	Event	Consequence	Main impact area(s)	Mitigation and Controls	L	C	I	Score			
<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 / HMIC and adverse media attention</li> </ul>	Reputational	<ul style="list-style-type: none"> <li>• Police and Crime Plan integral part of planning cycle</li> <li>• New plan produced within one year of each PCC election and reviewed annually</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 SCT where performance is reviewed</li> <li>• PCC commissioning of services in addition to policing to support delivery of P&amp;C Plan</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</li> </ul>	3	2	4	24	17-Aug-17	<b>Maintain</b> - initial figures from first four months performance appear to indicate some decline in performance. Risk to be reviewed in November 2017 (six months from first publication of revised risk register).	
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 / HMIC 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 / APACE / 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 with capping of 1.9%</li> </ul>	4	3	4	48	17-Aug-17	<b>Increased (previously 12)</b> - work has commenced on revised MTFS. Significant issues have been identified with the employment of staff which threatens the ability to delivery the PCC's Plan within the financial envelope.	
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 to be reviewed during 2017-18</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 Update meetings between officers to commence September 2017</li> <li>• Constant future planning of allocation of Community Safety Fund and Victims Fund – report on future funding to be considered at September Commissioning and Policy Group meeting</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 ethical arrangements and gave a 'reasonable' assurance with no significant findings</li> <li>• Internal Audit are currently reviewing the OPCC commissioning arrangements</li> </ul>	2	2	2	8	17-Aug-17	<b>Maintain</b> - mitigation and controls updated accordingly. Scoring to be reviewed following receipt of Internal Audit for commissioning arrangements (audit is currently being carried out)	
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 / HMIC and adverse media</li> </ul>	Reputational	<ul style="list-style-type: none"> <li>• Fortnightly CMB meetings with CC</li> <li>• Attendance at monthly SCT</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>• HMIC inspections</li> </ul>	2	2	4	16	17-Aug-17	<b>Maintain</b> - satisfied with accountability arrangements. Concern is the capacity of the Force to maintain delivery with the CC advises is under threat	

ID	Date identified	Event	Consequence	Main impact area(s)	Mitigation and Controls	L	C	I	Score	Date Reviewed	Summary
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"> <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>Appointment of Service Improvement Officer to support the PCC in his work with WCJB, community safety partnerships and criminal justice partners</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>Restorative Together Board established and chaired by PCC reporting to WCJB</li> <li>Victims, Witnesses and Most Vulnerable sub group established September 2016 to coordinate victim requirements across CJS process</li> <li>RJ strategy agreed by WCJB</li> <li>Restorative Together team created in OPCC delivering and supporting professional and volunteering led RJ conferences within the Force</li> <li>Partnership working to support delivery of specialist victim services for DA and SA</li> <li>Horizon Victim and Witness Care unit commissioned by PCC, delivering and co-ordinating victim service</li> </ul>	1	2	3	6	17-Aug-17	<b>Maintain</b> - the interface between investigative teams and the CPS is being looked at. Risk score to be reviewed following completion of this work. Expected date of completion is not yet known.
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"> <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>PCC Chairs Tri-Force Board and is supported by CX</li> </ul>	2	4	2	16	17-Aug-17	<b>Maintain</b> - BAU
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 has been published and key stakeholders (including the public) notified</li> <li>PCC meeting with Wiltshire and Swindon MPs to advise them of strategy</li> <li>Estates strategy governance in place</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> </ul>	2	3	2	12	17-Aug-17	<b>Increased</b> - score increased due to reliance on partners' willingness to engage with PCC's estates strategy. Risk and score will be reviewed in six months time (February 2018) giving an opportunity to progress strategy with partners.
