

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 / 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 P&C Plan reviewed annually as part of annual report process (13th May 2019) 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 drafted Quarterly reporting to the Panel on performance against plan Publication of annual report summarising progress made against priorities and P&C Plan – work commenced for 2018-19 report 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 Integrated OPCC and Force Planning cycle introduced in 2019-20 	2	2	4	16	15-Aug-19	Maintain - business as usual, work commenced on 2018-19 annual report
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 / 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 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 plans for precept increase to PCP at February meeting Awaiting further details on national announcement of police officer and support staff uplift. Further details anticipated mid Sep / October from Home Office. 	2	3	4	24	15-Aug-19	Maintain - review once detail is received
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 finalised and incorporated into planning cycle 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 governance arrangements and gave a 'reasonable' assurance with no significant findings 2019-20 first year of fully established commissioning structure Clear processes in place and have been tested for full financial year Commissioning process embedded 	2	1	3	6	15-Aug-19	Decreased (previously 12) - clear processes in place and embedded to become business as usual

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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 Continue to receive 'good' grading in HMICFRS PEEL inspections 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	15-Aug-19	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, 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 strategy in place for one year Annual review completed by WCJB Manager and with partners, identified areas of service improvement, but overall strategy is on course and targeting the right areas Strong relationships with CSPs and YOTs Commissioning manager (CJS & Reducing Reoffending) within OPCC Reducing Reoffending Board established National changes around Probation Service taking place - awaiting further information 	2	1	3	6	15-Aug-19	Reduced - WCJB strategy reviewed, is on course and targeting the right areas
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 LAs 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	15-Aug-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 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 Programme plan delivering against Estate Strategy Range of business cases, approved / being developed Acquisitions and Disposal Board overseeing commercial aspects Wiltshire Hub Board overseeing Force estate programme operations 	2	2	2	8	15-Aug-19	Maintain - delivering against strategy

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I18	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 • Management of risk is reviewed every 6-8 weeks in the Joint Technology Board • Business Continuity Plans in place and have been used with short term issues • PCC has agreed significant investment to ensure continuity and improvement of services • Frequent contact with national police ICT departments surrounding requirements and resilience • Service delivery reviewed and due to more 'police only' standards change in model agreed • Working towards standalone Police only model utilising the cloud and latest technology • 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 	4	2	4	32	15-Aug-19	Maintain - Focus, risks are being managed and with delivery of projects during 2019/20 will be reduced
I19	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 • PCC strategic parameters for collaboration set and communicated December 2017 • Governance arrangements have been reviewed for all collaborative agreements • Performance, finance, and strategic risks are managed at Strategic Board • Collaborative arrangements updates given regularly at CMB • PCC strategic parameters for collaboration set and communicated December 2017 • 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 	3	3	2	18	15-Aug-19	Maintain
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	15-Aug-19	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 • 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 • Recruitment to vacancies challenging 	3	2	3	18	15-Aug-19	Increased (previously 12) - due to challenges in recruiting to vacant roles

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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 / 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 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 PCC seeking clarification on new timescale Additional resources for policing will mitigate risk, but not resolve disparity in funding 	2	4	2	16	15-Aug-19	Maintain - review once CSR, 2020-21 details are announced
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 2018 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 NAO report published May 2019 highlighting significant risks and seems unlikely ESN will be delivered by target date of 2022 Wiltshire CC appointed NPCC National Lead 	4	3	2	24	15-Aug-19	Increased - no new information available, still awaiting national guidance, Wiltshire CC appointed as National NPCC Lead
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 PCC receiving monthly briefings on delivery against improvement plan from lead officer Force Equal Opportunities policy updated and published Internal Audit follow-up recognised majority of recommendations from initial audit substantially completed although general process to ensure policies updated promptly 'remains under review to refine and fully embed' Follow up audit to be completed Sep 2019 	2	3	3	18	15-Aug-19	Maintain - Risk to be reviewed following review by Audit Committee in Autumn after follow up internal audit

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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 CPT resource and officer deployability scorecard developed and used by force, PCC and PCP Intake of new police officers progressing through training Reviewing HMIC inspection reports and PEEL assessments PCP scrutiny 40+ police officers allocated to CPT following increase in precept Force performance and resourcing reviewed as part of planning cycle in Autumn of each year Utilises evidence and demand planning produced in Force Management Statement. Further work to fully understand demand and align to capacity and capability CC advice on resourcing, staff mix and policing threats Focus on CPT resources and availability 	3	2	4	24	15-Aug-19	Increased (previously 16) - whilst review of CPT delivery is scoped
T8	07-Jun-18	Failure to comply with 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 2018 Update on GDPR provided to November 2019 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 All contracts have robust information agreements as mandatory element & reviewed by information governance team 	3	3	2	18	15-Aug-19	Maintain - new structure in place, time needed to become embedded and business as usual
T10	19-Feb-19	Impact of Brexit on Wiltshire	<ul style="list-style-type: none"> Failure to delivery statutory responsibility Financial risk impacts on policing settlement 	Financial 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 Three-year CSR settlement now less likely due to Brexit delay Close monitoring of national developments Chief Constable risk register managed operational policing risks 	3	2	3	18	15-Aug-19	Maintain - watching brief
T11	19-Feb-19	Failure to provide forensic medical services in 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 Extension agreements agreed in principle with current supplier Working through legal and procurement issues to finalise contract extension, expected to be signed Summer 2019 	2	2	3	12	15-Aug-19	Reduced (previously 18) - arrangements in place to ensure continuation of service