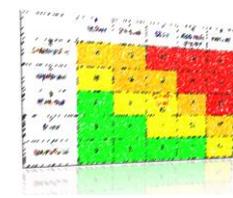




# Collaboration Strategic Risk Register Summary Report May 2017



## 1. Introduction

The Strategic Risk Register is an integral element of the Governance arrangements and is a mechanism by which emerging and live risk issues are recorded and assessed. The content of the register includes risks that are:

- Identified strategically
- Escalation from functional risk registers

The Corporate Risk Register identifies the key strategic risks. In the main, these risks represent long-term issues, and typically remain on the register for long periods.

The Risk Management processes are periodically reviewed to ensure they are still fit for purpose and enable us to identify and manage risk. The recent review has been carried out in response to queries raised by the Audit Committee. We have addressed these within two areas:

- We have streamlined how we record actions and controls and an upgrade of the Orchidsoft System to support this has been implemented.
- We are working closely with the BCH Team and Director of Change Alison Roome-Gifford, to review our approach in identifying risks and dependencies, arising from the BCH Programme.
- We meet regularly with the Beds and Cambs risk managers. Beds and Cambs have agreed to change from a 4 x 4 matrix to a 5 x 5. Therefore the Herts 5 x 5 risk matrix has been reviewed and amended, along with the terminology, in order to fit the three forces and be more relevant for local risks, as well as strategic. We have decided to include a tolerance level within the matrix and have been guided by Beds as this is something they already have in place. The tolerance level has been set at 13, just over half way within the matrix. We will still manage and mitigate risks that fall below this threshold, but having it in place enables us to better focus resources to higher risks if necessary

The document provides transparency around how mitigation is reducing risk where applicable. It describes the existing level of risk and the steps we have or are taking to mitigate the risk. It also provides a sense of direction.

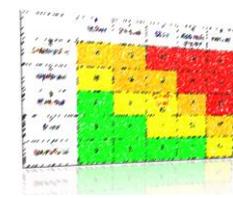
## 2. Overview of Risks

There are currently 16 risks on the Herts Strategic Risk Register

- High - 4
- Medium-High - 6
- Medium - 6
- Low - 0



# Collaboration Strategic Risk Register Summary Report May 2017



## 3. Top Risks

The first 10 risks reach the threshold for our 'top risks'; they are a combination of Critical, High, Medium High (Medium-High risks are at or above the tolerance level of '13') risks.

**There are NO Critical Risks:**

**High Risks** include the following:

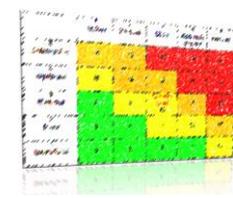
- Risk that the projected savings from Collaboration projects may not be fully realised within specified timescales.
- Emerging new demands for ICT solutions / infrastructure divergent from the agreed ICT Strategy will affect the ability to delivery ICT TOM.
- Increased demand and delay of HR Finance system could affect full implementation of HR TOM and BAU.
- Overarching risk SAS will not be able to hold collaborated and 'to be' collaborated business areas to account.

**Medium-High Risks** include the following:

- Failure to manage political and operational relationships may cause delays.
- Failure to deliver against specific aspects of the individual PCC Police and Crime Plans due to the scale/complexity of change.
- The current scale of change / pressure on ICT could result in ICT's inability to deliver against the needs of the Change Portfolio.
- Impact of ATHENA on BCH local policing: resourcing; training abstractions.
- Procurement resourcing issues could impact collaboration savings timelines.
- Risk of a further Athena delay as a result of the slippage of the ABLE Programme (ERP HR/Finance System).



