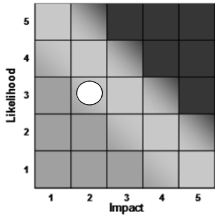

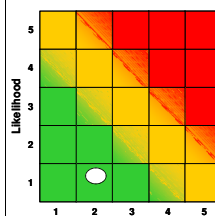



Risk Register for Office of the Police and Crime Commissioner, Warwickshire.
Register Owner - Neil Hewison, Chief Executive, Warwickshire OPCC

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

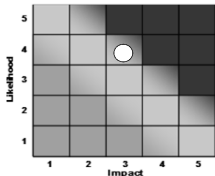

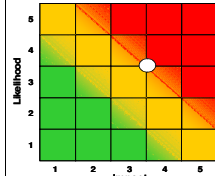

Risk Owner	Initial Risk Level	Desired Outcome	Action Summary	Delivery Date	Action Owner	Last Quarter	Current Risk Level	Owners Prediction	Reassurance Mapping (verified reassurance in order to Tolerate)
Neil Hewison		Statutory responsibilities are met	<p>The PCC has appointed a Monitoring Officer (the Chief Executive) to manage the PCC's legal affairs and ensures compliance with the law.</p> <p>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.</p> <p>Performance of the Monitoring Officer through regular reviews, annual appraisal, formal and informal discussions. Maintaining a professional relationship</p> <p>The PCC is fully briefed and receives timely information on all issues that are public facing, novel, repercussive and contentious</p> <p>A scheme of corporate governance determining the governance structure of the PCC is in operation and reviewed annually. The structure ensures that new legislation and guidance affecting the PCC's office is implemented in a timely and reasonable manner.</p> <p>Formal memorandum of understanding with the Chief Constable as part of the Scheme of Governance</p> <p>Compliance with new regulations such as the new General Data Protection Regulations which are now effective, in addition to other changes around the document marking system to be implemented, ensuring that data is legally compliant and adequately protected.</p> <p>The Joint Audit and Standards Committee reviews corporate governance and ethical issues on a regular basis</p> <p>The PCC produces an Annual Report that sets out how objectives have been met and obligations satisfied.</p> <p>That the process of incorporating the Trust, Integrity and Ethics Committee and the Joint Audit Committee with effect from 1st September 2018 is managed seamlessly to ensure the forces continue to operate in an ethical and effective manner. These arrangements will continue whilst the Alliance remains in existence.</p> <p>The decision making process is formalised and transparent with all key individual PCC decisions being published, and any joint decisions captured and published in the Alliance Governance Group minutes.</p>	<p>✓</p> <p>✓</p> <p>ongoing</p> <p>ongoing</p> <p>annually</p> <p>✓</p> <p>ongoing</p> <p>ongoing</p> <p>✓</p> <p>✓</p> <p>✓</p>	<p>Philip Secombe</p> <p>Philip Secombe</p> <p>Philip Secombe</p> <p>Neil Hewison</p> <p>Neil Hewison</p> <p>Neil Hewison</p> <p>Philip Secombe</p> <p>Philip Secombe</p> <p>Philip Secombe</p> <p>Neil Hewison</p>				There are no breaches of statutory regulations and no litigation. Positive Annual Audit Letter.

Risk Register for Office of the Police and Crime Commissioner, Warwickshire.
Register Owner - Neil Hewison, Chief Executive, Warwickshire OPCC

2

The risks arising from the termination of the Strategic Alliance.

Notice to end the Strategic Alliance has been served by the West Mercia PCC and Chief Constable, and the current arrangements will end in October 2019. This creates various challenges for each force which need to be effectively managed, throughout the transition process, and beyond October 2019.

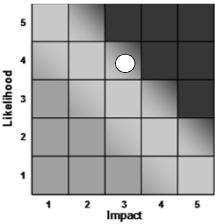
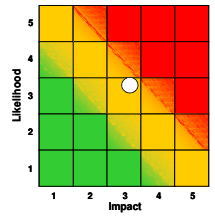
Risk Owner	Initial Risk Level	Desired Outcome	Action Summary	Delivery Date	Action Owner	Last Quarter	Current Risk Level	Owners Prediction	Reassurance Mapping (verified reassurance in order to Tolerate)
Neil Hewison		An orderly exit by all parties from the current Strategic Alliance is enabled that continues to deliver policing requirements	<p>Formal monthly meetings of the Alliance Governance Group are arranged on a regular basis with all Alliance partners represented up to 8th October 2019. After that date a force specific governance forum will be required"</p> <p>The respective partners decide future arrangements for services pooled under the existing Alliance, including protective services and support services, in an agreed timescale, before October 2019.</p> <p>The Strategic Alliance partners agree an exit strategy, including a transition plan to be implemented, to manage the withdrawal process for all partners from the current Alliance arrangements.</p> <p>Operational plans are developed to establish operational requirements following the end of the Alliance and the financial, legal, ICT and HR implications are all fully identified.</p> <p>Areas of negotiation and any tensions are identified early and dealt with in a professional manner.</p>	<p>✓</p> <p>ongoing</p> <p>ongoing</p> <p>ongoing</p> <p>ongoing</p>	<p>Neil Hewison</p> <p>Philip Seccombe/Neil Hewison</p> <p>Philip Seccombe/Neil Hewison</p> <p>Philip Seccombe/Neil Hewison</p> <p>Philip Seccombe/Neil Hewison</p>				Whilst the ending of the Strategic Alliance carries risk for both partners, having a clear transition plan for service delivery beyond October 2019 is being worked on by both parties, and Warwickshire will continue to make productive decisions, and enable other partners to feel informed and involved as appropriate.

