

Joint Risk Register for Office of the Police and Crime Commissioner, Warwickshire and West Mercia

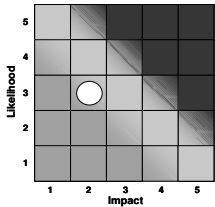
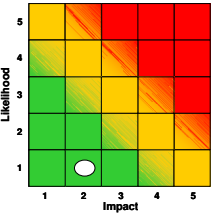

Register Owners - Andy Champness, Chief Executive West Mercia OPCC & Neil Hewison, Chief Executive, Warwickshire OPCC

	Joint Risk Level
	Warwickshire Risk Level
	West Mercia Risk Level
Date : 2/09/2016	

1

The risk of the Police and Crime Commissioner not meeting his statutory responsibilities.

The PCC has been given a number of statutory responsibilities. Failure to meet any of these responsibilities could lead to possible litigation and poor reputation

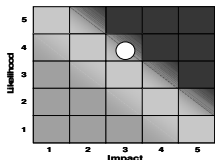
Risk Owner & date raised	Initial Risk Level	Desired Outcome	Action Summary	Delivery Date	Action Owner	Last Quarter	Current Risk Level	Owners Prediction	Reassurance Mapping (verified reassurance in order to Tolerate)
Neil Hewison (W) & Andy Champness (WM)		Statutory responsibilities are met	The PCC has appointed a Monitoring Officer (the Chief Executive) to manage the PCC's legal affairs and ensures compliance with the law.		Philip Seccombe (W)/ John Campion (WM)				There are no breaches of statutory regulations and no litigation. Positive Annual Audit Letter.
			The PCC has appointed a Section 151 Officer (the Treasurer) to manage the PCC's financial affairs and ensure compliance with financial regulations, value for money and probity.		Philip Seccombe (W)/ John Campion (WM)				
			Performance of the Monitoring Officer through regular reviews, annual appraisal, formal and informal discussions. Maintaining a professional relationship	ongoing	Philip Seccombe (W)/ John Campion (WM)				
			Both PCCs are fully briefed and receive timely information on all issues that are public facing, novel, repercussive and contentious	ongoing	Neil Hewison (W)/ Andy Champness (WM)				
			A scheme of corporate governance determining the governance structure of the PCC is in operation and reviewed annually.	annually	Andy Champness (WM)/ Neil Hewison (W)				
			Formal memorandum of understanding with the Chief Constable as part of the Scheme of Governance		Andy Champness (WM)/ Neil Hewison (W)				
			The Joint Audit Committee reviews corporate governance issues on a regular basis	ongoing	Philip Seccombe (W)/ John Campion (WM)				
			The PCC produces an Annual Report that sets out how objectives have been met and obligations satisfied.	annually	Philip Seccombe (W)/ John Campion (WM)				
			Both PCCs have a Trust, Integrity and Ethics Committee to monitor and scrutinise where appropriate Force and Alliance strategy.		Philip Seccombe (W)/ John Campion (WM)				
			The decision making process is formalised and transparent with all decision being published.		Andy Champness (WM) / Neil Hewison (W)				

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The risk that the Strategic Alliance fails									
The Strategic Alliance is the process that both Warwickshire and West Mercia have signed up to in order to meet their future challenges. There is a risk that this could fail which would impact on both Forces ability to deliver effective policing services and meet their financial challenges.									
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Neil Hewison (W) & Andy Champness (WM)		A strong Strategic Alliance that delivers policing requirements	Formal monthly meetings of the Alliance Governance Group are arranged on a regular basis with all Alliance partners represented.	ongoing	Andy Champness (WM)/ Neil Hewison (W)		 <p>Warwickshire has a higher impact score as financially the impact would be greater on Warwickshire than on West Mercia</p>		That the Alliance continues to make productive decisions. Alliance partners feel fully informed and involved.
			Both PCCs meet every month to determine strategic priorities	ongoing	Philip Seccombe (W)/ John Campion (WM)				
			Informal discussions between the Alliance partners continue and relationships built and maintained.	ongoing	Andy Champness (WM)/ Neil Hewison (W)				
			Closer working between the two PCCs on strategic issues across the Alliance.	ongoing	Andy Champness (WM)/ Neil Hewison (W)				
			Areas of tension are identified early and dealt with in an amicable and professional manner. An understanding that the Alliance is the way forward but that there can be areas of difference without breaking the Alliance.	ongoing	Andy Champness (WM)/ Neil Hewison (W)				

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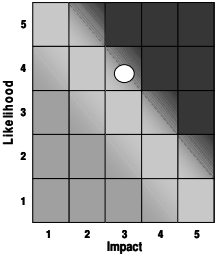
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The risk of failing to manage our finances effectively.