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High				
Risk Ref:	Title & Description of Risk	Likelihood	Impact	Most Recent Update
CoISTR559	<p><b>Risk that the projected savings from Collaboration projects may not be fully realised within specified timescales</b></p> <p>Risk that the projected savings from Collaboration projects may not be fully realised within specified timescales.</p>	4	4	<p>17/2: Risks PSTR02 and PSTR07 closed and combined into this new risk PSTR21 which sets out all controls relating to risks impacting the Strategic Alliance savings plan.</p> <p>02/16: Detailed financial modelling continuing and reviewed at monthly financial planning meetings. The latest collaboration savings position being prepared for the financial planning meeting on 17th March with a particular focus on Public Contact and Custody which contain the greatest risk.</p> <p>04/16: As a result of the decision on Public Contact and impacts on Athena, as well as the complex interdependencies the likelihood score has increased from 3 to 4.</p> <p>06/16: Risk remains static as above.</p> <p>Update 08/16: Risk remains static as above. Decisions anticipated at the end of September on Public Contact.</p> <p>Update 09/16: Risk remains static. Update as above 08/16. Decision also anticipated on Custody at the end of September following the completion of a second consultation process regarding shift patterns.</p> <p>Update 10/16: Risk remains static. An HR 'exception' report / impact assessment of the increased demand / landscape changes since the FBC was agreed and is due for completion in November. Custody now in a third consultation. The ICT structural collaboration timelines have been pushed back as a result of increased demand in an increasingly complex change landscape. The November internal Assurance Review Group meetings will focus on 2017/18 budget preparation with the aim of draft budgets being brought to the Financial Planning meeting on 24/11.</p> <p>Update 11/16: Risk remains static. Custody consultation completed and implementation anticipated 01/17. Otherwise update as noted 10/16.</p> <p>Update 01 - 02/17: Risk static as noted above. HR and ICT Impact Assessments (Exception Reports) reviewing the impact of current demand/current change landscape on the original TOMs (Target Operating Models) are being progressed. IMD collaboration was delayed. The structural collaboration will implement in March 2017. CJ Phase 2 collaboration delayed to August as a result of estates' dependency. Custody to collaborate in March 2017 (delayed due to shift pattern issues resulting in 3 consultation processes).</p> <p>Update 03/17: ACTION – AS to discuss the wording /detail of this risk with CFOs and to get a steer re: the 'base lining'.</p>



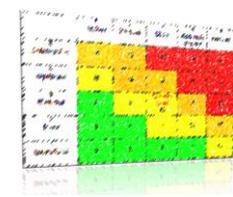
# Collaboration Strategic Risk Register Summary Report May 2017



Risk Ref:	Title & Description of Risk	Likelihood	Impact	Most Recent Update
CoISTR587	<p><b>Emerging new demands for ICT solutions / infrastructure divergent from the agreed ICT Strategy will affect the ability to delivery ICT TOM</b></p> <p>Identified potential new demands emerging from transformation bids, police &amp; crime plans, local force change plans and bluelight collaboration may both not be aligned to the current agreed ICT Strategy and may require resourcing levels which go either beyond current or TOM resource levels which will affect the ability to release savings. This situation is worsened by delays to common systems (e.g. Athena, ERP).</p>	4	4	<p>08/16: new risk</p> <p>Update 09/16: Risk static. Controls to be put in place. Discussion regarding the increasing complexity of the change landscape as a result of regional and local blue light collaboration scoping, police &amp; crime plan requirements, local change plans and continuing complexities within BCH collaboration to be tabled at the SAS on 28/9.</p> <p>Update 10/16: Risk static per the above. Controls in the process of being put in place.</p> <p>Update 11/16: Risk static, Update as noted 10/16</p> <p>Update 01 - 02/17: Risk static. Risk 14 relates. A review of demand has commenced and an Impact Assessment / revised FBC is to be presented to the Organisational Support Board, JCOB and the SAS in April 2017</p> <p>Update 03/17: Risk static. Update: The report to be finalised by the end of April and to be discussed with key stakeholder prior to the final presentation to JCOB /SAS early May.</p> <p>The risk review on 27/3 noted that risks 14, 21 and 25 have duplicating elements. Noted that this is ICT specific and should be captured on the ICT risk register.</p> <p>Propose this remains open until the governance structure is more firmly in place at which point to review for closure.</p>



# Collaboration Strategic Risk Register Summary Report May 2017

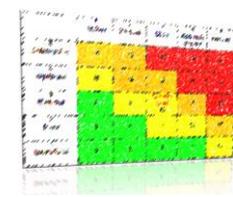


Risk Ref:	Title & Description of Risk	Likelihood	Impact	Most Recent Update
CoISTR591	<p><b>Increased demand and delay of HR Finance system could affect full implementation of HR TOM and BAU</b></p> <p>Increased demands against the agreed Business Case / Target Operating Model for Human Resources coupled with the timing of the HR / Finance System implementation timelines could affect the ability to deliver savings and business as usual.</p>	4	4	<p>Update 09/16: New Risk added with exception report being produced.</p> <p>Update 10/16: Risk static. Update as per 29/09. The 'Impact Assessment' due for completion early November.</p> <p>Update 11/16: Risk static. Update as noted 10/16. The 'Impact Assessment' anticipated to report to the Organisational Support Programme Board in December.</p> <p>Update 01 -02/17: Risk static as per the above. The HR Impact Assessment report was presented to the SAS on 8th February. The Portfolio Office and HR Business Change Managers have also commenced a review of current HR processes to check alignment and clear base lining ahead of the implementation of the new core system (originally anticipated in August but subject to further delay) and to ensure full benefits are achieved, in order that the impact of the delay of the target operating model are mitigated.</p> <p>Update 03/17: Risk static. Update as above. Additionally, update reports to be produced in July and September to inform progress on a revised TOM in light of further system delays and further process reviews.</p>