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 / HMIC 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>Strategic Partnership with WC has significantly improved capability and delivery</li> <li>Strategic work ongoing with WC to identify priorities, timescales and governance – expectation is for improved clarity surrounding ICT</li> <li>Regular meetings with service providers and increased monitoring occurring</li> <li>Test incident conducted with GCHQ</li> <li>Business continuity plans in place for all business areas</li> <li>PCC identified funds available for specific ICT projects in capital plan</li> <li>Joint Technology Board meets regularly – PCC, CC, and WC are represented</li> <li>ICT disaster recovery plan awaited</li> </ul>	3	2	3	18	17-Aug-17	<b>Increased</b> - governance structures are in place but formal agreement requires signing
19	18-Aug-15	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>PCCs do not wish to commission policing model provided</li> <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 / HMIC</li> <li>Damage to partnership relationships</li> </ul>	Financial Operational Delivery Performance Reputational	<ul style="list-style-type: none"> <li>Contracts and agreements in place for all collaborations</li> <li>Governance arrangements outlined in all collaborative agreements</li> <li>PCC / OPCC represented at relevant Boards where performance, finance, and strategic risks are managed</li> <li>CCs manage operational service risks and escalate to PCCs as required</li> <li>ACCs in place for Tri-force collaborations and regionalised services</li> <li>PCCs receive regular updates on collaborative service arrangements</li> <li>Collaborative arrangements standing agenda item on CMB</li> <li>HMIC undertake specific service inspections for collaborative arrangements and is also included in HMIC PEEL inspection regime</li> <li>Annual reports on collaborations to CMB detailing benefits provided</li> <li>PCC Chairs Tri-Force Board and is supported by CX</li> </ul>	2	3	3	18	17-Aug-17	<b>Maintain</b> - review in six months (Nov 2017)

ID	Date identified	Event	Consequence	Main impact area(s)	Mitigation and Controls	L	C	I	Score	Date Reviewed	Summary
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"> <li>Reduced public and partner satisfaction and confidence in PCC and OPCC</li> <li>Criticism from Government / HMIC 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, APACE, and PACCTS</li> <li>All HMIC 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	17-Aug-17	Maintain - BAU
<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 / HMIC 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</li> <li>There has been no future announcement from central government in relation to the review</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>£1.7m of additional savings will be required from 2017-18 onwards if funding formula not revised as proposed in 2015-16</li> </ul>	2	4	3	24	17-Aug-17	Maintain - PCC campaigning for increased funding and engaging local MPs through joint seminar with Force (October)
T2	06-Mar-17	Community Policing model does not deliver anticipated benefits	<ul style="list-style-type: none"> <li>Anticipated benefits are reduced or not delivered</li> <li>Operating model is not sustainable</li> <li>Service quality decreases and visibility falls</li> <li>Satisfaction for victims and public falls</li> <li>Damage to reputation of PCC, OPCC, and Force</li> </ul>	Financial Operational Delivery Performance Reputation	<ul style="list-style-type: none"> <li>Project team meeting monthly focusing on delivering benefits of model - OPCC is represented</li> <li>Failsafe safe plan in place if significant challenges emerge</li> <li>Workforce fully engaged and local communities fully informed and engaged in process</li> <li>Process continues to evolve and develop and will need to reflect local communities needs</li> <li>Detailed evaluation specification in place</li> <li>Review score after receipt of evaluation report</li> <li>Initial evaluation shows difficulty with current resourcing level</li> <li>Tactical Board attended by DCX</li> </ul>	3	2	4	24	17-Aug-17	Increase - risk to be fully reviewed following receipt of evaluation report which is imminent
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>Motorola proposing recommended solutions to HO in June 2017</li> <li>CC SW representative – information more received more timely and increased force focus</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</li> </ul>	4	4	2	32	17-Aug-17	Maintain - regular updates being received but no firm detail provided on timescales and costs
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</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>Force presented CMB with comprehensive action plan to address areas for improvement</li> <li>PCC receiving monthly briefings on delivery against improvement plan from lead officer</li> <li>Updates will now be provided by exception through the usual performance mechanisms</li> </ul>	2	3	3	18	17-Aug-17	Maintain - Internal Audit review due to take place Oct 2017, risk and score will be reviewed on receipt of this report