The PCC controls the funding and provides the budget for the provision of policing services. This budget should be aligned with the Police and Crime Plan (and in Warwickshire the CSA) and is the financial constraint within which the services should be delivered. Any deviation from this budget can have significant implications on the effectiveness of the Force and reputation of the PCC.

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Elizabeth Hall (PCC W & WM)		Effective and well managed financial management	<p>Financial Regulations prepared, published and reviewed annually to ensure that all staff are aware of their financial responsibilities. Breaches of financial regulations are dealt with appropriately.</p> <p>Medium Term Financial plan prepared to ensure that the financial environment within which the organisation operates can be monitored over a number of years to avoid unexpected financial shocks.</p> <p>Budget developed in line with Police and Crime Plan and MTFP. Discussed with Chief Constable to ensure delivery. Close working relationship with Director of Finance to ensure that delivery of the financial template is achievable.</p> <p>Review of reserves strategy including, use of, monitoring levels and mitigation of risks</p> <p>Monitoring of savings plans and spending throughout the year.</p> <p>All Funding opportunities are identified and maximised for example, bids to Home Office Innovation Fund and MoJ Victims Competed Fund</p> <p>Effective consultation strategy with the public and business partners on the precept</p> <p>Scrutiny by the Joint Audit Committee on Financial Governance</p> <p>Capital Programme reviewed and process revised. Regular monitoring of progress of capital projects with the ability for the Commissioner to call people to account</p> <p>Review and development of arrangements to secure Value for Money within the Alliance.</p> <p>Assessment and implementation of changes to funding resulting from Autumn Statements / CSR and/ or Formula funding review</p> <p>Regular Reporting to both Police and Crime Panels Budget working group on financial matters</p> <p>Regular Financial briefings to Commissioner/Deputy and Chief Executive to ensure financial awareness.</p>	<p>annually</p> <p>reviewed regularly</p> <p>annually</p> <p>ongoing</p> <p>ongoing</p> <p>ongoing</p> <p>ongoing</p> <p>ongoing</p> <p>quarterly</p> <p>ongoing</p> <p>ongoing</p> <p>ongoing</p>	<p>Elizabeth Hall(W & WM) / Heather Costello (F)</p> <p>Elizabeth Hall (W & WM) / Heather Costello (F)</p> <p>Elizabeth Hall (W & WM) / Heather Costello (F)</p> <p>Elizabeth Hall (W & WM)</p> <p>Elizabeth Hall (W & WM) / Heather Costello (F)</p> <p>Elizabeth Hall (W & WM) / Heather Costello (F)</p> <p>Neil Hewison (W)/ Andy Champness (WM)</p> <p>Elizabeth Hall (W & WM)</p> <p>Elizabeth Hall (W & WM)</p> <p>Elizabeth Hall (W & WM)</p> <p>Elizabeth Hall (W & WM)</p> <p>Elizabeth Hall (W & WM)</p> <p>Elizabeth Hall (W & WM)</p>				<p>There are no major unpredicted shocks. Actual plans fall in line with the MTFP. There are sufficient finance resources to carry out the work required.</p>

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The risk that the Police and Crime Commissioner does not hold the Chief Constable to account

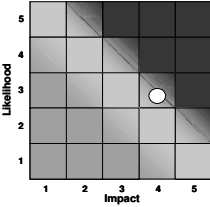
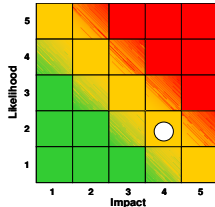



A primary role for the PCC is the scrutiny of the Chief Constable. A failure to do this effectively could lead to the failure to meet the aspirations in the Police and Crime Plan, poor Police performance and reputational damage to the PCC.