Risk Register for Office of the Police and Crime Commissioner, Warwickshire.
Register Owner - Neil Hewison, Chief Executive, Warwickshire OPCC

3

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 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.

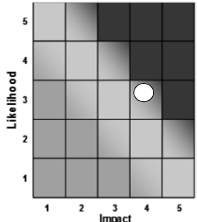
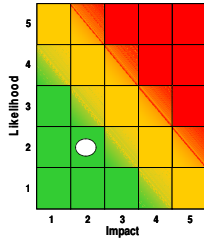
Risk Owner	Initial Risk Level	Desired Outcome	Action Summary	Delivery Date	Action Owner	Last Quarter	Current Risk Level	Owners Prediction	Reassurance Mapping (verified reassurance in order to Tolerate)
Elizabeth Hall (PCC W & WM)		Effective and well managed financial management	<p>Financial Regulations 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 and reviewed regularly to ensure that the financial environment within which the organisation operates can be monitored over a number of years to aid financial planning and avoid unexpected financial shocks.</p> <p>Budget developed in line with the Police and Crime Plan and MTFP. Discussed with the Chief Constable to ensure delivery. Close working relationship with Force Finance teams to ensure that delivery of the financial template is realistic and achievable.</p> <p>Review of reserves strategy in accordance with Home Office guidance including, the planned use of reserves over the medium term, ongoing monitoring and the mitigation of risks.</p> <p>Monitoring of savings plans and spending throughout the year, and ensuring effective processes are in place to develop and secure value for money from all spending.</p> <p>All funding opportunities are identified and maximised including bids to the Home Office, MoJ Victims Competed Fund and Transformation fund.</p> <p>Effective consultation strategy with the public and business partners on the precept</p> <p>Scrutiny by the Joint Audit and Standards Committee on Financial Governance</p> <p>Capital Programme reviewed and updated. Regular monitoring of progress of capital projects against budget and planned works programmes with the ability for the Commissioner to call people to account</p> <p>To fully assess and keep under review all financial implications of the ending of the Alliance, and amend the budget for any significant changes as appropriate.</p> <p>Assessment and implementation of changes to funding will be evaluated once details are received - this includes details from the latest comprehensive spending review, anticipated later in 2019, in addition to the Autumn Budget, Spring Statement, and any other Finance settlements or Formula funding review announcements</p> <p>Regular Reporting to the Police and Crime Panel Budget working group on financial matters</p> <p>Regular Financial briefings to Commissioner and Chief Executive to ensure financial awareness.</p>	ongoing	Elizabeth Hall (W & WM) / Jeff Carruthers (Force)				<p>Whilst the ending of the Strategic Alliance with West Mercia poses a significant potential risk, it is anticipated that the actual plans and costs for service delivery beyond October 2019 fall in line with the current MTFP and there are sufficient finance resources to carry out the work required. The Police Grant settlement now covers two years - 2018/19 and 2019/20 which gives increased medium term certainty around central funding levels and precept increases.</p>

Risk Register for Office of the Police and Crime Commissioner, Warwickshire.
Register Owner - Neil Hewison, Chief Executive, Warwickshire OPCC

4

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

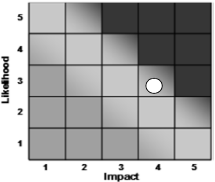
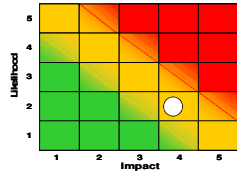
A primary role for the PCC is the scrutiny of the Chief Constable. A failure to do this effectively could lead to the failure to meet the aspirations in the Police and Crime Plan, poor Police performance and reputational damage to the PCC.