Risk Ref:	Title & Description of Risk	Likelihood	Impact	Most Recent Update
CoISTR623	<p><b>Overarching risk SAS will not be able to hold collaborated and 'to be' collaborated business areas to account.</b></p> <p>As a result of the risks which were highlighted in the RSM BCH Governance Audit* (November 2016) there is an overarching risk that the SAS will not be able to effectively hold collaborated and 'to be' collaborated business areas to account.</p>	4	4	<p>02/17: A Portfolio Office 'Recommendations Paper', based on the RSM 'Actions for Management' report went to the SAS 15/12. This presented an updated tri-force governance framework and actions to progress its implementation.</p> <p>The decision regarding the RSM audit findings and the Portfolio Office recommendations paper was as follows, per the draft SAS Minutes from 15/12/16: Agenda Item 10 RSM DRAFT Audit Findings &amp; Recommendations Recommendations and actions will be addressed following the independent review that is scheduled to take place early next year (Jan – March 2017).</p> <p>03/17: Risk static. The Concerto review findings/recommendations were presented to JCOB/SAS. An action plan is progressing. This risk directly contributes to risks CoISTR587 &amp; 591</p>



# Collaboration Strategic Risk Register Summary Report May 2017



Medium-High				
Risk Ref:	Title & Description of Risk	Likelihood	Impact	Most Recent Update
CoISTR354	<p><b>The current scale of change / pressure on ICT could result in ICT's inability to deliver against the needs of the Change Portfolio</b></p> <p>Transformational ICT solutions are a critical dependency for many of the projects within the portfolio and without this benefits will not be fully achieved. The current scale of change/pressure on ICT could result in ICT's inability to deliver against the needs of the Change Portfolio.</p>	4	3	<p>01/16: Remains static, ICT is a key dependency for all collaboration projects; controls in place.</p> <p>Update 02/16: Risk remains 'static'. A Digital Capabilities Strategy Board to be set up in March which will support the work of the BDA to prioritise ICT workloads.</p> <p>Update 04/16: risk static as above.</p> <p>Update 06/16: Risk static as above. The impact of a potential further delay to Athena and developing options for Public Contact could impact the risk level per the notes above.</p> <p>Update 08/16: Risk static. Likelihood likely to decrease as a result of new controls from September.</p> <p>Update 09/16: Risk static per update 08/16.</p> <p>Update 10/16: Risk remains static. The ICT Strategy to go to JCOB/SAS in November. The Digital Capabilities Board was due to be implemented in September. This has pushed back to November.</p> <p>Update 11/16: Risk static. The Digital Capabilities Board is not yet formally in place.</p> <p>Update 01 -02/17: The risk level has increased as a result of the need to maintain legacy systems due to the Athena delay and the increasingly complex change landscape which brings priority challenges to ICT. The new Digital Capabilities Board was delayed and started in December 2016. The new ICT strategy was delayed and is now in draft stage. A review of demand has commenced and an Impact / Options Assessment is to be presented to the Organisational Support Board, JCOB and the SAS in April 2017. Risk 25 relates specifically to the risk relating to increased ICT demand.</p> <p>Update 03/17: Risk static. Update as above. Additionally, the delay to the core HR/Duties/Payroll system (ENABLE ERP), which was due to deliver in August, is now anticipated to deliver no earlier than April 2018 and will result in further legacy system support by ICT.</p>