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Andy Champness (WM) & Neil Hewison (W)		The Police and Crime Commissioner scrutinises and challenges the Chief Constable to deliver the Police and Crime Plan	<p>Regular meetings are held with the Chief Constable to monitor strategic implementation, operational matters and policing performance both within the Force and across the Alliance. An Assurance Programme is under development to+B81 set out what issues will be considered when to ensure the Chief Constable is held to account for all key matters. In Warwickshire the minutes of the meetings are published on the website</p> <p>Involvement in, monitoring of and challenging the Force performance through the performance monitoring framework</p> <p>Regular reports on performance at a regional and national level on areas such as ROCU/ roads policy/ Strategic Policing Requirement/ Counter Terrorism</p> <p>Regular reports and meetings with HMIC to keep abreast of national developments in order to challenge the Chief Constable</p> <p>Both PCCs have a joint Trust, Integrity and Ethics Committee to monitor and scrutinise where appropriate Force and Alliance strategy.</p>	ongoing ongoing ongoing ongoing 	Andy Champness (WM)/ Neil Hewison (W) Chris Jenson (WM)/ Jackie Irvin (WM)/ Rebecca Parsons (W) Philip Secombe (W)/ John Campion (WM) Philip Secombe (W)/ John Campion (WM)/ Andy Champness (WM) / Neil Hewison (W) Andy Champness (WM)/ Neil Hewison (W)				Moving to Alliance based targets. Reports to Police and Crime panel. HMIC reports

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The risk of inadequate commissioning of Victims Services									
Victims services deals with the victims of crime and is a sensitive, emotional issue. To get this wrong would bring serious consequences to the lives of our citizens and significant reputational risk to the PCC.									
Risk Owner & date raised	Initial Risk Level	Desired Outcome	Action Summary	Delivery Date	Action Owner	Last Quarter	Current Risk Level	Owners Prediction	Reassurance Mapping (verified reassurance in order to Tolerate)
Glyn Edwards (WM) & Chris Lewis (W)		Provision of effective Victims Services that meet the needs of victims and provide value for money for the Commissioner	Developed and implemented a commissioning strategy	ongoing	Glyn Edwards (WM)/ Chris Lewis (W)				Victims are satisfied with the services provided measured through qualitative surveys and forums. Positive perception of local providers. Value for money being provided by service providers.
			Effective engagement with potential commissioning partners with shared outcomes ensuring joint benefits can be realised.	ongoing	Glyn Edwards (WM)/ Chris Lewis (W)				
			Recognition of threat to PCC through reduction in partners budgets which could lead to cost shunting, inequitable services across the region.	ongoing	Glyn Edwards (WM)/ Chris Lewis (W)				
			Engage with Victim Services providers to determine opportunities in a maturing marketplace	ongoing	Glyn Edwards (WM)/ Chris Lewis (W)				
			Review of West Mercia's Commissioners grant scheme to ensure outcomes and value for money are achieved.		Glyn Edwards (WM)				
			Both PCCs have signed up to the SSTV Victims Commissioning framework to deliver Victims Services. This requires monitoring and managing to ensure it delivers the services that are required.	ongoing	Glyn Edwards (WM)/ Chris Lewis (W)				
			Victims Services contract now signed and performance to be monitored	ongoing	Glyn Edwards (WM)/ Chris Lewis (W)				
			Development of and participation in action surveys and customer satisfaction surveys for qualitative and quantitative information	ongoing	Glyn Edwards (WM)/ Chris Lewis (W)				
			Additional resources for commissioning within West Mercia OPCC to provide support to the Commissioning manager		Glyn Edwards				
			Participation in regional victims commissioning group	ongoing	Glyn Edwards (WM)/ Chris Lewis (W)				
			Both PCCs have commissioned a review of Victim Support to ensure they are providing value for money and delivering effective services. This is being undertaken by an external body. This initial review has now been completed. Opportunities for improvement have been identified and are now being evaluated. A further review of Restorative Justice Services is now underway.	ongoing	Glyn Edwards (WM)/ Chris Lewis (W)				
			Grants Issued and monitored in compliance with grant conditions	ongoing	Cheryl Bridges (W) / Glyn Edwards (WM)				