Risk Owner	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		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 and Delivery Plan has been developed. This sets out what issues will be considered to ensure the Chief Constable is held to account for all key matters. 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 policing/Strategic Policing Requirement/Counter Terrorism</p> <p>Regular reports and meetings with HMICFRS to keep abreast of national developments in order to challenge the Chief Constable</p> <p>The PCC had a joint Trust, Integrity and Ethics Committee with West Mercia PCC to monitor and scrutinise where appropriate Force and Alliance strategy, but their role was combined with the Joint Audit Committee with effect from 1st September 2018 to create a new Joint Audit and standards Committee.</p>	ongoing	Neil Hewison				Reports to Police and Crime panel & HMIC reports

5

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.

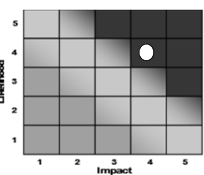
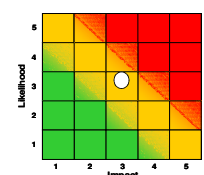
Risk Owner	Initial Risk Level	Desired Outcome	Action Summary	Delivery Date	Action Owner	Last Quarter	Current Risk Level	Owners Prediction	Reassurance Mapping (verified reassurance in order to Tolerate)
Chris Lewis		Provision of effective Victims Services that meet the needs of victims and provide value for money for the Commissioner	<p>Developed and implemented a commissioning strategy/intentions document.</p> <p>Effective engagement with potential commissioning partners with shared outcomes ensuring joint benefits can be realised.</p> <p>Recognition of threat to PCC through reduction in partners budgets which could lead to cost shunting and inequitable services across the region.</p> <p>Ongoing development of the market place to deliver support service opportunities for the PCC.</p> <p>Ongoing review of Warwickshire's Commissioners grant scheme to ensure outcomes and value for money are achieved,</p> <p>Victims Services contracts for the OPCC now extended until 31st March 2019 and performance is being monitored. Preparation for commissioning the service, including restorative justice, beyond 1st April 2019 is now complete.</p> <p>Development of and participation in action surveys and customer satisfaction surveys for qualitative and quantitative information</p> <p>Additional resources for commissioning within the PCC to provide support to the Commissioning process</p> <p>Participation in occasional dialogue with regional victims colleagues from PCC offices</p> <p>The PCC commissioned an external review of Victim Support to ensure they are providing value for money and delivering effective services. This initial review has now been completed. Opportunities for improvement have been identified and have partly informed the preferred service delivery method from 1st April 2019.</p> <p>Grants Issued and monitored in compliance with grant conditions. Rigour is applied to recover any underspending of grant to enable it to be reallocated to achieve maximum benefit and value for money.</p>	<p>ongoing</p> <p>ongoing</p> <p>ongoing</p> <p>ongoing</p> <p>✓</p> <p>✓</p> <p>ongoing</p> <p>✓</p> <p>ongoing</p> <p>✓</p> <p>✓</p>	<p>Abigail Simkin</p> <p>Chris Lewis, Helen Earp and Abigail Simkin, Zeynab Gamieldien</p> <p>Chris Lewis, Helen Earp and Abigail Simkin, Zeynab Gamieldien</p> <p>Chris Lewis and Abigail Simkin</p> <p>Abigail Simkin</p> <p>Chris Lewis</p> <p>Abigail Simkin</p> <p>Chris Lewis</p> <p>Chris Lewis</p> <p>Abigail Simkin</p>	<p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p>		<p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p> <p></p>	<p>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.</p>

Risk Register for Office of the Police and Crime Commissioner, Warwickshire.
Register Owner - Neil Hewison, Chief Executive, Warwickshire OPCC

6

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.

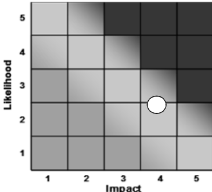

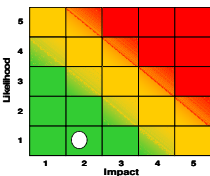

Community Safety Partnerships (CSPs) and Criminal Justice Partnerships are just some of the key partners assisting the Police and Crime Commissioner to deliver his priorities.
Failure to manage these partnerships effectively could lead to the objectives not being achieved, poor value for money and adverse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