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Risk Ref:	Title & Description of Risk	Likelihood	Impact	Most Recent Update
CoISTR402	<p><b>Impact of ATHENA on BCH local policing: resourcing; training abstractions</b></p> <p>The impact of ATHENA on BAU across BCH local policing resulting from 1) resourcing requirements; 2) abstractions for training could have a detrimental impact on local policing. The implementation of Athena is scheduled for Q4 2016. Processes and structures across BCH will need to be agreed prior to the commencement of training (anticipated to be summer 2016). A risk exists around the potential impact of the additional resources required from BAU within 'local policing'.</p>	4	3	<p>01/16: Risk remains 'static'.            Update 02/16: Risk remains 'static'            Update 04/16: As a result of the decision at the SAS 29/03 to 'pause' Public Contact and to implement local IMUs in the interim increased impact on local forces to resource. The likelihood score has increased from 2 to 3 and the impact score from 3 to 4.            Update 06/16: Perversely an Athena potential slippage has reduced this risk to low at this time. To review for closure when decisions are made about the extent of an Athena delay. Athena training currently on hold.            Update 08/16: Risk static. Update as above.            Update 09/16: Risk static as decisions regarding the extent of the delay are still being worked through.            Update 10/16: The deliverables of an improvement plan have been agreed by the Athena Programme Board for progression. New implementation dates for on-boarding Athena forces have not yet been agreed through the Consortium but it is anticipated that the window for implementation for BCH will be late 2017/early 2018. A new training plan is being developed which will seek to reduce the impact on forces as far as possible and the continuing assessment of the impacts by the Portfolio Office will take into account the training requirements/timeline, incorporating them into a paper to go JCOB and the SAS in November. The likelihood and impact scores are likely to increase as the impacts of a new implementation date are fully understood.            Update 11/16: Risk static. Update as noted 10/16.            Update 01-02/17: Risk level has increased as there is uncertainty regarding the resourcing levels and training abstractions since the recent decision to implement Athena in January 2018. These are currently being scoped through workshops, with local policing stakeholders, which commenced in January.            Update 03/17:            Risk level re-assessment: Medium High – early indications from the development of local business cases suggest significant costs to forces. The ERP /Athena sequencing may mean that the AIT remains in place longer. The risk remains in terms of resourcing requirements and abstractions for training but this is monitored through the Athena Programme Board. The training plan continues to be discussed in the Athena Programme Board. Business cases for resourcing requirements are being developed by each force.</p>



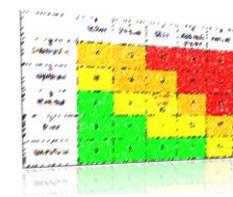
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Risk Ref:	Title & Description of Risk	Likelihood	Impact	Most Recent Update
CoISTR341	<p><b>Failure to manage political and operational relationships may cause delays</b> As a result of the involvement of multiple stakeholders / differing appetites for risk and the need to gain consensus from 3 CCs and 3 PCCs (&amp; local key political players) there is a risk that of possible delays in delivering against the overall collaboration plan.</p>	3	4	<p>Update 06/16: Risk remains static. as a result of the complexities around the Public Contact interim and full model implementation plans , the changes in scope / risk appetite in IMD, along with the recently elected new PCCs in Beds and Cambs which all add to the complexity of the current collaboration landscape. Briefing day on 20th May 2016 and SAS on 3rd June 2016 have realigned PCC expectations. Risk Likelihood expected to decrease following the Strategic Alliance Summit on 19th July 2016 if way forward for Public Contact and Athena agreed.</p> <p>Update 08/16: Risk remains static following the decision 19th July to develop a full business case on a collaborated primary contact (call handling/dispatch only) and local secondary contact. The paper will go to the SAS on 28th September for decision. An Athena Impact Assessment paper will also be reviewed then.</p> <p>Update 09/16: Risk remains static as noted above. The risk appetite within a collaborated Information Standards function within IMD is currently being revisited by Cambs following an HMIC meeting and consideration of a counter proposal and will be the subject of a paper to the Cambs' DCC.</p> <p>Update 10/16: Following decisions taken at the SAS on 28th September on Public Contact and Athena, CJ Phase 2 and the regular rhythm of engagement sessions with key stakeholders the risk likelihood has decreased.</p> <p>Update 11/16: Risk remains static. The HR Impact Assessment report is due for completion to feed into the Organisational Support Programme Board in December.</p> <p>Update 01-02/17: Risk remains static as a result of the continuing complexity of the change landscape across BCH. The HR Impact Assessment has highlighted increased demand which will impact the implementation plan/savings. ICT is also conducting an impact assessment which will review demand and the impact on the target operating model per the FBC.</p> <p>Update 03/17: Likelihood and impact likely to decrease as greater clarity on the delivery plan for ICT to be set out in an exception/options paper which will be completed at the end of April and a revised blueprint (target operating model) for HR to be developed based on evidence drawn from detailed process / demand review work and a further review of structures in place since the collaborated structure was put in place.</p> <p>For future closure once likelihood/impact score within the 'tolerance' level. See 'closure' note – 28/3 review – agreed that should position as an issue.</p>