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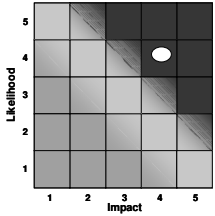

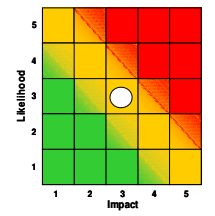


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The risk that we do not manage our partnerships effectively could lead to our objectives not being achieved, poor value for money and adverse impact on the reputation of the Police and Crime Commissioner.

Community Safety Partnerships (CSPs) and Criminal Justice Partnerships are just some of the key partners assisting the Police and Crime Commissioner to deliver his priorities.
Failure to manage these partnerships effectively could lead to the objectives not being achieved, poor value for money and adverse effects on the MTFP.

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Cheryl Bridges (W) & Glyn Edwards (WM)		Effective partnership working assisting the PCC to achieve their objectives	Full engagement with partners including involvement in the development of the police and crime plan.		Glyn Edwards (WM) / (W) Cheryl Bridges, Caroline Ryder, Chris Lewis, Rebecca Parsons, Debbie Mullis				Effective relationships and communication are key but the delivery of services relies heavily on partners. It is recognised that the OPCC can only mitigate against some of the risk with partners. Regular confirmed attendance at meetings, partners engagement with the OPCC and response to consultations will be seen as positive signs of effective partnership.
			Regular meetings and contact with the CSPs	ongoing	Glyn Edwards (WM) / Claire Richardson (WM) / (W) Cheryl Bridges, Caroline Ryder, Chris Lewis, Rebecca Parsons, Debbie Mullis				
			Regular contact and engagement with the Criminal Justice Board	ongoing	Caroline Ryder (W) / Chris Jensen (WM)				
			Monitoring of partnerships objectives	ongoing	Glyn Edwards (WM) / Chris Jensen (WM) / Cheryl Bridges, Caroline Ryder, Chris Lewis, Rebecca Parsons, Debbie Mullis (W)				
			Regular PCC led and organised CSOG meetings	ongoing	(W) Cheryl Bridges,				
			Regular attendance at partnership meetings including Local Criminal Justice Boards/ Victims Forum/ Safer Stronger partnerships/ Health and Wellbeing Board/ Multi Agency Safeguarding Hub	ongoing	(W) Cheryl Bridges, Caroline Ryder, Chris Lewis, Rebecca Parsons, Debbie Mullis/ PCC/DPCC				
			Engagement with Police and Crime Panel and their respective sub groups	ongoing	Neil Hewison (W) / Andy Champness (WM)				
			Membership of the West Mercia Road Safety Partnership	ongoing	Philip Secombe (W) / John Campion (WM)				
			Active involvement in Place Partnership Ltd to manage assets	ongoing	Andy Champness (W & WM)				
			Police and Crime Plan and Community Safety Agreement is now one overarching document		Neil Hewison (W)				
			New Police and Crime plans have been prepared and extensive consultation with the public has been undertaken by both PCCs. The Police and Crime Plan for West Mercia has been approved. The Police and Crime Plan for Warwickshire is being presented to the Police and Crime Panel on 14 December 2016.	ongoing	Garth Boulton (WM) / Neil Tipton (W)				
			Appropriate funding mechanism and monitoring arrangements for partners put in place with regular reviews		Liz Hall (W & WM) / Glyn Edwards (WM) / Cheryl Bridges (W)				

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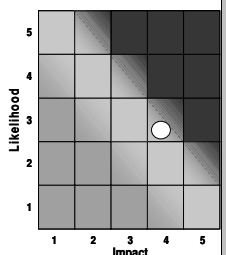
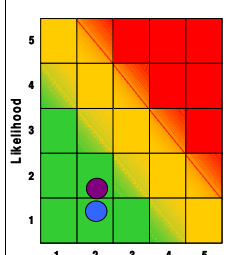




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The risk of failure in performance by external partners including the Force impacting negatively on the delivery of the Police and Crime Plan.