Risk Owner	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)
Abigail Simkin		Effective partnership working assisting the PCC to achieve their objectives	<p>Full engagement with partners including involvement in the development of the police and crime plan.</p> <p>Regular meetings and contact with partners including CSPs, Victims' forums, Safer stronger partnerships, Health and Wellbeing Boards and the Multi Agency Safeguarding Hub to enable the monitoring of partnership objectives and ensure effective engagement with partners.</p> <p>Regular contact and engagement with the Criminal Justice Board</p> <p>Regular PCC led and organised CSOG and SOCJAG meetings</p> <p>Engagement with Police and Crime Panel and their respective sub groups</p> <p>Membership of the Warwickshire Safer Roads Partnership</p> <p>Involvement with Place Partnership Ltd to manage assets and estates issues</p> <p>Police and Crime Plan and Community Safety Agreement is now one overarching document</p> <p>Police and Crime plans have been prepared following extensive consultation with the public by the PCC. The Police and Crime Plans have been reviewed by the Police and Crime Panels and have been approved..</p> <p>Appropriate funding mechanism and monitoring arrangements for partners put in place with regular reviews</p>	<p>✓</p> <p>ongoing</p> <p>ongoing</p> <p>ongoing</p> <p>ongoing</p> <p>ongoing</p> <p>ongoing</p> <p>✓</p> <p>✓</p> <p>✓</p>	<p>Abigail Simkin, Chris Lewis, Dave Patterson, Debbie Mullis, Helen Earp, Zeynab Gamieldien</p> <p>Abigail Simkin, Chris Lewis, Dave Patterson, Debbie Mullis, Helen Earp, Zeynab Gamieldien</p> <p>Neil Hewison/ Zeynab Gamieldien</p> <p>Abigail Simkin</p> <p>Neil Hewison</p> <p>Chris Lewis</p> <p>Neil Hewison</p> <p>Neil Hewison</p> <p>Neil Tipton</p> <p>Elizabeth Hal/Sara Ansell (W & WM) / Abigail Simkin</p>	<p>↔</p>		<p>↔</p>	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.

7

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.

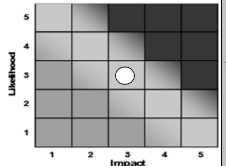
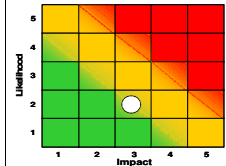
Risk Owner	Initial Risk Level	Desired Outcome	Action Summary	Delivery Date	Action Owner	Last Quarter	Current Risk Level	Owners Prediction	Reassurance Mapping (verified reassurance in order to Tolerate)
Neil Hewison		An effective performance monitoring process that identifies performance failure at its earliest opportunity.	<p>Monitoring of Police performance on a regular basis through Performance Management group and Holding to Account meetings.</p> <p>For partners funded through the PCCs grants schemes and other Community Safety Grants a rigorous process is applied before funding agreed. Key objectives and achievements must be identified and how this helps the PCC achieve the aspirations in his Police and Crime Plan. The process is kept under regular review.</p> <p>Police and Crime Plan aligned and published with the Community Safety Agreement</p> <p>Effective engagement and involvement with the Local Criminal Justice Board</p> <p>The use of Warwickshire Insight for performance data</p> <p>Grants awarded to partners reviewed on a regular basis. Successful grant applicants required to provide regular reports</p> <p>Warwickshire do a monthly deep dive into finance and performance and a quarterly review of Enabling Services.</p> <p>To consider options and issues arising from greater collaboration between Fire and Rescue Authorities and PCC's</p>	<p>ongoing</p> <p>✓</p> <p>✓</p> <p>ongoing</p> <p>ongoing</p> <p>✓</p> <p>ongoing</p> <p>ongoing</p>	<p>Dave Patterson</p> <p>Elizabeth Hall/Sara Ansell (W & WM)/ Abigail Simkin</p> <p>Neil Hewison</p> <p>Neil Hewison</p> <p>Neil Hewison</p> <p>Abigail Simkin</p> <p>Neil Hewison</p> <p>Philip Seccombe/ Neil Hewison</p>		 <p>The OPCC has a number of partners and the approach may have to be flexed according to the specific relationship and needs..</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.

Risk Register for Office of the Police and Crime Commissioner, Warwickshire.
Register Owner - Neil Hewison, Chief Executive, Warwickshire OPCC

8

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

Risk Owner	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		Effective engagement and communication with the public to ensure that confidence in the PCC and the Force remains high and that the Police and Crime Plan accurately reflect public concerns.	<p>Warwickshire PCC has a consultation and engagement strategy outlining how they intend to consult and engage with the public, stakeholders and harder to reach groups.</p> <p>The PCC has a media strategy in place covering how they contact and engage with the public, in addition to how they put across their ideas and how the public can contact them. All external correspondence is logged and responded to.</p> <p>the PCC has effective and resourced communication arrangements in place.</p>	ongoing	Neil Hewison/ Neil Tipton				Effective relationships and communication with the public are critical through a number of different channels. Regular attendance at meetings, varied public engagements, along with effective media officers managing direct contact with the office, social media outputs and websites can all be seen as positive signs of effective engagement.