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Risk Ref:	Title & Description of Risk	Likelihood	Impact	Most Recent Update
CoISTR560	<p><b>Procurement resourcing issues could impact collaboration savings timelines</b></p> <p>Risk that the significant resourcing issues within Procurement could impact on the implementation/savings timelines for Collaboration projects which are dependent on the procurement of new systems and services.</p>	3	4	<p>Update 02/16: Due to the controls in place the likelihood score is expected to reduce. The overall score is 'high', however, due to the significant and challenging resourcing issues within Procurement and the anticipated demands if all projects continue to proceed.</p> <p>Update 04/16: remains static.</p> <p>Update 06/16: likelihood reduced as a result of controls.</p> <p>Update 08/16: Risk static as above.</p> <p>Update 09/16: Risk static as above but likelihood likely to further reduce as HR are working on a solution whereby supplement payments when next advertise roles.</p> <p>Update 10/16: Risk static per the 09/16 update.</p> <p>Update 11/16: Risk static. Update as noted 09/16.</p> <p>Update 01-02/17: Risk static. To be reviewed for further update.</p> <p>Update 03/17 To close as this is no longer a risk to BCH collaboration. The resourcing issues within Procurement are a BAU risk. There is no evidence that there is a risk to collaboration projects.</p>



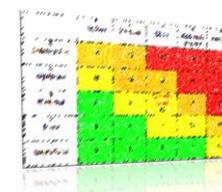
# Collaboration Strategic Risk Register Summary Report May 2017



Risk Ref:	Title & Description of Risk	Likelihood	Impact	Most Recent Update
CoISTR346	<p><b>Failure to deliver against specific aspects of the individual PCC Police and Crime Plans due to the scale/complexity of change</b></p> <p>A risk exists that the scale and complexity of change across the three forces could have an impact on each individual force's progress against its individual Police and Crime Plan</p>	2	4	<p>Update 09/16: Risk remains static per the above noted at 08/16. The impacts of the complex change landscape will be discussed at the SAS 28/9.</p> <p>Update 10/16: Likelihood score reduced as a result of the 'holding to account' framework being introduced through the governance boards which will provide a clear reporting on risks to each force's police and crime plan. In addition, although the landscape of change at BCH level remains complex, there is a clearer path on the roadmap for Public Contact and Athena, following the decision taken at the SAS on 28th September to delay the full structural collaboration of Public Contact until a point after the implementation of Athena. In addition the CJ Phase 2 Business case was agreed and there is an agreement for the way forward to resolve Custody shift pattern issues. A third consultation is underway.</p> <p>Update 11/16: Risk static. The custody consultation has completed and there are no further shift pattern issues. The 'holding to account' framework is progressing.</p> <p>Update 01 - 02/17: Risk static. A governance audit conducted by RSM in November highlighted issues with the current governance structure in terms of a lack of clarity regarding roles and responsibilities and duplication of function of the Org/Op Support Boards and the Governance Boards, which could impact on an effective 'holding to account'. An independent review was carried out by Concerto in January and presented a draft report to the SAS on 8th February. A new risk has been raised regarding governance structures.</p> <p>Update 03/17: Overall risk likely to reduce to 'Medium' (within the tolerance level) as the governance structures are being reviewed to ensure clarity in delivering change and business as usual. In addition all of the projects within the BCH collaboration programme (with the exception of ICT which is will collaborate later in 2017) are in the implementation and transition to BAU stage which reduces the scale of structural change.</p> <p>Action 27/3 – KH / ARG to speak to the Chief Execs. Two of the controls highlighted in 'yellow' are yet to be established.</p>



# Collaboration Strategic Risk Register Summary Report May 2017



Risk Ref:	Title & Description of Risk	Likelihood	Impact	Most Recent Update
ColSTR625	<p><b>Risk of a further Athena delay as a result of the slippage of the ABLE Programme (ERP HR/Finance System)</b></p> <p>As a result of the slippage of the ABLE Programme (ERP HR/Finance System) and the impact on the Athena implementation timeline there is a risk that Athena is pushed further back.</p>	2	4	Update 03/17: Athena risk PSTR closed and split into an issue (The Technical Review (Northgate Plan) aspect and this newly positioned risk.

## 4. New Risks

There have been **Two** new risks added to the Collaborated Strategic Risk Register since the last review.

- **COLSTR 623** – Overarching risk SAS will not be able to hold collaborated and 'to be' collaborated business areas to account.
- **COLSTR 625** – Risk of a further Athena delay as a result of the slippage of the ABLE Programme (ERP HR/Finance System).

## 5. Removed Risks

There has been **One** risk removed from the Collaborated Strategic Risk Register since the last review.

- **COLSTR 349** – Additional cost resulting from lack of agreement for Common Strategies.

## 6. Rescored Risks

There have been **No** risks rescored on the Collaboration Risk register since the last report

## 7. Emerging Risks

There are no emerging risks for discussion:

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