The Police and Crime Plan is the vehicle by which the Police and Crime Commissioner identifies their aspirations for the coming year. Performance against this plan is the major way in which the PCC's performance can be monitored. The delivery of the plan is reliant on the performance of external partners, including the Force. Any failure of performance by these partners can impact on the delivery of the Police and Crime Plan.

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Andy Champness (WM) & Neil Hewison (W)		An effective performance monitoring process that identifies performance failure at its earliest opportunity.	Monitoring of Police performance on a regular basis through Performance Management group. WM are seeking to improve performance management and scrutiny through dedicated Policy Officer	ongoing	Jackie Irvin (WM)/ Rebecca Parsons (W)		 <p>The two OPCCs have a varied array of partners. The higher likelihood score for West Mercia reflects the larger and more complex partnership base in the area. Which means some of the solutions adopted by Warwickshire are more difficult to implement across West Mercia.</p>		External partners including the Force achieve or exceed the level of performance expected. Where this is not achieved there is a clear understanding of the issues that inhibited performance.
			For partners funded through the PCCs Community Safety Grants a rigorous process is required before funding agreed. Key objectives and achievements must be identified and how this helps the PCC achieve the aspirations in their Police and Crime Plan. This is to be reviewed regularly.	ongoing	Glyn Edwards (WM) / Liz Hall (W & WM)/ Neil Hewison (W)				
			Police and Crime Plan aligned and published with the Community Safety Agreement		Neil Hewison (W)				
			A Policy Officer now integrated into the Force Business , Assurance and Improvement Team		Rebecca Parsons (W)				
			Involvement in Crime Reduction Board , Local Criminal Justice Board, representation on the YOS	ongoing	John Campion (WM)/ Neil Hewison (W)				
			The use of Warwickshire Observatory for performance data	ongoing	Neil Hewison (W)				
			Grants given to partners reviewed on a regular basis. Successful grant applicants required to provide regular reports	ongoing	Glyn Edwards (WM)/ Neil Hewison (W)				
			Warwickshire do a monthly deep dive into finance and performance and a quarterly review of Enabling Services.	ongoing	Neil Hewison (W)				
			WM monthly assurance meeting between the PCC and CC dedicated to Force performance, operational issues and HMIC.	ongoing	John Campion (WM)/ Jackie Irvin				

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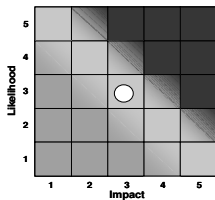




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The risk of the Police and Crime Commissioner failing to engage with the community

To engage with the public is a primary concern for the Commissioner. He is the link between the public and the Force. The public need to know that he is doing the job for which he was elected. If public engagement is ineffective then this can have an adverse effect on the reputation of the PCC, lack of public buy-in to the PCC plans as they do not reflect their concerns, loss of confidence on the PCC and Force

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			<p>Each PCC has a communication and engagement strategy outlining how they intend to involve the public and consult with them. The strategy also includes tracking media coverage and environmental scanning.</p> <p>The Alliance has a strategy on stakeholder engagement and consultation. WM PCC has appointed 4 Community Ambassadors.</p> <p>Both PCCs have Media and Communication Officers in post.</p> <p>Additional resources provided in West Mercia OPCC to provide support to the Head of Communications</p> <p>Development of a strategy to tackle harder to reach groups, for example the elderly and young people.</p> <p>The PCCs have media strategies in terms of how they can contact the public and put across their ideas and how the public can contact them. All external correspondence is logged and responded to.</p>	<p>ongoing</p> <p>ongoing</p> <p></p> <p></p> <p>ongoing</p> <p>ongoing</p>	<p>Andy Champness (WM)/ Neil Hewison (W)/ Neil Tipton (W)/ Gareth Boulton (WM)</p> <p>Cheryl Bridges (W) / Gareth Boulton (WM)</p> <p>Andy Champness (WM)/ Neil Hewison (W)</p> <p>Gareth Boulton (WM)</p> <p>Cheryl Bridges (W)</p> <p>Gareth Boulton (WM) Neil Tipton (W)</p>	<p></p> <p></p> <p></p> <p></p>	